SELF-STUDY

Submitted to the Higher Learning Commission of the North Central Association of Colleges and Schools

December 2014
Transformation is a word higher education institutions tend to exploit, regardless of the size or scope of change occurring. As you’ll discover in this 2015 Self-Study, at the University of Kansas it is a phrase that, perhaps, comes up short in describing our activity during the past decade.

We are in the midst of implementing a trio of initiatives most institutions would consider transformative if accomplished individually: Bold Aspirations, a five-year strategic plan for the Lawrence and Edwards campus, and the corresponding strategic plan at the Medical Center; Changing for Excellence, a comprehensive overhaul of administrative functions; and Far Above, a comprehensive fundraising campaign for the KU Endowment Association, the nation’s oldest public university endowment.

The self-study confirms what we have heard from our stakeholders, from our alumni and supporters, and from the Board of Regents. We are on the right track, and are poised for even greater progress.

Our accomplishments are the result of the hard work and willingness of our dedicated and talented faculty and staff to drive needed changes, even when some transitions have been rocky at times. Because of their work, we are seeing results in the successes of our students, in communities that are made healthier and more vibrant, and in the discoveries that will change the world.

And our study confirms the tasks that still lay ahead. Our strategic plan is comprehensive, and for all our success there is still much work to be done. To back those efforts, we will continue to find new ways to operate more efficiently and effectively, and to engage our donors in new ways to support the university.

There have been many challenges during the past decade, and certainly there are challenges to come. Kansas has not been alone in seeing a dramatic decline in state support for higher education over the past 15 years. And despite many states reinvesting in their universities, overall funding for higher education nationally has yet to return to pre-recession levels, and here in Kansas the prospects for that happening anytime soon are dim.

Our university has faced challenging times before. Yet in the face of these challenges our predecessors never gave up on the mission of this university, because they knew, like the founders of our nation and the founders of our state, that public higher education is vital to a prosperous democracy. So as we face challenges, we will remain focused on our bold aspirations, and we will continue to uphold our responsibilities to our students and society.

We look forward to your visit. Rock Chalk!

Bernadette Gray-Little
Chancellor
2015 HLC Reaccreditation Self-Study

Steering Committee

Susan Twombly, professor and chairperson, Educational Leadership & Policy Studies (Steering Committee Chair)

Barbara Barnett, associate dean and associate professor, William Allen White School of Journalism and Mass Communications (Criterion 4, Teaching & Learning: Evaluation and Improvement Subcommittee Chair)

Ann Cudd, vice provost and dean of undergraduate studies and University Distinguished Professor of Philosophy (Criterion 3, Teaching & Learning: Quality, Resources, and Support Subcommittee Chair)

Diane Goddard, vice provost for administration and finance (Criterion 5, Resources, Planning, & Institutional Effectiveness Subcommittee Chair)

Rodolfo Torres, associate vice chancellor for the Office of Research and professor of mathematics (Criterion 1, 2, Mission & Integrity Subcommittee Chair)

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Nelda Godfrey, associate dean for undergraduate programs and clinical professor, School of Nursing, KUMC

David Cook, vice chancellor for the KU Edwards Campus

Ben Wolfe, doctoral student in Educational Leadership & Policy Studies

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Gavin Young, associate director, Strategic Communications

Complete list of 2015 HLC Reaccreditation Self-Study Steering Committee and Staff and Criterion Subcommittee Members
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Self-Study Process

In preparation for reaccreditation by the Higher Learning Commission of the North Central Association of Colleges and Schools, the University of Kansas (KU) embarked upon the Self-Study process with three goals in mind: 1) to obtain reaccreditation, 2) to identify and explore areas of strength on which to build and areas of challenge in planning for the future, and 3) to gain insights from the peer consultant-evaluators’ review of the Self-Study report and campus visit. With those goals in mind, the Self-Study process was designed to provide an opportunity for reflective and analytic dialogue within the university community to clarify substantive institutional issues, to assess the current status of outcomes from its planning initiatives, and to provide a perspective of current or anticipated challenges.

Self-Study Process

Two years ago KU formally began preparing for its institutional reaccreditation by the Higher Learning Commission of the North Central Association of Colleges and Schools. The chancellor formed a nine-person steering committee chaired by Susan Twombly, chair and professor of higher education. To gather the data and information required to provide evidence that KU met the criteria for reaccreditation, subcommittees were formed to address each criterion. The chairs of those subcommittees served on the steering committee along with other members at large. Almost 100 faculty, staff, and students at all campus locations participated in the Self-Study process.

The steering committee and subcommittees used a variety of resources to help in their deliberations. Each subcommittee had dedicated staff members to help in gathering the evidence and facilitating their work. Each subcommittee prepared draft reports for each criterion and submitted them to the steering committee for review and discussion. With that input in hand, a small writing group worked over the summer of 2014 to compile the Self-Study into a cohesive document. That report was shared with the deans and vice provosts. After their review and further refinements, the Self-Study was distributed across the university mid-fall for review and comment. Feedback was incorporated at each stage of the review process.

Accreditation History

KU has been continuously accredited by the Higher Learning Commission of the North Central Association of Colleges and Schools since January 1, 1913.

Organization of the Self-Study Report

The Self-Study Report is organized in four sections:

- Introduction.
- University Organizational Structure.
- Response to Recommendations of the 2005 Review Team.
- Response to each criterion.

Because KU celebrates its 150th anniversary in 2015, the introduction recognizes that milestone and provides a brief history of the university’s traditions and culture. The introduction further outlines the
leadership changes, challenges since 2005, and the planning and actions KU has undertaken to respond to those challenges.

The university’s organizational structure includes a high-level overview of the senior administration and affiliated corporations. While there were no concerns from the 2005 review, the 2005 review team did make recommendations, and the response to those recommendations is described.

The responses to each criterion contain the evidence to meet each component. At the end of each criterion are the strengths, challenges, and future directions for that criterion.

**Note to Readers**

The Self-Study report often focuses more extensively on Lawrence campus activities and cites the majority of examples from its programs, students, faculty, and staff rather than the Medical Center campus. The disproportionate focus is both intentional and appropriate for several reasons. First, the majority of the programs, students, faculty, and staff reside in Lawrence. Second, and perhaps more importantly, the health-related nature of the Medical Center programs requires more frequent and stringent specialized accreditation from a variety of public and private agencies. Furthermore, information specific to the Medical Center will be found in the multi-campus report.

Additionally, data in the Self-Study labeled “Lawrence campus” is inclusive of the students and faculty on the Edwards Campus. In some cases, the data are labeled Lawrence and Edwards and on occasion may only reference Lawrence. But in both cases, the data are inclusive of both.

It also should be noted that by its very nature, the Self-Study report is often repetitive – specific programs, processes, and policies may be mentioned multiple times throughout this report. This is intentional and due to the integrative nature of both the criteria and the educational enterprise. Teaching, research, and service are all intertwined and bound together by learning. A research agenda may at the same time fulfill the mission of the university, respond to needs of constituent groups, enhance student learning, further the acquisition of knowledge, and engage the community. In other words, one example provides evidence for multiple criteria.
Introduction

KU is celebrating its sesquicentennial in 2015. The Board of Regents for what would become KU first met in 1865 in the waning years of the Civil War. The goal of this new university was “to provide the inhabitants of this state with the means of acquiring a thorough knowledge of the various branches of literature, science, and the arts.” KU today is a vastly different place from the institution that began when the first class of 26 women and 29 men entered the “Old North College” to attend classes. On KU’s 100th anniversary, it enrolled approximately 13,000 students. Then-Chancellor Clarke Wescoe identified the challenge that KU faced in its next 50 years: how to provide the excellent, high-quality undergraduate education Kansans have come to expect to thousands more students while also becoming a major research university that is national and international in scope. Wescoe proclaimed KU ready for the challenge, and a glance at KU’s progress in the last 50 years proves him correct.

KU’s early faculty members and students would not recognize the university that exists today and is described below. What KU’s founders would recognize, however, is the sheer determination and resilience demonstrated by the thousands of professors, administrators, staff, and students who came after them to make KU what it is today. Thomas Burish, KU alumnus and provost of the University of Notre Dame, recently described KU as a gritty place. And that it is. The determined settlers who founded KU were undeterred by the bloody battles of “Bleeding Kansas,” a Civil War, and several near-defeats in the legislature in their quest to found a university. Their dream of educating the future leaders of Kansas remains the primary mission of the state’s flagship university nearly 150 years later. The university’s mascot, the Jayhawk, is more than a happy, colorful bird; it represents the hardscrabble settlers who took on the moniker “Jayhawkers.” Success in the face of challenging times is ingrained in the fabric of the university. KU has become all too experienced at leveraging the resources it has to produce outstanding outcomes. The past decade is no exception. In spite of rapidly declining state funding, fluctuations in enrollment, and increased scrutiny of its role as a public research university, KU has been resilient and enterprising. Grit, Burish noted, has defined KU.

The second characteristic that KU’s founders and early faculty, staff, and students would likely recognize is an extraordinary, almost indescribable sense of tradition and loyalty. Faculty, staff, and students are Jayhawks for life, with the “Rock Chalk Jayhawk” chant a phrase of all that unites them. When asked why they work at KU, a group of senior faculty cited the support for interdisciplinary scholarship, collegiality, and the incredible sense of passion and loyalty that students, current and past, feel for KU and the Jayhawk. This loyalty has benefited KU in many ways, not the least of which is providing extraordinary financial support to KU through its long-standing endowment association, a very strong international alumni base, stable leadership, and low faculty turnover.

The University at 150: An Overview

Today, nearly 150 years after its founding, KU has become a major public research and teaching institution of 28,000 students and 2,600 faculty in Lawrence, Kansas City, Overland Park, Wichita, and Salina with other satellite locations across the state. Its diverse elements are united by a mission to educate leaders, build healthy communities, and make discoveries that change the world.
As the summary display below shows, in addition to the College of Liberal Arts and Sciences that produces half of the baccalaureate degrees awarded, KU has a broad range of schools, including the only schools of pharmacy and medicine in the state. KU offers more than 360 academic degree programs. KU’s 28,000 students, split almost equally between women and men, come from 104 of the 105 Kansas counties, all 50 states, and 99 countries. About 15 percent are students from historically underrepresented groups. The University Honors Program is nationally recognized, and KU has produced 26 Rhodes Scholars, more than all other Kansas schools combined and 11th among public universities. See Table 1 for “KU by the Numbers.”

In fiscal year 2013, KU generated $375 million in overall research funding, of which $211 million was federal dollars. The KU Cancer Center is the only facility in the state to earn designation from the National Cancer Institute. On the Lawrence campus, 11 major centers oversee research in life span issues, the humanities, transportation, the environment, biosciences, drug discovery and development, biodiversity, polar ice sheets, and education, among other topics. At the Medical Center, in addition to the KU Cancer Center, nearly two dozen institutes and centers engage in research in areas from aging and Alzheimer’s disease to health care informatics and diabetes.

Core research resource laboratories and affiliated centers on the Lawrence campus specialize in such fields as biomedical research, molecular structures, technology commercialization, and oil recovery. KU has service centers statewide that offer training and professional development in law enforcement, firefighting, child development, health education, and public management. KU’s museums include the Spencer Museum of Art, with over 42,000 artworks and artifacts in its internationally known collection, and the KU Natural History Museum, featuring Lewis Lyndsay Dyche’s Panorama from the 1893 World’s Fair in Chicago and a collection of over 11 million specimens (including Captain Keogh’s mount, Comanche, the only U.S. Army survivor of the Battle of the Little Bighorn). The Spencer Research Library houses the Kansas Collection, as well as Special Collections and University Archives, and serves as a resource for scholars from across the state and world.

KU is a major center of graduate education, offering master’s degrees in 107 fields and doctoral degrees in 77 disciplines. Programs in special education, city management, speech-language pathology, rural medicine, clinical child psychology, physics, nursing, occupational therapy, and social welfare are highly ranked. In her inaugural address, Chancellor Bernadette Gray-Little emphasized doctoral education as one of her top priorities; her goal is operationalized in Goal 2 of Bold Aspirations, the university’s strategic plan. Efforts are under way to enhance doctoral education by developing sustainable funding for doctoral students, using data to inform program decisions, and establishing a coordinated recruitment plan.

Maintaining a strong undergraduate emphasis has been a consistent priority of KU chancellors, and that remains true today. In 2013, KU inaugurated the KU Core, a university-wide general education curriculum that ensures that all KU graduates will meet outcomes deemed essential in the 21st century.
University of Kansas Academic Units

Lawrence Campus

Established in 1864
First Charter – March 1, 1864
First meeting of governing board – 1865
First year postsecondary work offered – September 1866
First year students enrolled in postsecondary work – September 1867
First degree awarded in 1873, Baccalaureate
First summer session – 1903
AAU membership – 1909

<table>
<thead>
<tr>
<th>School</th>
<th>Established ¹</th>
</tr>
</thead>
<tbody>
<tr>
<td>Liberal Arts and Sciences, College of</td>
<td>1893</td>
</tr>
<tr>
<td>School of the Arts</td>
<td>2009 ²</td>
</tr>
<tr>
<td>School of Public Affairs and Administration</td>
<td>2011 ³</td>
</tr>
<tr>
<td>Architecture, Design and Planning ²</td>
<td>1968</td>
</tr>
<tr>
<td>Business</td>
<td>1924</td>
</tr>
<tr>
<td>Education</td>
<td>1909</td>
</tr>
<tr>
<td>Engineering</td>
<td>1891</td>
</tr>
<tr>
<td>Graduate School ⁴</td>
<td>1897</td>
</tr>
<tr>
<td>Journalism</td>
<td>1948</td>
</tr>
<tr>
<td>Law</td>
<td>1890</td>
</tr>
<tr>
<td>Music</td>
<td>1891 ²</td>
</tr>
<tr>
<td>Pharmacy</td>
<td>1890</td>
</tr>
<tr>
<td>Social Welfare</td>
<td>1969</td>
</tr>
</tbody>
</table>

¹ Many schools began as departments. Dates given are for when school designations were made by the Board of Regents.
² The School of Music and Fine Arts was established in 1891, reorganized in 2009 into the School of the Arts and School of Music. The School of the Arts, within the College of Liberal Arts and Sciences, includes Theatre, Film and Media Studies from Liberal Arts and Sciences, Dance from the former Department of Music and Dance in Fine Arts, and Visual Arts from Fine Arts. The School of Fine Arts Design program became part of the School of Architecture, Design, and Planning.
³ The School of Public Affairs and Administration was established in 2011 from the Department of Public Administration.
⁴ The Graduate School became Graduate Studies on July 1, 2007. Authority to confer degrees shifted to the schools where the degrees were earned.

Edwards Campus

Regents Center - first postsecondary instruction offered - 1975
First building on new Edwards Campus built - 1992
Medical Center

Established in 1905
First instruction at postsecondary level - 1905
First degree awarded in 1906, M.D.

<table>
<thead>
<tr>
<th>School</th>
<th>Established</th>
</tr>
</thead>
<tbody>
<tr>
<td>Health Professions</td>
<td>1974</td>
</tr>
<tr>
<td>Medicine</td>
<td>1905</td>
</tr>
<tr>
<td>Nursing</td>
<td>1974</td>
</tr>
</tbody>
</table>

5 The School of Allied Health, established in 1974, was renamed School of Health Professions in 2011.
6 The Wichita campus of the School of Medicine was established in 1971, with an expansion to a four-year campus in 2011. The four-year Salina campus of the School of Medicine was established in 2011.
### Table 1
**KU by the Numbers**

<table>
<thead>
<tr>
<th></th>
<th>Fall 2003</th>
<th>Fall 2013</th>
<th>Percent Change</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Total Enrollment</strong></td>
<td>FY 2004</td>
<td>FY 2014</td>
<td></td>
</tr>
<tr>
<td>Lawrence</td>
<td>29,272</td>
<td>27,784</td>
<td>-5.1%</td>
</tr>
<tr>
<td>Medical Center</td>
<td>2,458</td>
<td>3,349</td>
<td>36.2%</td>
</tr>
<tr>
<td>Undergraduates</td>
<td>21,118</td>
<td>19,199</td>
<td>-9.1%</td>
</tr>
<tr>
<td>Graduate/First Professional</td>
<td>7,485</td>
<td>7,769</td>
<td>3.8%</td>
</tr>
<tr>
<td>Medical Residents</td>
<td>669</td>
<td>816</td>
<td>22.0%</td>
</tr>
<tr>
<td>Minority Students</td>
<td>3,281</td>
<td>4,859</td>
<td>48.1%</td>
</tr>
<tr>
<td><strong>ACT Composite</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>KU Average</td>
<td>24.1</td>
<td>25.3</td>
<td>5.0%</td>
</tr>
<tr>
<td>U.S. Average</td>
<td>21.7</td>
<td>22.5</td>
<td>3.7%</td>
</tr>
<tr>
<td><strong>Faculty Headcount</strong></td>
<td>2,158</td>
<td>2,736</td>
<td>26.8%</td>
</tr>
<tr>
<td>Lawrence Faculty Total</td>
<td>1,426</td>
<td>1,626</td>
<td>14.0%</td>
</tr>
<tr>
<td>Women</td>
<td>536</td>
<td>672</td>
<td>25.4%</td>
</tr>
<tr>
<td>Minority</td>
<td>178</td>
<td>271</td>
<td>52.2%</td>
</tr>
<tr>
<td>International</td>
<td>NA</td>
<td>55</td>
<td></td>
</tr>
<tr>
<td>Medical Center Faculty Total</td>
<td>732</td>
<td>1,110</td>
<td>51.6%</td>
</tr>
<tr>
<td>Women</td>
<td>314</td>
<td>489</td>
<td>55.7%</td>
</tr>
<tr>
<td>Minority</td>
<td>118</td>
<td>215</td>
<td>82.2%</td>
</tr>
<tr>
<td>International</td>
<td>NA</td>
<td>60</td>
<td></td>
</tr>
<tr>
<td><strong>Staff Headcount (non-student)</strong></td>
<td>4,660</td>
<td>5,181</td>
<td>11.2%</td>
</tr>
<tr>
<td>Lawrence</td>
<td>3,236</td>
<td>3,542</td>
<td>9.5%</td>
</tr>
<tr>
<td>Medical Center</td>
<td>1,424</td>
<td>1,639</td>
<td>15.1%</td>
</tr>
<tr>
<td><strong>General Use Funding - Lawrence</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>State General Fund</td>
<td>$132.03 million</td>
<td>$137.27 million</td>
<td>4.0%</td>
</tr>
<tr>
<td>General Fees Fund (Tuition)</td>
<td>$119.78 million</td>
<td>$264.15 million</td>
<td>120.5%</td>
</tr>
<tr>
<td><strong>Ratio of State General Fund Expenditures to General Fee (Tuition) Expenditures - Lawrence</strong></td>
<td>1.10</td>
<td>0.52</td>
<td></td>
</tr>
<tr>
<td><strong>Inflation-Adjusted State General Fund Expenditures per Student FTE</strong></td>
<td>$7,586</td>
<td>$6,148</td>
<td>-19.0%</td>
</tr>
<tr>
<td><strong>Total Assignable Square Feet</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Lawrence</td>
<td>5,215,062</td>
<td>5,868,946</td>
<td>12.5%</td>
</tr>
<tr>
<td>Medical Center</td>
<td>1,192,000</td>
<td>1,284,467</td>
<td>7.8%</td>
</tr>
</tbody>
</table>
One Year Retention Rate of New Freshmen

<table>
<thead>
<tr>
<th></th>
<th>Fall 2002 FY 2003</th>
<th>Fall 2012 FY 2013</th>
<th>Percent Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>Underrepresented Minority Students</td>
<td>81.8%</td>
<td>79.9%</td>
<td>-2.3%</td>
</tr>
<tr>
<td>(Amer. Indian, Black, Hispanic plus Native Hawaiian and Two or More Races in 2014)</td>
<td>78.9%</td>
<td>68.8%</td>
<td>-12.8%</td>
</tr>
</tbody>
</table>

Degrees Conferred

<table>
<thead>
<tr>
<th></th>
<th>Fall 2002</th>
<th>Fall 2012</th>
<th>Percent Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lawrence</td>
<td>5,907</td>
<td>6,697</td>
<td>13.4%</td>
</tr>
<tr>
<td>Medical Center</td>
<td>538</td>
<td>707</td>
<td>31.4%</td>
</tr>
<tr>
<td>Certificates</td>
<td>-</td>
<td>15</td>
<td></td>
</tr>
<tr>
<td>Baccalaureate Degrees</td>
<td>3,760</td>
<td>4,265</td>
<td>13.4%</td>
</tr>
<tr>
<td>Masters/First Professional/Doctorate Degrees</td>
<td>2,147</td>
<td>2,417</td>
<td>12.6%</td>
</tr>
</tbody>
</table>

Endowment (total assets)

<table>
<thead>
<tr>
<th></th>
<th>$886,295,000</th>
<th>$1,562,679,000</th>
<th>Percent Change</th>
</tr>
</thead>
</table>

Research Expenditures

<table>
<thead>
<tr>
<th></th>
<th>$257,906,000</th>
<th>$374,649,565</th>
<th>Percent Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>Federal Government</td>
<td>$133,309,000</td>
<td>$210,679,627</td>
<td>58.0%</td>
</tr>
</tbody>
</table>

Leadership Changes

Chancellor Robert Hemenway’s term ended in 2009 after 14 years, the longest tenure for a chancellor in 70 years and a period of much achievement. In the final four years of his term, Hemenway could build on the success of KU First, a $500 million capital campaign that ended in 2004 having exceeded its goal by $153 million. KU had been a featured case study in the 2005 book *Student Success in College: Creating Conditions that Matter* for its engaging undergraduate educational climate. KU’s top research priority in Hemenway’s final years was gaining National Cancer Institute designation for the KU Cancer Center in 2012. Hemenway forged partnerships with students to support tuition increases necessary to KU’s continued advancement as a research university. In 2007, on the recommendation of students, KU implemented a four-year guaranteed tuition compact for incoming freshmen.

Hemenway’s Graduate in Four Task Force made a host of recommendations in 2005 to enhance four-year graduation rates, most of which have been since implemented. The work of this task force and a strategic planning process begun in 2008, before Hemenway resigned effective June 2009, laid the groundwork for Chancellor Gray-Little’s strategic planning process.

In 2005, David Shulenburger, KU’s long-term provost and executive vice chancellor, announced he would step down at the end of the academic year. Hemenway chose Richard Lariviere, dean of Liberal Arts and Sciences at the University of Texas, as KU’s new provost in 2006. In 2009, Lariviere left to assume the presidency of the University of Oregon.

Bernadette Gray-Little, provost at University of North Carolina-Chapel Hill, was named the 17th chancellor of the University of Kansas on May 29, 2009, marking a significant transition in KU’s history. She outlined her goals as chancellor at the 144th Opening Convocation: improve the experience for undergraduates, enhance scholarship across all disciplines, and ensure proper resources to meet these
goals. In July 2010, she hired Jeffrey S. Vitter as provost and executive vice chancellor of the Lawrence and Edwards campuses and tasked him with the development of a strategic plan for those campuses. In 2012, Barbara Atkinson stepped down as executive vice chancellor of the KU Medical Center, a position she held for seven years, and dean of the School of Medicine. In February 2013, Doug Girod became executive vice chancellor for the Medical Center, which developed a parallel strategic plan. In 2013, David Cook was named vice chancellor of the KU Edwards Campus in Overland Park and tasked with establishing KU as the leader in higher education in the Kansas City area.

**Challenges Since 2005**

State appropriations have steadily declined since FY 2008. In FY 2014, state funding was below the FY 2006 level. KU’s FY 2014 state general funding of $241 million was down $152 million over the past 15 years.\(^1\) KU recognizes the limited ability of the state to adequately fund higher education and has continued to successfully press for administrative changes to allow greater institutional control.

While state funding has declined, scrutiny of state spending has increased. More and more, the value of public spending on a research university is called into question, and the university has responded to numerous legislative inquiries over the past several years.

KU gained ownership of its tuition in 2001 and has gained administrative autonomy, allowing for greater flexibility and accountability in financial management. This control takes on added importance in the state’s current fiscal climate. After state revenues began to recover following the most recent recession, substantial income tax cuts were adopted. An ongoing downward trend in revenues calls into question the ability of the state to meet even its current commitments to higher education.

The net result is a far greater reliance on tuition funding on the Lawrence campus to provide for general operating costs, placing more of the costs of higher education on students and their families. In FY 2004, the State General Fund made up 52 percent of KU’s general use expenditures and tuition made up 48 percent. By FY 2014, the State General Fund made up 34 percent while tuition made up 66 percent. In addition, FY 2012 was the first year when tuition accounted for a larger percentage of KU’s overall revenue, at 22 percent, than state appropriations, at 21 percent. In FY 2013, tuition and fees accounted for 23 percent of KU’s $1.19 billion in revenue. In Fall 2013, KU’s resident tuition and fees ranked fourth of 11 among a group of Midwest regional peers, suggesting limited ability to raise tuition substantially. In Fall 2007, KU’s tuition ranked in the bottom half of the same group.

Enrollment rose steadily at the start of the 21st century. Fall 2008 enrollment was the largest in history, 30,102, and marked the first time KU enrolled over 30,000 students, including 4,483 first-time freshmen, also an all-time high. Due to a number of factors, including the national economic picture, enrollment dipped to 27,784 in 2013 before rising again in Fall 2014.

Questionable state revenues, fluctuating enrollment, and the changing higher education environment, including online programs, necessitated a change in the operating culture at KU. KU realizes state funding is unlikely to increase and the university’s ability to increase tuition has its limits. In order to remain competitive, Chancellor Gray-Little recognized that KU must find alternative sources of revenues. In response, the university has engaged in a trio of initiatives to be more innovative, effective, and efficient in its development and use of revenue.

\(^1\) Figures are adjusted using the Higher Education Price Index.
Responding to Challenges by Transforming KU: Bold Aspirations, Changing for Excellence, Far Above

In a November 2009 message to campus, Chancellor Gray-Little outlined her goals for KU: identifying strategies for advancing KU in the areas of research engagement, admissions, and retention and graduation. To move KU forward, she appointed a task force for each of these goals. Each was chaired by a university leader and included broad representation of the Lawrence, Edwards, and Medical Center campuses, including deans, directors, students, faculty, and staff. She noted that these challenges were too daunting and the stakes too high to not engage the entire university community in developing the response. The yearlong process resulted in three reports: Research Engagement, Admissions, and Retention and Graduation.

The chancellor presented these task force reports and findings along with her response to incoming Provost Vitter when he arrived on campus in July 2010. The work of the three task forces would inform a broad, inclusive strategic planning process on the Lawrence and Edwards campuses. A simultaneous planning effort took place on the Medical Center campus, led by Executive Vice Chancellor Atkinson. In 2013, new Executive Vice Chancellor Girod led a comprehensive review of the Medical Center’s plan to respond to changing environments and simplify the goals to make them more accessible and relevant. Although separate, these plans are often discussed under the umbrella of Bold Aspirations.

Bold Aspirations: The Strategic Plan for the University of Kansas, 2012–2017

Bold Aspirations on the Lawrence and Edwards campuses launched in October 2011 following a vigorous campus-wide strategic planning effort that began in 2010, building on the foundation of the chancellor’s three task force reports. Key to the planning effort was broad engagement of the entire KU community in the planning process. Over 160 individuals — representing leaders from faculty, staff, students, alumni, and the surrounding community — took part in the steering committee, its four work groups, or the four planning groups for the strategic initiative summit. Over a thousand individuals took part in other activities associated with the planning process.

The planning activity resulted in 22 strategies and 61 specific action steps around six goals that make up Bold Aspirations: Strategic Plan for the University of Kansas, 2012–2017:

1. Energizing the Educational Environment.
2. Elevating Doctoral Education.
3. Driving Discovery and Innovation.
4. Engaging Scholarship for Public Impact.
5. Developing Excellence in People.
6. Developing Infrastructure and Resources.

A unique aspect of Bold Aspirations was the myriad ways in which faculty, staff, and students personally became involved in the strategic planning process. For example, the educational goals of the new KU Core undergraduate curriculum were proposed and then prioritized at departmental faculty meetings across campus, as well as via student and alumni focus groups. Another example is the proposal process involving over 900 individuals that resulted in the four multidisciplinary strategic initiative themes, described below.

Strategic initiatives. A key aspect of the strategic plan is focused investment in big, bold ideas that allow KU to harness its unique assets to improve the world. These bold ideas took the shape of four strategic
initiative themes that grew out of a bottom-up response to a campus-wide request for proposals. The objectives included:

- To address emerging and escalating global grand challenges and societal issues where KU has special capabilities.
- To build scholarly communities that challenge, engage, and inspire individuals from many disciplines around a common theme.
- To enhance KU's national and international visibility and impact.
- To engage and motivate funding agencies, foundations, state government, community, alumni, and friends to provide much-needed resources.
- To provide our students with unique experiences that will position them as highly recruited and valued drivers and innovators of social and technological change.

In total, 104 proposals for strategic initiatives were received and organized into four strategic initiative themes:

- Sustaining the Planet, Powering the World.
- Promoting Well-Being, Finding Cures.
- Building Communities, Expanding Opportunities.
- Harnessing Information, Multiplying Knowledge.

Broadly inclusive summits connected scholars across campus who helped form research networks, generate funding ideas, and plan work. These initiatives identify KU's research investment and faculty hiring priorities for a five-year period ending in 2017.

*Bold Aspirations* has driven KU-Lawrence academic and research activities and budget allocations for the past three years and will guide its investments for the next two. Strategic initiatives have driven faculty hiring and research investments. By the end of the second year of implementation (2013), KU had made progress in all 22 strategies and 61 action steps of *Bold Aspirations*. Additional progress is evident in the 2014 Annual Report. These accomplishments are highlighted throughout the Self-Study that follows.

The Medical Center strategic plan is described in greater detail in the Campus Location report.

*Changing for Excellence: Transforming Business Practices*

In order to reach the full potential of *Bold Aspirations* and to keep the university competitive in the face of declining state support, the university realized significant resources would be required. To accomplish this, organizational structures would need to be transformed to make business and administrative operations more effective and efficient. As the chancellor and provost wrote to campus, “There are inefficiencies in our administrative processes, and in many cases these inefficiencies are compounded by limits placed on our talented staff members.” KU’s *Changing for Excellence* (CFE) initiative generated a number of programs designed to deliver maximum effectiveness and generate savings to be reallocated to the higher-level priorities. Although some of the CFE initiatives involve the Medical Center, the core activities apply to the Lawrence campus.

For six months, the university, with assistance from an external consultant, worked to identify areas of opportunity and develop business cases or project and implementation plans. Each project had a
primary goal of making KU more effective and efficient while providing new and better opportunities for staff.

The decision was made to implement all 11 identified CFE initiatives or business cases (see list below) concurrently with the implementation of the strategic plan. These initiatives would impact every unit on campus (primarily Lawrence), so thorough planning and careful coordination was a high priority:

- Budgeting.
- Construction.
- Enrollment – Domestic.
- Enrollment – International.
- Facilities.
- Human Resources.
- Libraries.
- Procurement.
- Research Administration.
- Shared Service Centers.
- Information Technology.

Three years into the process, several pieces of the initiatives have been successfully implemented. One of the first initiatives was the merger of custodial and maintenance staffs on the Lawrence campus, which focused first on improving the workplace climate and then on empowering leadership to transform the unit and generate savings. Surveys of facilities staff suggest the transition has had a positive effect on performance and morale.

KU Information Technology has moved aggressively to implement its initiatives and has tracked $6.5 million in savings and avoided costs through the centralization of servers, procurement contracts, and reorganization of staff. By focusing in the first year on KU’s top six procurement contracts, KU Purchasing generated $5.2 million in rebates and savings compared to previous contracts. In FY 2014, KU’s review of construction spending reduced costs by $1.6 million.

These savings are making Bold Aspirations possible. They have been invested in KU’s Foundation Distinguished Professors initiative, in Strategic Initiative Grants approved by the Research Investment Council, in the Office of First-Year Experience, and in support for course redesign, among other areas.

A third major CFE initiative, the creation of Shared Service Centers, is about halfway implemented. Through these centers, multiple units pool staff and share their expertise on the Lawrence campus.

**Far Above: The Campaign for Kansas**

The third initiative the university chose to undertake concurrently was a $1.2 billion comprehensive capital campaign, named Far Above: The Campaign for Kansas. The target goal was announced in April 2012, to be raised by June 2016. Already, commitments from donors have generated $612 million. By the end of FY 2014 (June 2014) donors had contributed $1.15 billion, mostly in planned gifts, for the campaign, including FY 2014 gifts of seven new professorships, 91 new scholarships and fellowships, and leadership gifts for new facilities, including Capitol Federal Hall (new Business School building), the DeBruce Center for student services for the southern part of the campus, the Earth, Energy and Environment Center, and KU Hospital’s Cambridge North project. Alumni and friends also set a new
milestone in generosity for a single year, donating more than $253.2 million for KU, much of it in planned gifts, in FY 2014.

Notable Ways in Which **Bold Aspirations, Changing for Excellence, and Far Above** Have Changed and Will Change KU

The outcomes of these key processes are highlighted throughout the Self-Study, but some major outcomes are listed here:

**KU Core**

In Fall 2013, KU launched the KU Core, a significantly revamped general education curriculum for the 21st century. The KU Core is described in greater detail throughout the following Self-Study and represents the most recent vision of KU’s long-standing commitment to a liberal arts education. The KU Core is a sharp departure from previous general education curricula. It is the first (in the last 50 years at least) to be required of all KU undergraduates, including those on the Lawrence campus, majors in nursing and allied health professions at the Medical Center, and students in professional schools and the College of Liberal Arts and Sciences. The KU Core encourages experiential learning options by allowing approved experiential learning to count toward the KU Core. With significant investment in structures to support experiential learning and other high-impact practices, such as learning communities and major capstone courses, KU seeks to build on its reputation for engaging teaching and learning practices and increase the number and percentage of its students who participate in them.

**Changing for Excellence**

Significant reinvestment has been made possible by **Changing for Excellence savings**.

- Twenty-two faculty positions have been created from *Changing for Excellence* savings to strengthen academic programs and the four strategic initiatives. Additionally, 12 Foundation Distinguished Professors and 30 positions for the engineering expansion, funded by the state of Kansas, are in the process of being filled. Collectively, the new additional faculty positions will total 64 by 2017.
- The *Research Investment Council (RIC)* has provided over $5 million to date in seed funding for multidisciplinary research by KU faculty, from autism to arts collaboration to drug discovery.
- New offices and programs for undergraduates in experiential learning and First-Year Experiences will help engage and advance more students on campus. Enhancement of academic support services, including the MySuccess early warning system and Supplemental Instruction for large courses that have no discussion section, are helping students succeed in their courses and continue to make progress toward a degree.
- Postdoctoral teaching positions have been created to help units redesign gateway courses, especially those with high rates of D/F/W grades, in order to improve student learning and retention.
- KU has tripled funding for graduate fellowships over the last four years from a variety of funding sources, including *Changing for Excellence*.
- The *Classification and Market Study* has to date identified approximately 800 positions whose compensation were below market and have been brought up to the minimum salary range compared with the market. Now in Phase III of the study, it is expected that an additional 100 positions will have their compensation adjusted upward to meet the market minimum. No employee salaries have been reduced as a result of the study.
Far Above: The Campaign for Kansas

The $1.2 billion committed during the Far Above campaign will ensure continued stability of KU’s already strong endowment, whose resources are then invested in students, faculty, academic programs, and facilities. On November 20th, KU Endowment Association hosted a donor recognition event for the new Earth, Energy and Environment Center, leading into the first phase of the major Innovation Way project, the key part of the Campus Master Plan for 2014–2024. It will provide important infrastructure for teaching labs, research infrastructure, and student learning spaces. The Earth, Energy and Environment Center is funded in part by private donations, as is a greatly needed new medical education building at the Medical Center.

National Cancer Institute Designation

Although planning for a National Cancer Institute designation began a decade ago and thus is not a direct outcome of Bold Aspirations, such designation represents KU’s significant research achievements over that last decade. Moreover, the KU Cancer Center will anchor the university’s continuing efforts to reach and exceed its goals for external research funding.

Summary

Over the past decade, KU has made significant advancements despite recession and a leveling in enrollment growth. In order to keep its promise to the citizens of Kansas and to keep pace as an Association of American Universities (AAU) research university, KU has engaged in careful, thorough, and comprehensive planning to guide its actions and investments. It has launched Changing for Excellence to enhance efficiencies and improvements in its business process that will generate funds to devote to KU’s primary teaching and research missions.

Increased research productivity improves lives, spurs prosperity, and enhances teaching. It also helps KU be recognized as a top-tier public international research university, which aids recruitment. Increased efficiency in KU’s administrative functions frees resources to invest in teaching and research, while also enabling staff members to fully realize their potential.

And all of these changes generate excitement among KU’s friends and supporters, which encourages them to be part of our university as volunteers or donors. This takes on extra importance during a time of scarce state resources.

The past 10 years have been a time of significant accomplishment and change across KU, in spite of record decreases in state appropriations, an increase in scrutiny of the role of public higher education, fluctuations in undergraduate and graduate enrollment, and a notable increase in the reliance on tuition for general use funding.
University of Kansas Self-Study

December 2014

University Organizational Structure

University Administration

The chief executive officer for the University of Kansas is Chancellor Bernadette Gray-Little, who oversees all campuses and reports to the Kansas Board of Regents. Two executive vice chancellors report to the chancellor and oversee separate administrative structures for the Lawrence and Medical Center campuses. On the Lawrence campus, Provost and Executive Vice Chancellor Jeffrey S. Vitter is chief operating officer and chief academic officer. He oversees all academic, research, and public service activities for the College of Liberal Arts and Sciences, the nine professional schools, libraries, research, and the units that support these activities, including academic affairs, enrollment management, diversity and equity, and faculty development. At the Medical Center, Executive Vice Chancellor Douglas Girod fulfills similar duties, overseeing the educational, research, patient care, and community engagement missions of the KU Schools of Medicine, Nursing, and Health Professions. A more detailed organizational chart is shown below.

The University of Kansas

[Insert Organizational Chart]

- Board of Regents
  - Chancellor – Bernadette Gray-Little
    - Vice Chancellor for Public Affairs
      - Chief Business and Financial Planning Officer
      - University General Counsel
      - Director of Athletics
      - Director of Internal Audit
      - Director Dole Institute of Politics
  - Provost/Executive Vice Chancellor, Lawrence Campus
    - Senior Vice Provost for Academic Affairs
      - Vice Provost for Student Affairs
      - Dean for Undergraduate Studies
      - Dean of Graduate Studies
      - Associate Vice Provost for International Programs
      - Director of Institutional Compliance
    - Deans
      - Architecture, Design & Planning
      - Business
      - Education
      - Engineering
      - Journalism & Mass Communication
      - Law
      - Liberal Arts and Sciences
      - Music
      - Pharmacy
      - Social Welfare
      - Libraries
  - University Chief Librarian
  - President, KU Endowment Association
  - President, KU Alumni Association

- Executive Vice Chancellors, Medical Center
  - KU Physicians, Inc.
  - KU Hospital
  - Deans
    - Health Professions
    - Nursing
    - Medicine, Executive Dean
  - Vice Provost for Administration & Finance
    - Vice Provost for Diversity and Equity
    - Vice Provost for Enrollment Management
    - Vice Provost for Faculty Development
    - Vice Chancellor for Research & President COO of the KU Center for Research
    - Vice Chancellor for the Edwards Campus
    - University Director of Institutional Research and Planning
  - Vice Chancellor for Academic & Student Affairs
    - Vice Chancellor for Clinical Affairs
    - Vice Chancellor for Research & President of Research Institute
    - Vice Chancellor for Finance/CFO
    - Vice Chancellor for Administration
Affiliated Corporations – University Controlled

The following affiliated corporations are controlled by the university through membership on their boards.

University of Kansas Center for Research Inc. (KUCR). The research administration office of the Lawrence campus, KUCR applies for all grants on behalf of the university and manages and oversees grants as well as the technology transfer operation.

- University of Kansas Memorial Corporation (Kansas and Burge Unions). The memorial corporation operates the student union for the Lawrence and Edwards campuses, including the bookstores, food services, and other student services, and oversees the student-run radio station, KJHK.
- Kansas Athletics Inc. The athletic corporation manages and oversees intercollegiate athletics for the university.
- Studio 804. A nonprofit organization created to provide students in the School of Architecture, Design and Planning opportunities to gain educational experience in design and hands-on construction projects.

The university-controlled affiliated corporations at the Medical Center and the key services they provide are listed below.

- University of Kansas Medical Center Research Institute. The research administration office for the Medical Center handles non-federal grants, clinical trials, and technology transfer.
- University of Kansas Medical Center Research Properties Inc. A land-holding company whose mission is to assist the Medical Center is acquiring and developing property.
- Student Union Corporation. The student union corporation administers the student union and bookstore for the Medical Center.
- KU Innovation and Collaboration. Manages the transfer and commercialization of technology created by KU faculty and researchers on all campuses
- KU Health Partners. The faculty practice corporation for the Schools of Nursing and Health Professions.

Affiliated Corporations – Not University Controlled

The university does not control the following affiliated corporations. However, as with the university-controlled affiliates, the university has a formal, legal agreement with each. The Lawrence campus organizations and the key services they provide are listed in the following section.

- University of Kansas Alumni Association. The Alumni Association was established in 1883 for the purpose of strengthening loyalty, friendship, commitment, and communication among all graduates, former students, current students, parents, faculty, staff, and all other interested friends of KU.
- University of Kansas Endowment Association. Founded in 1891, KU Endowment is an independent, nonprofit organization recognized by KU as the official foundation for raising and managing private funds on behalf of the university. It was the first endowment in the nation affiliated with a public institution. By securing donor contributions, as well as managing and investing the funds established from those contributions, the KU Endowment Association provides an increasing amount of financial support for the university.
• William Allen White Foundation. In 1944 the Kansas Board of Regents established the William Allen White School of Journalism at KU. The following year, a group of William Allen White’s friends established the William Allen White Foundation in his honor. The William Allen White Foundation continues to contribute to KU as well as promote White’s journalistic ideals.

• Global Pharmaceutical Education Network (GPEN). Established by the Department of Pharmaceutical Chemistry, the network fosters and facilitates scientific exchange in the pharmaceutical sciences.

• Hilltop Child Development Center. KU has a contractual arrangement with Hilltop to provide child care services for university students and employees.

The affiliated corporations at the KU Medical Center that are not controlled by the university and the key services they provide are listed below.

• University of Kansas Hospital Authority. The University of Kansas Hospital is the primary teaching hospital for the School of Medicine. It is a separate public authority of the state of Kansas.

• Wichita Center for Graduate Medical Education. The education center provides graduate medical education in Wichita.

• Wichita Medical Practice Association and Physician Practice Corporations in Kansas City. These organizations include the 18 physician practice corporations for School of Medicine faculty. The physician practice corporations in Wichita and Kansas City were created as a means to provide additional salary support for School of Medicine physician faculty through clinical practice.

• Clinical Research Institute. This subsidiary of the Wichita Medical Practice Association was created to provide opportunities for faculty and medical students at the School of Medicine – Wichita to perform clinical research, including clinical trials.

• University of Kansas Physicians. The management service organization assists the 19 physician practice corporations at the Medical Center in Kansas City.
Response to Recommendations of 2005 Review Team

Selective Admissions

_Recommendation:_ Consistent with admissions requirements of AAU member institutions, the 2005 HLC visiting team recommended that KU should consider a phased approach to implementing a more selective admissions policy.

_KU Response:_ In May 2012, new admission standards for incoming freshmen and transfer students were proposed to the Board of Regents after a legislative change delegated that responsibility to the regents. Because open admissions has been a very controversial subject, new standards were developed after careful consideration of KU's typical and ideal pool of applicants and the profile of the successful KU student, as well as a review of admissions standards for peer institutions. More than 200 stakeholders, including students, parents, alumni, educators, and policymakers, were engaged before the new requirements were submitted to the regents. The vast majority expressed support for the change and the importance of standards that not only set out clear goals for students but also reflect the differences among the missions of the universities in Kansas.

The standards were developed under four guiding principles:

1. Admission criteria should be clear and understandable to students, parents, and other key stakeholders involved with college selection and choice.
2. Admission criteria should be informed by data and based upon attributes shown to predict success at KU.
3. Quality, quantity, diversity, and net revenue should be considered to ensure a balanced incoming class.
4. KU should maintain flexibility in adjusting admission criteria based upon institutional priorities and changing enrollment conditions.

Objectives included improving retention and graduation rates, attracting students who can succeed at a research institution with standards that match the academic standards and expectations of a KU education, and maximizing state, institutional, and student resources by admitting students whose previous academic preparation and motivation indicate a high probability of success at KU.

The Board of Regents approved the new admissions standards on June 20, 2012. Under Kansas statute, the new standards can take effect with the Fall 2016 entering class. New freshmen will need to complete the Kansas Qualified Admissions Precollege Curriculum, graduate from a high school or home school, and meet one of two GPA/ACT thresholds. The first requires a minimum 3.0 high school GPA combined with a 24 on the ACT (1090 SAT), while the second requires a minimum 3.25 high school GPA and a 21 on the ACT (980 SAT). New transfer students will need 24 or more semester credit hours of transferable coursework and a minimum 2.5 GPA or an associate of arts or associate of science degree from a Kansas public community college.

Students who do not meet the automatic admission criteria will have their applications reviewed by a committee.
International/Global Awareness

**Recommendation:** “As the Global Awareness Program and other undergraduate and graduate international experiences grow to include all KU students, the university needs to make appropriate budgetary and curricular provisions to accommodate the increased demands.”

**Response:** KU’s international programs are described in detail in Criterion 3.B.4. The most significant change since 2005 is the separation of International Programs from Graduate Studies, concentrating programs under a single unit and appointing Susan Gronbeck-Tedesco as associate vice provost. This change allows greater focus on KU’s international programs. KU consistently ranks among national leaders in the percentage of students who participate in Study Abroad, and has set a goal of increasing that percentage and the number of students who complete semester-long or yearlong experiences. KU also established an innovative Academic Accelerator Program in partnership with Shorelight Education with the goal of eventually doubling the international student population.

Communications

**Recommendation:** The team recommended that KU could better tell its story if communications were designed for the audiences that are their targets. “The audience should include alumni and the larger higher education community as well as potential students, legislators, prospective donors, and taxpayers. The audience should also include internal constituents ... (evidence) suggests that internal communications are not as strong as they should be.”

**Response:** Chancellor Gray-Little reviewed her performance after one year as KU’s leader with new Provost Vitter and two peers from AAU institutions. As a result of this review, in early 2011, after a national search, Tim Caboni was hired as vice chancellor for public affairs and tasked with shaping KU’s communications and government affairs operations. He has created a coordinated organization, the Office of Public Affairs, for strategic communications, news and features, marketing and communications, and state and federal relations. Outreach includes implementation of a campus communicators cabinet, quarterly meetings of all campus communicators, a national mail and advertising campaign, implementation of a content management system for university websites, and a coordinated messaging strategy across all units, including affiliated units.

Assessment

**Recommendation:** “The objectives of a quality and successful general undergraduate education have been consistently and carefully honed over the years ... it is hoped that as the assessment process evolves it will be further augmented with additional tools such as student portfolios. In contrast, the assessment of graduate programs is in its infancy, made possible in recent years by the greater centralization of programs in the graduate school. While the graduate school has a good sense of the data required for the assessment of quality education in the graduate programs, careful attention will be needed in the compilation, reporting, and feedback to relevant units of the data obtained. KU’s desire to increase its stature as a major research institution requires these important data to help it strengthen its requirement and retention of quality graduate students.”

**Response:** KU’s work on assessment during the past decade is described in detail in Criterion 4.B.
Regulatory Relief

*Recommendation:* “As is the case with many public universities, the University of Kansas has seen substantial reductions in state funding. Recognizing that state funding will continue to be limited, the University has sought and received relief from a number of state regulatory requirements. The University needs to continue this program and have the authority to set and retain tuition revenue if it is to meet its instruction and research needs in the future.”

*Response:* As suggested in the 2005 report, KU was granted the authority to transfer administrative responsibility for its classified staff from the state to the university during the 2005 legislative session. In 2014, the regents approved a similar transfer for the five other Regents institutions. In addition, KU has undertaken a classification and market study to review nonfaculty job titles, ensure employees are paid at a market rate, and eventually transfer all positions to unclassified professional staff. In 2006, the Legislature approved a pilot program to grant KU authority over its purchasing, exempting the university from state statutes. During the three years of the pilot program, KU saved approximately $1.76 million and achieved a 40 percent reduction in transaction processing time. Thanks to these results, the statutory change was made permanent in 2010, greatly improving flexibility across campus.

Infrastructure Issues

*Recommendation:* “Over 40% of the campus buildings are more than 40 years old. With the need to address more than $200 million in deferred maintenance the campus should continue to focus on repair, renovation, and replacement of obsolete facilities. The campus master planning process is an effective vehicle for identifying these needs.” “The campus has made significant progress with its information technology programs. It has merged information technology activities with those of the Library. It has developed a portal for access to a wide variety of campus information. The university has one of the more successful PeopleSoft implementations. There is a need to develop a plan to provide for regular upgrading of its technology equipment and to allocate funding for the continuing costs of the PeopleSoft application as it matures.”

*Response:* The 2014–2024 University of Kansas Campus Master Plan was unveiled in March 2014. The document includes extensive analysis and reports on space and classroom utilization, historic patterns and resources, land use, program accommodation, sustainability, coordination with the local community, and other areas. In 2012, the university undertook a single implementation for all campuses of a PeopleSoft upgrade, referred to as HR/Pay. This centrally funded, joint project has streamlined the human resources processes between the Lawrence and Medical Center campuses.
Criterion One. Mission
The institution’s mission is clear and articulated publicly; it guides the institution’s operations.

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

Overview

The mission statement of the University of Kansas was developed through an inclusive process leading to Kansas Board of Regents (KBOR) approval in 1992. The Medical Center mission was modified slightly in 2011 to include the program in Salina. The mission has been enacted and refreshed through strategic planning processes in 2000, 2008 and 2010–11. Each strategic plan has identified timely goals to enhance and build on KU’s fundamental mission to provide an excellent education, world-class research, and service to the state, nation and world. These goals are expressed through a short, more easily communicated statement: “To lift students and society by educating leaders, building healthy communities, and making discoveries that change the world.”

Befitting a comprehensive research university, KU’s 10 Lawrence-based academic units and three Medical Center schools offer bachelor’s degrees in 139 disciplines, 128 different master’s degrees, and doctoral degrees in 100 fields. Through the Office of Undergraduate Studies, the Office of Graduate Studies, and the Division of Student Affairs, KU maintains a comprehensive range of programs to support undergraduate and graduate students comparable to services provided by peer institutions. Its research activity is broad and growing, emphasizing the humanities and arts as well as the sciences and engineering. In FY 2012, KU ranked 38th on the National Science Foundation survey of federal research expenditures, a jump of 11 places among public universities since FY 2003.

True to KU’s mission as a state university, Kansas residents continue to constitute the majority of students enrolled and graduated. In Fall 2013, Kansas residents made up 65.5 percent of enrolled students on the Lawrence campus and 56.0 percent at the Medical Center. Both locations are enrolling more nonresident students than Fall 2003 as a result of deliberate efforts to attract a more geographically diverse group of students. The proportion of nonresident U.S. students has increased from 31.8 percent to 34.5 percent on the Lawrence campus and from 31.0 percent to 44.0 percent at the Medical Center. International students have increased from 5.9 percent to 9.2 percent over this time period on the Lawrence campus and from 4.6 percent to 5.5 percent at the Medical Center. The student body also has become more diverse; 21.8 percent of its first-time freshmen in 2013 were from underrepresented groups, up from 12.6 percent in Fall 2003.

KU’s planning and budget priorities for the Lawrence and Medical Center campuses are tightly coupled to its mission. For example, Bold Aspirations, the strategic plan for the Lawrence campus, specifically targets, among other things, establishing the KU Core curriculum (general education) and investing in first-year experiences as strategies for improving undergraduate education. The institution annually evaluates its progress in attaining its goals.
Narrative and Evidence

1.A.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.

The Kansas Board of Regents approves mission statements for each of its institutions. The KU mission, adopted in December 1992, reflects KU’s nearly 150-year history of instruction, research, and service and has served as both a statement of KU’s long-standing excellence and its commitment to the future. The official mission statement was developed in consultation with a faculty committee and widespread input from the university community.

Preamble to the University of Kansas Institutional Mission

The University of Kansas is a major comprehensive research and teaching university that serves as a center for learning, scholarship and creative endeavor. The University of Kansas is the only Kansas Regents university to hold membership in the prestigious Association of American Universities (AAU), a select group of fifty-eight (now sixty-two) public and private research universities that represent excellence in graduate and professional education and the highest achievements in research internationally.

University of Kansas Institutional Mission

Lawrence Campus

Instruction. The University is committed to offering the highest quality undergraduate, professional and graduate programs comparable to the best obtainable anywhere in the nation. As the AAU research university of the state, the University of Kansas offers a broad array of advanced graduate study programs and fulfills its mission through faculty, academic and research programs of international distinction, and outstanding libraries, teaching museums and information technology. These resources enrich the undergraduate experience and are essential for graduate level education and for research.

Research. The University attains high levels of research productivity and recognizes that faculty are part of a network of scholars and academicians that shape a discipline as well as teach it. Research and teaching, as practiced at the University of Kansas, are mutually reinforcing with scholarly inquiry underlying and informing the educational experience at undergraduate, professional and graduate levels.

Service. The University first serves Kansas, then the nation, and the world through research, teaching, and the preservation and dissemination of knowledge. The University provides service to the State of Kansas through its state and federally-funded research centers. KU’s academic programs, arts facilities, and public programs provide cultural enrichment opportunities for the larger community. Educational, research and service programs are offered throughout the state including the main campus in Lawrence, the KU health-related degree programs and services in Kansas City and Wichita, as well as the Regents Center (now Edwards Campus) and other sites in the Kansas City metropolitan area, Topeka and Parsons (and Salina).

International Dimension. The University is dedicated to preparing its students for lives of learning and for the challenges educated citizens will encounter in an increasingly complex and diverse global community. Over 100 programs of international study and cooperative research are available for KU students and faculty at sites throughout the world. The University offers teaching and research that draw upon and contribute to the most advanced developments throughout the United States and the rest of the world. At the same time, KU’s extensive international ties support economic development in Kansas.

Values. The University is committed to excellence. It fosters a multicultural environment in which the dignity and rights of the individual are respected. Intellectual diversity, integrity and disciplined inquiry in the search for knowledge are of paramount importance.

(Approved by the Kansas Board of Regents 1992)

Typically, a short strategic mission statement distilled from the mission has derived from each chancellor’s strategic planning process. These strategic planning processes (2000, 2008, and 2010) have
allowed for reviews of the mission statement by the university community. This ensures initiatives are current and in line with the mission and that faculty, staff, and students play a part in refreshing the mission through strategic planning. Each strategic planning process has been broadly inclusive. The current short version of KU’s mission, adopted in 2010–11, is:

“To lift students and society by educating leaders, building healthy communities, and making discoveries that change the world.” (Bold Aspirations)

While the board only officially sanctions the mission statements for the Lawrence and Medical Center campuses, the two statements are understood to include the various educational sites and locations within the KU system. The Lawrence campus statement includes the Lawrence campus and the Edwards Campus in Overland Park.

The Medical Center campus statement includes the locations in Kansas City, Wichita, and Salina. It was last approved by the regents in 2011 to reflect expansion in Salina.

<table>
<thead>
<tr>
<th>The University of Kansas Medical Center Mission Statement</th>
</tr>
</thead>
<tbody>
<tr>
<td>The University of Kansas Medical Center is an integral and unique component of KU and the Kansas Board of Regents system. It comprises:</td>
</tr>
<tr>
<td>- School of Medicine — Kansas City, Wichita and Salina campuses</td>
</tr>
<tr>
<td>- School of Nursing</td>
</tr>
<tr>
<td>- School of Health Professions</td>
</tr>
<tr>
<td>The KU Medical Center trains professionals to meet a wide range of health needs in Kansas — from the critical need for primary care and prevention to the urgent need for highly innovative and specialized clinical care. The Medical Center also produces medical scientists who are essential for basic and translational research, supplying the state's bioscience and biotech workforce and creating economic development. The KU Medical Center serves people throughout the state of Kansas and the region, in rural as well as urban areas, and its programs maintain the high scholarship and academic excellence upon which the university’s reputation is based.</td>
</tr>
<tr>
<td>The KU Medical Center’s mission is to create an environment for:</td>
</tr>
<tr>
<td><strong>Education.</strong> The KU Medical Center educates health care professionals to serve the needs primarily of Kansas but also of the region and the nation. The Medical Center offers high-quality educational experiences to a diverse student population through a full range of undergraduate, graduate, professional, postdoctoral and continuing education programs.</td>
</tr>
<tr>
<td><strong>Research.</strong> The KU Medical Center strives to advance the health sciences through internationally recognized research programs in strong basic, clinical, and translational sciences as well as drug discovery, health services research, and public health.</td>
</tr>
<tr>
<td><strong>Patient Care.</strong> The KU Medical Center provides exceptional patient care with a focus on high quality and successful outcomes through hands-on student training, residency programs, affiliations with hospitals and clinics throughout the state, telemedicine and telehealth consultations, and student- and faculty-operated clinics to care for the underserved and uninsured.</td>
</tr>
<tr>
<td><strong>Service.</strong> The KU Medical Center serves the citizens of Kansas, the region and the nation by developing, implementing and promoting model health care programs and through numerous charitable, philanthropic and mission-oriented endeavors.</td>
</tr>
</tbody>
</table>

(Approved by the Kansas Board of Regents 2011)
1.A.2. The institution’s academic programs, student support services, and enrollment profile are consistent with its stated mission.

Academic Programs

Consistent with its mission as a comprehensive, international research university, KU offers more than 360 degree programs in over 160 fields, including the only schools of pharmacy and medicine in the state, on its Lawrence and Medical Center campuses, in various locations across the state, and online. At the Lawrence campus, nine schools and the College of Liberal Arts and Sciences (CLAS) offer bachelor’s degrees in 133 disciplines, master’s degrees in 107 disciplines, and doctoral degrees in 77 disciplines. At the Medical Center, three schools offer bachelor’s degrees in six disciplines, master’s degrees in 23 disciplines, and doctoral degrees in 23 disciplines.

KU adds and modifies existing programs to assure alignment with its institutional mission and to respond to needs in the state. Some examples of academic program enhancements made in response to state needs in the past 10 years include:

- **School of Engineering Expansion.** Growth in the School of Engineering programs is supported by funding from the Kansas Legislature of $3.5 million annually. With this funding and matching funding from other resources, the School of Engineering plans to increase its student body by 60 percent and to add 30 faculty positions, allowing a continued focus on innovative, multidisciplinary research on sustainable energy, alternative fuels, health care, and the impacts of climate change.

- **School of Pharmacy Expansion.** KU houses the only pharmacy school in the state, and pharmacists are in dire need: In 2008, seven Kansas counties had no pharmacist, and 30 had only one pharmacy/pharmacist. In response, KU successfully lobbied the 2008 Kansas Legislature for an expansion to the School of Pharmacy. The plan allowed the School of Pharmacy to double the number of students admitted in 2009 to 190 and to add 40 students at the satellite program at the Medical Center campus in Wichita. Every year since 2008, the number of students in the School of Pharmacy grew. In FY 2013, the school’s enrollment reached capacity at 753.

- **Medical Center Expansion in Salina and Wichita.** As the only medical school in the state, KU Medical Center has responded to its responsibility to “educate health care professionals to serve the needs primarily of Kansas but also of the region and the nation.” In response to a critical shortage of physicians in rural areas of Kansas, the Medical Center added a four-year medical program in Salina and converted its two-year program in Wichita to a full four-year program in 2010. The programs are designed for students who are interested in rural medicine and who will ultimately provide primary care to patients in underserved areas of Kansas.

- **Online Program Development.** The bachelor’s, master’s, doctorate, and certificate distance education programs in the School of Nursing have been offered online since 1998. The School of Social Welfare’s hybrid master’s in social work has been offered online since 2009, and since 2013 a hybrid online social welfare master’s has been offered in western Kansas at Garden City Community College and Fort Hays State University. In 2014, KU partnered with Everspring, an educational, technology, design, and services firm, to bring 15 School of Education programs and certificates online. CLAS and the School of Business plan to develop online programs as well. In general, KU faculty and administrators are moving slowly in creating fully online programs to ensure high quality of programs across modalities.
• Rightsizing the School of Law. Beginning in 2012, the School of Law intentionally reduced its class size to reflect constrictions in the legal job market and to be more selective in admissions. Historically hovering near an average of 165 students, incoming classes now number between 120 and 130 students. This move reflects the school’s commitment to producing graduates who can secure meaningful employment in a challenging legal economy and to using its limited resources wisely.

Research

KU’s commitment to fulfilling its mission through research mirrors its commitment to doing so through academic programs, as evidenced by the breadth and amount of research activity. KU has been a member of the prestigious Association of American Universities (AAU) since 1909 and is classified as a Carnegie research university (very high research activity). KU’s research and academic programs are staffed by world-class research faculty, and the university has multiple programs rated highly by U.S. News and World Report. Goal 3 of Bold Aspirations, “Enhance research broadly with special emphasis upon areas of present and emerging strength in order to push the boundaries of knowledge and benefit society,” builds on KU’s long tradition of research and provides focus for KU’s research efforts in accordance with its mission and aspirations.

KU supports faculty and staff research through the University of Kansas Center for Research Inc. (KUCR), a 501(c)(3) corporation on the Lawrence campus, and similarly through the University of Kansas Medical Center Research Institute, Inc. (see Criterion 5).

Breadth of Research Activity

There are 10 officially designated research centers on the Lawrence campus promoting research in the humanities, social sciences, natural sciences, engineering, biomedical sciences, and education. The Schiefelbusch Institute for Life Span Studies is KU’s oldest research center and largest in terms of annual research expenditures. The KU Cancer Center recently received National Cancer Institute designation, and the Higuchi Biosciences Center has research expenditures of nearly $28 million per year. One of the continuing strengths of KU is the Hall Center for the Humanities, which has made a significant contribution for over 25 years to humanistic inquiry and interdisciplinary scholarship.

Amount of Research Activity

Despite declines in federal funding for research and sequestration, KU’s overall research expenditures increased between FY 2003 and FY 2013. Over the last 10 years, the amount of federally financed research and development (R&D) at KU increased 75.9 percent, and the total amount of R&D increased 62.0 percent. FY 2013 expenditures were $174,021,000 in federally financed R&D and $298,498,000 for total R&D, an all-time high. The School of Pharmacy has been in the top five of the National Institutes of Health pharmacy research expenditures for 12 consecutive years, including second in FY 2012 among all universities and first per funded faculty member.

Student Support Services

KU offers a comprehensive array of services to support its mission of educating leaders (see Criterion 3). Each KU instructional location including online has student affairs and academic support functions.
Programs are highlighted in Goal 1 of Bold Aspirations: “Strengthen recruitment, teaching, and mentoring to prepare undergraduate students for lifelong learning, leadership, and success.”

In 2012, student support services on the Lawrence campus were reorganized to concentrate programs that directly contribute to the academic functions of the university. Undergraduate student support services are now the responsibility of two units: the Office of Undergraduate Studies and the Office of Student Affairs. Collectively, these units provide a comprehensive set of programs and services to support students academically and personally (see Criterion 3.D).

- **Office of Undergraduate Studies.** The University Advising Center, Career Center, and the Writing Center are in the newly created Office of Undergraduate Studies led by a vice provost and dean for undergraduate studies. An Office of First-Year Experience, also located in the Office of Undergraduate Studies, was created in 2010 and encompasses New Student Orientation.
- **Office of Student Affairs.** The office offers a full complement of residential programming for over 5,000 students who live in university housing, leadership opportunities through the Student Involvement and Leadership Center, student health services, recreation services, student conduct, legal services, money management, and counseling and psychological services.

Additional student support is provided by the Office of Financial Aid and Scholarships, in the Office of the Vice Provost of Enrollment Management, by the Office of Graduate Studies, as well as by a range of offices and programs targeted to meet the needs of underrepresented populations, such as the Office of Multicultural Affairs, Office of Diversity in Science Training, and TRIO programs. The Office of Graduate Studies provides student support services for graduate students (see Criterion 3).

**Student Support Services at the Medical Center Campus**
The Medical Center Division of Student Services offers quality student-centered programming and services. The division provides essential support services that assist students as they pursue their academic goals, including student health services, counseling and educational support services, student financial aid, office of student life, and access to the Kirmayer Recreation Center. The Liaison Committee on Medical Education (LCME) mandates that students in the Salina and Wichita medical programs receive comparable resources to those on the main Medical Center campus in Kansas City.

**Student Support Services at Other Campuses**
The Edwards Campus houses a student services staff that includes an advising center and a writing center. Students in online School of Education programs are supported by academic advisors and receive technical assistance provided by Everspring. For students in the master of public administration program at the KU Public Management Center in Topeka, specific advisors are assigned to assist students.

**Student Profile**
KU’s enrollment profile remains stable and consistent with its mission. In recent years, the Kansas population of high school graduates has declined. The same is true for some of the neighboring states from which Kansas typically draws many of its out-of-state students. The good news is that the Kansas population of traditional-age high school graduates is predicted to increase with the class graduating in 2015–16. The following table displays major characteristics of students enrolled in Fall 2013.
## Head Count Enrollment - University Summary

### Fall 2013

<table>
<thead>
<tr>
<th></th>
<th>Lawrence Campus</th>
<th>Medical Center</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Number</td>
<td>Number</td>
<td>Number</td>
</tr>
<tr>
<td></td>
<td>Percent</td>
<td>Percent</td>
<td>Percent</td>
</tr>
<tr>
<td><strong>TOTAL HEAD COUNT</strong></td>
<td>24,435</td>
<td>3,349</td>
<td>27,784</td>
</tr>
<tr>
<td><strong>UNDERGRADUATE/GRADUATE</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Undergraduate</td>
<td>18,744</td>
<td>455</td>
<td>19,199</td>
</tr>
<tr>
<td>Graduate/Professional</td>
<td>5,691</td>
<td>2,078</td>
<td>7,769</td>
</tr>
<tr>
<td>Medical Residents, Fellows, and Trainees</td>
<td>--</td>
<td>816</td>
<td>816</td>
</tr>
<tr>
<td><strong>SEX</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Male</td>
<td>12,276</td>
<td>1,321</td>
<td>13,597</td>
</tr>
<tr>
<td>Female</td>
<td>12,159</td>
<td>2,028</td>
<td>14,187</td>
</tr>
<tr>
<td><strong>RESIDENCY</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Resident</td>
<td>16,011</td>
<td>1,875</td>
<td>17,886</td>
</tr>
<tr>
<td>Nonresident</td>
<td>8,424</td>
<td>1,474</td>
<td>9,898</td>
</tr>
<tr>
<td><strong>RACE/ETHNICITY</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>American Indian/Alaskan Native</td>
<td>157</td>
<td>11</td>
<td>168</td>
</tr>
<tr>
<td>Asian</td>
<td>920</td>
<td>233</td>
<td>1,153</td>
</tr>
<tr>
<td>Black</td>
<td>935</td>
<td>115</td>
<td>1,050</td>
</tr>
<tr>
<td>Hispanic</td>
<td>1,355</td>
<td>129</td>
<td>1,484</td>
</tr>
<tr>
<td>Native Hawaiian/Pacific Islander</td>
<td>21</td>
<td>2</td>
<td>23</td>
</tr>
<tr>
<td>White</td>
<td>17,576</td>
<td>2,727</td>
<td>19,848</td>
</tr>
<tr>
<td>Two or More Races</td>
<td>908</td>
<td>73</td>
<td>981</td>
</tr>
<tr>
<td>Nonresident Alien</td>
<td>2,246</td>
<td>185</td>
<td>2,431</td>
</tr>
<tr>
<td>Unknown</td>
<td>317</td>
<td>329</td>
<td>646</td>
</tr>
<tr>
<td><strong>FULL TIME/PART TIME</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Full Time</td>
<td>21,106</td>
<td>2,744</td>
<td>23,850</td>
</tr>
<tr>
<td>Part Time</td>
<td>3,329</td>
<td>605</td>
<td>3,934</td>
</tr>
<tr>
<td><strong>LEVEL</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Freshman</td>
<td>5,052</td>
<td>--</td>
<td>5,052</td>
</tr>
<tr>
<td>Sophomore</td>
<td>3,921</td>
<td>1</td>
<td>3,922</td>
</tr>
<tr>
<td>Junior</td>
<td>3,964</td>
<td>221</td>
<td>4,185</td>
</tr>
<tr>
<td>Senior</td>
<td>5,322</td>
<td>232</td>
<td>5,554</td>
</tr>
<tr>
<td>Undergraduate Specials</td>
<td>485</td>
<td>1</td>
<td>486</td>
</tr>
<tr>
<td>Graduate/Professional</td>
<td>5,691</td>
<td>2,078</td>
<td>7,769</td>
</tr>
<tr>
<td>Medical Residents, Fellows, and Trainees</td>
<td>--</td>
<td>816</td>
<td>816</td>
</tr>
<tr>
<td><strong>ON CAMPUS/OFF CAMPUS</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>On Campus</td>
<td>22,931</td>
<td>2,708</td>
<td>25,639</td>
</tr>
<tr>
<td>Off Campus</td>
<td>1,504</td>
<td>641</td>
<td>2,145</td>
</tr>
<tr>
<td><strong>AVERAGE AGE</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Undergraduate</td>
<td>21</td>
<td>26</td>
<td>21</td>
</tr>
<tr>
<td>Graduate/Professional</td>
<td>30</td>
<td>30</td>
<td>30</td>
</tr>
</tbody>
</table>
The Fall 2013 student population reflects KU's commitment to educating Kansans as well as how KU welcomes students from across the nation to its campuses and online:

- Students from 104 of 105 Kansas counties were enrolled on all KU campuses. All 105 counties were represented in Fall 2003.
- The university enrolled students from all 50 states, the District of Columbia, and three U.S. territories. The same was true in Fall 2003.
- Continuing Education serves residents in all 105 Kansas counties; each year, the department trains 8,000 law enforcement officers and 7,900 firefighters and first responders to help protect Kansas communities.

The tables below display enrollment trends over the past decade for the Lawrence Campus, the Medical Center Campus, and in total.

<table>
<thead>
<tr>
<th>Student Demographics</th>
<th>Lawrence Campus</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Fall 2003</td>
</tr>
<tr>
<td>Total</td>
<td>26,814</td>
</tr>
<tr>
<td>% Female</td>
<td>52.1%</td>
</tr>
<tr>
<td>% Male</td>
<td>47.9%</td>
</tr>
<tr>
<td>% Resident</td>
<td>68.2%</td>
</tr>
<tr>
<td>% Nonresident</td>
<td>31.8%</td>
</tr>
<tr>
<td>% Undergraduate Total</td>
<td>77.2%</td>
</tr>
<tr>
<td>% Graduate Total</td>
<td>22.8%</td>
</tr>
<tr>
<td>Minority Head Count*</td>
<td>2,915</td>
</tr>
<tr>
<td>% Minority Students*</td>
<td>10.9%</td>
</tr>
<tr>
<td>International Students</td>
<td>1,585</td>
</tr>
<tr>
<td>% International Students</td>
<td>5.9%</td>
</tr>
</tbody>
</table>

* American Indian/Alaskan Native, Asian, Black, Hispanic, Native Hawaiian/Pacific Islander, and Multiple Ethnicities
### Criterion One

**Student Demographics**

#### Medical Center

<table>
<thead>
<tr>
<th>Year</th>
<th>Total</th>
<th>% Female</th>
<th>% Male</th>
<th>% Resident</th>
<th>% Nonresident</th>
<th>% Undergraduate Total</th>
<th>% Graduate Total</th>
<th>Minority Head Count*</th>
<th>% Minority Students*</th>
<th>International Students</th>
<th>% International Students</th>
</tr>
</thead>
<tbody>
<tr>
<td>2003</td>
<td>2,458</td>
<td>58.7%</td>
<td>41.3%</td>
<td>69.0%</td>
<td>31.0%</td>
<td>17.3%</td>
<td>82.7%</td>
<td>366</td>
<td>14.9%</td>
<td>112</td>
<td>4.6%</td>
</tr>
<tr>
<td>2005</td>
<td>2,690</td>
<td>60.7%</td>
<td>39.3%</td>
<td>66.8%</td>
<td>33.2%</td>
<td>18.0%</td>
<td>82.0%</td>
<td>372</td>
<td>13.8%</td>
<td>115</td>
<td>4.3%</td>
</tr>
<tr>
<td>2007</td>
<td>2,918</td>
<td>64.2%</td>
<td>35.8%</td>
<td>68.7%</td>
<td>31.3%</td>
<td>18.2%</td>
<td>81.8%</td>
<td>461</td>
<td>15.8%</td>
<td>130</td>
<td>4.5%</td>
</tr>
<tr>
<td>2009</td>
<td>3,178</td>
<td>63.8%</td>
<td>36.2%</td>
<td>64.8%</td>
<td>35.2%</td>
<td>16.2%</td>
<td>83.8%</td>
<td>489</td>
<td>15.4%</td>
<td>217</td>
<td>6.8%</td>
</tr>
<tr>
<td>2011</td>
<td>3,270</td>
<td>61.8%</td>
<td>38.2%</td>
<td>60.6%</td>
<td>39.4%</td>
<td>13.8%</td>
<td>86.2%</td>
<td>485</td>
<td>14.8%</td>
<td>183</td>
<td>5.6%</td>
</tr>
<tr>
<td>2013</td>
<td>3,349</td>
<td>60.6%</td>
<td>39.4%</td>
<td>56.0%</td>
<td>44.0%</td>
<td>13.6%</td>
<td>86.4%</td>
<td>563</td>
<td>16.8%</td>
<td>185</td>
<td>5.5%</td>
</tr>
</tbody>
</table>

* American Indian/Alaskan Native, Asian, Black, Hispanic, Native Hawaiian/Pacific Islander, and Multiple Ethnicities

#### Overall

<table>
<thead>
<tr>
<th>Year</th>
<th>Total</th>
<th>% Female</th>
<th>% Male</th>
<th>% Resident</th>
<th>% Nonresident</th>
<th>% Undergraduate Total</th>
<th>% Graduate Total</th>
<th>Minority Head Count*</th>
<th>% Minority Students*</th>
<th>International Students</th>
<th>% International Students</th>
</tr>
</thead>
<tbody>
<tr>
<td>2003</td>
<td>29,272</td>
<td>52.7%</td>
<td>47.3%</td>
<td>68.3%</td>
<td>31.7%</td>
<td>72.2%</td>
<td>27.8%</td>
<td>3,281</td>
<td>11.2%</td>
<td>1,697</td>
<td>5.8%</td>
</tr>
<tr>
<td>2005</td>
<td>29,624</td>
<td>51.8%</td>
<td>48.2%</td>
<td>69.5%</td>
<td>30.5%</td>
<td>72.2%</td>
<td>27.8%</td>
<td>3,537</td>
<td>11.9%</td>
<td>1,615</td>
<td>5.5%</td>
</tr>
<tr>
<td>2007</td>
<td>29,260</td>
<td>51.4%</td>
<td>48.6%</td>
<td>69.4%</td>
<td>30.6%</td>
<td>71.2%</td>
<td>28.8%</td>
<td>3,654</td>
<td>12.5%</td>
<td>1,754</td>
<td>6.0%</td>
</tr>
<tr>
<td>2009</td>
<td>30,004</td>
<td>51.2%</td>
<td>48.8%</td>
<td>69.2%</td>
<td>30.8%</td>
<td>70.2%</td>
<td>29.8%</td>
<td>3,839</td>
<td>12.8%</td>
<td>2,143</td>
<td>7.1%</td>
</tr>
<tr>
<td>2011</td>
<td>28,718</td>
<td>51.2%</td>
<td>48.8%</td>
<td>67.4%</td>
<td>32.6%</td>
<td>68.5%</td>
<td>31.5%</td>
<td>4,403</td>
<td>15.3%</td>
<td>2,317</td>
<td>8.1%</td>
</tr>
<tr>
<td>2013</td>
<td>27,784</td>
<td>51.1%</td>
<td>48.9%</td>
<td>64.4%</td>
<td>35.6%</td>
<td>69.1%</td>
<td>30.9%</td>
<td>4,859</td>
<td>17.5%</td>
<td>2,431</td>
<td>8.7%</td>
</tr>
</tbody>
</table>

* American Indian/Alaskan Native, Asian, Black, Hispanic, Native Hawaiian/Pacific Islander, and Multiple Ethnicities
KU’s mission identifies a strong and vibrant international component, which has a long history at the university. The mission explicitly encourages study and research abroad for domestic students, but also recognizes that KU welcomes international students and faculty.

- In Fall 2013, KU welcomed 2,431 international students from 104 countries, an increase of 43 percent since Fall 2003.
- In 2014, KU entered into a partnership with Shorelight Education to build its international student population. In Fall 2014, KU launched the Academic Accelerator Program, a 12-month, three-semester program that provides a unique first-year academic, social, and language acculturation to international students to prepare them for a successful undergraduate career. The goal is to double the international student population.
- The Applied English Center (AEC), founded in 1964, was one of the first intensive English programs in the United States. In Fall 2013, the AEC served 500 undergraduate and graduate students. The center welcomes students at all levels of English proficiency and is committed to preparing students linguistically, academically, and culturally for university life.
- Annually, approximately 22 percent of KU’s baccalaureate degree recipients studied abroad.

1.A.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)

In 2010, with the arrival of a new chancellor and provost, the Lawrence and Medical Center campuses embarked on strategic planning processes resulting in Bold Aspirations, the strategic plan for the Lawrence and Edwards campuses, 2012–2017, and the strategic plan for the University of Kansas Medical Center. Both plans, launched in 2011, outline goals and strategies that will help KU excel at fulfilling its mission.

Prior to 2010, KU’s planning and budget priorities aligned with Initiative 2001 and with KU’s Tuition Enhancement (2007) plan that outlined where tuition revenue was to be spent. Those priorities were determined collaboratively with students and faculty and reinforced, in particular, KU’s teaching and research mission through increased faculty salaries and scholarship money for students in need.

As described more fully in Criterion 5, resource allocation is directly tied to goals and strategies of the strategic plans. Each campus provides an annual assessment and evaluation of its progress toward its strategic goals (Bold Aspirations Annual Report, Fall 2012, Fall 2013, Fall 2014).
Core Component 1.B
The mission is articulated publicly.

Overview
The fundamental mission of KU remains the same today as it was when approved in 1992 and has regularly been refreshed through strategic planning processes. Its shortened version — “To lift students and society by educating leaders, building healthy communities, and making discoveries that change the world” — is communicated widely through various public documents, the website, strategic planning documents, and even on billboards. Specifically, Bold Aspirations and the Medical Center strategic plan and annual reports are widely available on dedicated websites. As indicated in Criterion 1.A, the mission statement clearly identifies the scope of KU’s academic programs, research, and service activities as well as the nature, scope, and intended constituents of its programs, each characteristic of a public AAU university. Budgeting priorities are tightly coupled to the strategic plan, and progress toward achieving the goals in the strategic plan for each campus is publicly documented annually.

Narrative and Evidence

1.B.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.

1.B.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.

1.B.3. The mission documents identify the nature, scope, and intended constituents of the higher education programs and services the institution provides.

KU communicates its mission and goals with the Kansas Board of Regents, with campuses within its system, and with faculty, staff, students, alumni, and the public through a variety of media and publications.

- The mission statement is published on the KU website and in major publications such as the KU Catalog and KU Profiles, the fact book for the university.
- Constituents can access the mission statement using the About KU tab on the website home page, the website search function, through the Chancellor’s Office website, and through the Provost’s Office website.

As stated earlier, the mission reflects KU’s nearly 150-year history of instruction, research, and service and has served as a statement of KU’s long-standing excellence and its commitment to the future. KU’s mission statement for the Lawrence and Medical Center campuses was formally approved by KBOR in 1992, and the mission statement for the Medical Center campus was updated to recognize the expansion of programs and approved in 2011.
To more easily communicate the university’s fulfillment of its mission, a restated version of the mission — “To lift students and society by educating leaders, building healthy communities, and by making discoveries that change the world” — is often featured in university documents and communications, including:

- Annual reports, including the Chancellor’s Report for FY 2013 and the Chancellor’s Report for FY 2014, which keep the mission at the forefront of the university’s efforts and guide deployment of resources.
- Strategic planning documents for both the Lawrence and Medical Center campuses.
- Unit publications like the Kansas Alumni magazine.
- Speeches and public video messages from the Chancellor’s Office and the Provost’s Office.
- In advertisements for open university positions, including faculty, staff and deans, directors, and other administrators.

In addition, most schools, units and departments have adopted statements that interpret and articulate their specific roles in fulfilling the institution’s overall mission. Individual unit mission statements, goals, and values are found on the KU website, and many are published in the KU Catalog.

Mission Statements

- College of Liberal Arts and Sciences
- School of Architecture, Design and Planning
- School of Business
- School of Education
- School of Engineering
- School of Health Professions
- School of Journalism and Mass Communications
- School of Law
- School of Medicine
- School of Music
- School of Nursing
- School of Pharmacy
- School of Public Affairs and Administration
- School of Social Welfare
- Office of Research
- Office of Student Affairs
- Spencer Museum of Art
- KU Libraries

The Lawrence campus mission identifies research and teaching as mutually reinforcing at KU, “with scholarly inquiry underlying and informing the educational experience” at all levels. The scope of the Medical Center’s mission includes providing exceptional patient care with a focus on high-quality instruction and successful outcomes for patients.

The mission is renewed and refreshed through Bold Aspirations, which includes goals focused on instruction, research, service, and development. Bold Aspirations is guided by the shortened version of the mission.
Core Component 1.C
The institution understands the relationship between its mission and the diversity of society.

Overview

KU’s role in an increasingly diverse society that has domestic as well as global dimensions has deep roots extending back to the debate over whether Kansas would be a free or a slave state. KU’s commitment to the diversity of society is outlined in its mission statements for the Lawrence and the Medical Center campuses and in the current strategic plans for both. Since 2005, through intentional efforts, the student body and the faculty have become more diverse. The percentage of domestic students from underrepresented groups and international students has increased. Likewise, there has been growth in the number of tenured and tenure-track faculty members from underrepresented groups.

KU’s commitment to preparing its students and cutting-edge scholarship for an increasingly global and diverse society is evident in its curricular and co-curricular offerings. Evidence of this includes its significant success in developing and promoting academic programs and research emphases on area studies programs such as African and African American Studies, American Studies, and Women, Gender and Sexuality Studies. In fact, KU was among the first universities in the country to offer academic programs in women’s studies and African American studies.

Likewise, KU has a strong commitment and record of success in international programming. Over 22 percent of KU baccalaureate degree recipients study abroad, and its Title VI centers have ensured strong academic and research programs. KU is recognized nationally and internationally for its leadership in teaching and research on disability. Beginning in 2013, the KU Core requires all KU graduates to meet learning Goal 4: “Respect human diversity and expand cultural understanding and global awareness,” which they can do by choosing from among over 350 approved courses or through experiential learning programs such as study abroad and the Global Awareness Program. Co-curricular diversity initiatives are led and coordinated through the Office of Diversity and Equity in the Provost’s Office.

Although KU has made significant strides in fulfilling its commitment to the values expressed in its mission of creating a multicultural environment, there is always more to be done. The newly hired vice provost for diversity and equity is leading an effort to develop a multifaceted, campus-wide diversity agenda.

Narrative and Evidence

1.C.1. The institution addresses its role in a multicultural society.

KU addresses its role in a multicultural society in a variety of ways:
• KU’s actions are guided by a Statement on Diversity and Inclusion:
   “As a premier international research university, the University of Kansas is committed to an open, diverse and inclusive learning and working environment that nurtures the growth and development of all. KU holds steadfast in the belief that an array of values, interests, experiences, and intellectual
and cultural viewpoints enrich learning and our workplace. The promotion of and support for a
diverse and inclusive community of mutual respect require the engagement of the entire university. “

- KU has an explicit Nondiscrimination, Equal Opportunity, and Affirmative Action policy:
  “The University of Kansas prohibits discrimination on the basis of race, color, ethnicity, religion, sex,
national origin, age, ancestry, disability, status as a veteran, sexual orientation, marital status,
parental status, gender identity, gender expression and genetic information in the University’s
programs and activities.”

- KU’s strategic plan articulates its commitment to sustain and build diversity in the university
  community. For instance, Goal 5 of Bold Aspirations addresses “developing excellence in people,”
  and states a commitment to “enhance the diversity of faculty, staff, and student body.”

- Likewise, Goal G of the Medical Center strategic plan is to “increase diversity, cultural competence
  and professionalism across KUMC.”

- The KU Core explicitly requires students to meet diversity goals.

- The vice provost for diversity and equity, a position established in 2010 and elevated to vice provost
  in 2011, works collaboratively with the campus community on the recruitment, retention, and
  professional development of underrepresented faculty and staff, and coordinates academic support
  and programs for students from underrepresented groups in collaboration with academic schools
  and student affairs offices (see Criterion 1.D).

- The executive director of the Office of Institutional Opportunity and Access has been designated as
  the individual responsible for handling inquiries about the nondiscrimination policy.

These actions ensure that KU is committed to creating an open, diverse, and inclusive learning and
working environment that nurtures the growth and development of students, faculty, staff, and other
constituents.

1.C.2. The institution’s processes and activities reflect attention to human diversity as appropriate within
its mission and for the constituencies it serves.

Student Diversity

Over the past 10 years, KU’s student, faculty, and staff populations have become more racially and
ethnically diverse:

- The Fall 2013 incoming freshman class is the most racially and ethnically diverse in KU’s history. At
  the Lawrence campus in Fall 2003, the first-time freshman percentage of minority students
  (including students who self-reported as American Indian/Alaskan Native, Asian, Black, Hispanic,
  Native Hawaiian/Pacific Islander, and multiple ethnicities) was 12.6 percent; in Fall 2013, the first-
  time freshman percentage of minority students rose 9.2 points to 21.8 percent. New transfer
  students are also increasingly more racially and ethnically diverse. In Fall 2003, the percentage of
  minority transfer students was 13.4 percent, and the percentage rose 11.3 points to 24.7 percent in
  Fall 2013.

- The Medical Center has experienced a slight increase in student diversity. The percentage of
  minority students increased from 14.9 percent in 2003 to 16.8 percent in Fall 2013.
International students comprised 5.5 percent of the student body in 2003 and 8.8 percent in Fall 2013.

In Fall 2003 there were 3,144 students (15 percent of undergraduate head count) on the Lawrence campus who received Pell Grants for low income students. In Fall 2012 that number had increased to 4,417 (24 percent of undergraduate head count). This is a notable increase.

KU is adjusting its recruitment, curriculum, and services in response to changing state demographics to fulfill its commitment to educate and support students who may come from increasingly diverse backgrounds. The increased racial and ethnic diversity of incoming freshmen aligns with changes in state demographics. Data from the Western Interstate Commission for Higher Education in 2012 indicate that Kansas’ public high school graduating classes are projected to grow increasingly diverse due in large part to increases in Hispanic graduates. For example, Hispanic public high school graduates are projected to rise from 13 percent of the total in 2014–15 to 18 percent by 2027–28. Asians/Pacific, American Indians/Alaska Natives, and Blacks retain relatively constant proportions of the total throughout, with about 4 percent, 1 percent, and 7 percent, respectively.

Diversity (racial-ethnic, geographic, socio-economic) is a university priority. Since 2012, the number of applications submitted by minority students has increased 66 percent. In Fall 2013, minority students made up 22 percent of the entering freshman class.

As new admissions standards go into effect in 2016, the Office of Admissions continues to work with the Office of Institutional Research and Planning, along with outside research firms, to ensure a diverse class. While ACT scores will continue to be used as a factor in the determination of admissions, other variables, such as academic intensity of the high school curriculum and high school grade point average, have been shown to be more highly predictive of student success at KU.

**Admissions Requirements for High School Class of 2016 and Beyond**

**Kansas residents graduating from accredited high schools**

To qualify for admission to KU as freshmen, students graduating from an accredited high school in Kansas must submit a completed application with the $30 fee and meet the following requirements:

- 2.0+ GPA in the Kansas Qualified Admissions curriculum and
- 3.0+ overall GPA and 24+ ACT (1090+ SAT) or
- 3.25+ overall GPA and 21+ ACT (980+ SAT)
- If applicable, achieve a 2.0 GPA or higher on any college credit taken in high school

**Nonresidents graduating from accredited high schools**

To qualify for admission to KU as freshmen, students graduating from an accredited high school must submit a completed application with the $30 fee and meet the following requirements:

- 2.5+ GPA in the Kansas Qualified Admissions curriculum and
- 3.0+ overall GPA and 24+ ACT (1090+ SAT) or
- 3.25+ overall GPA and 21+ ACT (980+ SAT)
- If applicable, achieve a 2.0 GPA or higher on any college credit taken in high school
Faculty and Staff Diversity

As shown below, over a 10-year period, the number of tenured and tenure-track professors, associates, and assistants who are women increased from 293 in Fall 2003 to 365 in Fall 2013. The number of minority tenured and tenure-track professors, associates, and assistant faculty increased from 137 in Fall 2003 to 208 in Fall 2013.

### Faculty and Staff Demographics

<table>
<thead>
<tr>
<th></th>
<th>Fall 2003</th>
<th>Fall 2008</th>
<th>Fall 2013</th>
<th>Percent Change 2003-2013</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tenured/Tenure-Track with Rank of Professor, Assoc. Professor, or Asst. Professor (Includes Faculty Administrators)</td>
<td>1,016</td>
<td>1,093</td>
<td>1,087</td>
<td>7.0%</td>
</tr>
<tr>
<td>Women</td>
<td>293</td>
<td>342</td>
<td>365</td>
<td>24.6%</td>
</tr>
<tr>
<td>% Women</td>
<td>28.8%</td>
<td>31.3%</td>
<td>33.6%</td>
<td></td>
</tr>
<tr>
<td>Minority</td>
<td>137</td>
<td>180</td>
<td>208</td>
<td>51.8%</td>
</tr>
<tr>
<td>% Minority</td>
<td>13.5%</td>
<td>16.5%</td>
<td>19.1%</td>
<td></td>
</tr>
<tr>
<td>All Tenured/Tenure-Track Faculty (includes Librarians)</td>
<td>1,073</td>
<td>1,154</td>
<td>1,144</td>
<td>6.6%</td>
</tr>
<tr>
<td>Nontenure-Track Faculty</td>
<td>353</td>
<td>425</td>
<td>482</td>
<td>36.5%</td>
</tr>
<tr>
<td>Staff</td>
<td>3,236</td>
<td>3,486</td>
<td>3,542</td>
<td>9.5%</td>
</tr>
<tr>
<td>Women</td>
<td>1,872</td>
<td>1,999</td>
<td>1,988</td>
<td>6.2%</td>
</tr>
<tr>
<td>% Women</td>
<td>57.8%</td>
<td>57.3%</td>
<td>56.1%</td>
<td></td>
</tr>
<tr>
<td>Minority</td>
<td>412</td>
<td>488</td>
<td>469</td>
<td>13.8%</td>
</tr>
<tr>
<td>% Minority</td>
<td>12.7%</td>
<td>14.0%</td>
<td>13.2%</td>
<td></td>
</tr>
</tbody>
</table>

- Between FY 2009 and 2014, 312 newly hired faculty included 26 percent who were minority (30 women and 52 men).
- In Fall 2013, minority faculty represented 14 percent of full professors, 22 percent of associate professors, and 24 percent of assistant professors.
- In Fall 2013, female faculty members represented 24 percent of full professors, 39 percent associate professors, and 45 percent of assistant professors.

The higher percentages of female and minority faculty members at the assistant and associate ranks bode well for the future diversification of the faculty. KU has faculty development processes in place to ensure their future success (see Criterion 3.C).

In comparison to many institutions, KU has an enviable record of success in recruiting female faculty in STEM fields. KU has a higher percentage of women in several STEM fields than do the Top 50 STEM
research departments as ranked according to research funds expended (Nelson and Brammer, 2010). For example, FY 2013 data compiled by the KU Office of Institutional Research and Planning show that women constitute 20.7 percent of the faculty members in the KU chemistry department and 25 percent in mechanical engineering. KU’s success is likely the result of the university’s commitment to faculty development and support borne out of a culture of self-assessment. In the past decade, KU has instituted a tenure stop clock policy for the birth or adoption of a child, a modified instructional duties policy to care for family members, and spousal accommodation support.

The percentage of minority staff has remained fairly constant over the last 10 years.

KU’s innovative Hiring for Excellence program supports the continued diversification of the faculty and staff. The program has increased the likelihood of a successful search with more diverse candidate pools by including telephone interviews before selection of applicants for on-campus interviews. For instance, as of June 2014, the program had expanded searches in the College of Liberal Arts and Sciences by 14 additional diverse candidates, and of these, six have been hired.

Academic units maintain individual diversity goals. For example, the School of Education’s multiyear initiatives are led by a steering committee that includes the school’s Multicultural Committee. Activities include a school climate survey, a retreat focused on diversity issues in higher education settings, multiple brown bag lunch sessions on topics such as micro-aggressions, and a shortened version of Safe Zone training. The School of Engineering maintains a successful Women in Engineering program and a variety of Minority Engineering Programs.

**Diversity Initiatives**

KU’s commitment to diversity includes a number of offices, centers, events, programs, outreach activities, organizations, and councils. These initiatives include processes and activities that help KU realize its goals of creating a diverse, inclusive environment, and of increasing knowledge and awareness of diversity among its faculty, staff, and students.

**Academic Units and Centers**

- For much of the past 10 years, KU’s five area studies programs that conduct research on and recognize diversity have included four Title VI National Resource Centers: the Center for Latin American and Caribbean Studies, the African Studies Center, the Center for East Asian Studies, and the Center for Russian, East European and Eurasian Studies, plus an area studies center, the Center for Global and International Studies. In the latest round of funding, only the Center for East Asian Studies retained its designation as a Title VI center. Even without the Title VI funding, the program faculty members and College of Liberal Arts and Sciences administrators are committed to ensuring that the centers’ work will continue at a high level in order to maintain KU’s strength in this area.

- The Latino/a Studies Minor, housed in the Department of American Studies, focuses on issues related to the Hispanic population in the United States.

- The Department of Women, Gender, and Sexuality Studies, one of the earliest such programs in the country, was founded in the early 1970s as an interdisciplinary Women’s Studies program. It became a full department in 1980 and was approved to offer a Ph.D. program and enrolled its first doctoral students in Fall 2011.
Research Units and Centers
KU has several nationally recognized research centers that capitalize on excellence in research and teaching for populations with special needs, primarily housed in the award-winning Life Span Institute. These include the Center for Research on Learning (strategies for learning disabilities), the Beach Center on Disability, and the Life Span Institute at Parsons, which has conducted research in the field of developmental disabilities for over 50 years and acquired an international reputation for its pioneering work with persons with disabilities. In addition, KU’s Department of Special Education is the top-rated public university program in the country.

The Office of Diversity and Equity
Housed in the Office of the Provost, the Office of Diversity and Equity is overseen by the vice provost for diversity and equity, and includes the following offices and centers (described in Criterion 3):

- Office for Diversity in Science Training (ODST). Established in 2005, ODST coordinates the management of five minority student programs at the University of Kansas and Haskell Indian Nations University that are funded by grants from the Minority Opportunities in Research Division of the National Institutes of General Medical Sciences.
- Emily Taylor Center for Women & Gender Equity. The mission is “to provide leadership and advocacy in promoting gender equity and challenge gender-related barriers which impede full access and inclusion.”
- Office of Multicultural Affairs. Provides direction and services for current and prospective students from underrepresented populations. In addition, through collaborative partnerships the office offers diversity education programs that foster inclusive learning environments for all students (see Criterion 3.B).
- Multicultural Scholars Program. Recruits undergraduate students from under-represented backgrounds into participating academic majors as a means of increasing the diversity of the student body. Each of the seven academic units within the program addresses academic, social, personal, and career aspects of a student’s university experience and assists and prepares them to receive the maximum benefit of their education during their undergraduate study. Each academic unit has a program director(s) who serves as a student’s primary contact throughout their experience. Seven schools and CLAS have programs.

Additional Diversity Offices and Programs

- The Institutional Opportunity and Access office (IOA), reporting to the associate vice provost for human resource management. IOA has an institutional responsibility to enhance and strengthen diversity and inclusion. IOA engages in training and investigation and oversees the affirmative action plan and targeted hires. IOA informs the campus community on anti-discrimination laws and KU policies and procedures to prohibit discrimination.
- The Academic Achievement and Access Center serves the needs of students with disabilities and need for academic accommodations (see Criterion 3).
- The Office of International Programs coordinates the numerous campus activities and opportunities with an international focus including the Office of Study Abroad and the Applied English Center.
- The Student Involvement and Leadership Center (SILC) sponsors and coordinates numerous instructional and co-curricular activities that prepare students to live in and contribute to a
multicultural society. These include the LGBTQ Resource Center and Nontraditional Student Services. In July of 2014, SILC hired a full-time coordinator of LGBTQ programs.

- The Center for Educational Opportunity Programs (CEOP) includes TRIO, Upward Bound, and McNair Scholars that support a wide spectrum of learners from preschool through college by providing educational information, counseling, academic instruction, tutoring, assistance in applying for financial aid, and support to students and their families. CEOP programs serve KU students and youth, adults, and veterans in Lawrence, Topeka, and Kansas City.

- The Edwards Campus supports nontraditional student degree programs at times that are convenient for working adults, such as in the evenings or through online support. With over 1,700 students enrolled in Fall 2013, the Edwards Campus population includes significant numbers of students who are married, have children at home, and/or who work full-time.

- At the Medical Center, cultural competency is woven throughout the curriculum. The summer prior to starting medical school, admitted students participate in a book program through the Office of Cultural Enhancement and Diversity. Students read a book highlighting the impact of cultural differences on patients’ health and healthcare in the United States. Once on campus, students discuss the book with faculty and other students and/or meet the author on campus. In coursework, diversity and cultural competency are stressed in preclinical curriculum and clerkships. In the fourth year, cultural competency is addressed through service learning immersion experiences.

Core Component 1.D
The institution’s mission demonstrates commitment to the public good.

Overview

KU’s actions and decisions reflect an understanding that, as the state’s flagship public university, it has an obligation to serve first the citizens of the state, then the nation and the world. This is reflective of the academic programs it offers, the research it conducts, and the public service programs it offers. KU’s historic public commitment is reinforced by the current strategic plans for the Lawrence and Medical Center campuses that emphasize engaging scholarship for the public good. Myriad means are used to discern constituent needs, such as interaction with elected officials, the Alumni Association, and program-specific advisory boards. A good example of such engagement is the Johnson County Research Triangle funding to support academic programs at the Edwards Campus and research at the Medical Center.

KU’s public obligation is represented in its work through the Kansas Biological and Geological Surveys; educational outreach programs; continuing education programs, such as Osher Lifelong Learning Institute, Kansas Law Enforcement Training Center, and Kansas Fire & Rescue Training Institute; service projects through programs such as the Big Event; health and wellness programs such as the JayDoc Free Clinic; academic centers such as the Hall Center for the Humanities and The Commons; and cultural enrichment programs through the Lied Center, the museums, and the Dole Institute of Politics. Additionally, service learning is one form of experiential learning that can be approved to meet the KU Core.

The strategic plan, Bold Aspirations, specifically focuses on service and public benefit in Goal 4, “Engaging Scholarship for Public Impact.”
Narrative and Evidence

1.D.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.

1.D.3. The institution engages with its identified external constituencies and communities of interests and responds to their needs as its mission and capacity allow.

The missions of KU and the Medical Center recognize their role in serving the public.

As stated earlier, KU has added academic programs to respond to public need, including new courses online and courses offered in diverse parts of the state, and established the KU Core curriculum in part to respond to educational trends and societal demands that college graduates acquire certain learning outcomes upon earning their degree. The strategic plans of the Lawrence and Medical Center campuses prioritize discovery and innovation for public good. Engaged scholarship is central to both *Bold Aspirations* and the Medical Center strategic plan. Goal 4 of *Bold Aspirations*, “*Engaging Scholarship for Public Impact*”, identifies three strategies to enhance and promote scholarly advances into direct societal benefits:

- Promote a culture that openly values engaged scholarship.
- Encourage, support, and coordinate engaged scholarship.
- Promote active entrepreneurship and vibrant external partnerships.

KU faculty and administrators are regularly involved in efforts to identify critical public education issues in the workforce, region, and beyond through membership on advisory boards, membership on boards such as the Johnson County Research Triangle governing board, and in research units such as the Kansas Geological Survey, Kansas Biological Survey, and the Tertiary Oil Recovery Project. Venues such as the Lied Center and the Spencer Museum have members of the public on their boards, and schools and departments maintain public representation on their advisory boards.

**KU Core Curriculum**

Goal 5 ensures that students practice social responsibility and demonstrate ethical behavior. Specific learning outcomes related to social responsibility include:

- Students will be able to develop and apply a combination of knowledge and skills to demonstrate an understanding of social responsibility and ethical behavior.
- Students will be able to act on this understanding of social responsibility and ethical behavior to others in one’s local, national, or global community, and contribute positively via leadership, collaboration, or other direct action.

A total of 39 courses and four experiential learning opportunities apply to Goal 5 of the Core. This goal and the associated learning outcomes demonstrate the importance KU places on public service and instilling this value in every student.
Educational Partnerships and Outreach

- **The Johnson County Education and Research Triangle** is a visionary community and academic partnership that will define the region as an innovator of research, science, and technology. In November 2008, Johnson County voters approved a 1/8-cent sales tax without an expiration date. The tax is estimated to bring in about $5 million annually for each of three university entities: the KU Medical Center, the KU Edwards Campus, and the K-State Olathe Campus. The economic benefit will be more than $1 billion over the next two decades, according to the County Economic Research Institute. All revenues collected by the tax can be used only at the identified locations.

- **School of Business Redefining Retirement – nicknamed RedTire** matches qualified graduates who want to own a business with business owners looking to retire. The program is aimed at preventing rural businesses from closing because an owner cannot find a successor.

- **Engineering Expo** is an annual student-organized event held during National Engineers Week. Since 1911, the Expo has strived to create excitement and interest in the fields of math, science, and engineering. During the three-day event, over 3,000 students from elementary through high school participate in design competitions, examine engineering organization displays, hear from an industry professional about engineering in the real world, and dive into interactive demonstrations.

- **The Confucius Institute** is dedicated to “enhancing the understanding of the Chinese language and culture” in the region. Drawing on the extensive resources for the study of China at the University of Kansas, the institute serves Kansans by providing Chinese language instruction in area K-12 schools.

- **Summer camps** offer a great opportunity to showcase academic and athletic offerings to future generations of Jayhawks. Camps range across ages and academic disciplines. The School of Engineering’s Eureka Weekend is a day of discovery for boys and girls in fifth, sixth and seventh grades; **Harvest of Hope Leadership Academy** is a three-week residential program for migrant Kansas high school students; the School of Pharmacy sponsors a yearly summer camp for high school students and incoming college freshmen interested in a pharmacy degree; and the Midwestern Music Camp is a comprehensive summer music program for students in sixth through 12th grades.

- The School of Business’ **Kansas Impact Project** pairs nonprofit organizations with teams of first-year MBA students to address specific challenges.

- **Project LAUNCH** is a five-year project to improve the coordination of services for Finney County children and families. Since its beginning in 2009, the project has improved services related to home visitation, parent education, professional development, and mental health consultation. It has covered topics such as childhood obesity, literacy, and substance abuse that are crucial to children’s health and development.

- The **Student Athlete Advisory Committee** hosts annual Special Olympics volleyball and football clinics for community youth.

- The **KU Natural History Museum** offers gallery activities and hands-on science workshops for school groups, public science events, and summer camps for young people. Annually, 50,000 people visit the exhibit galleries in Dyche Hall.

- The **Spencer Museum of Art** houses an internationally known collection that is deep and diverse, currently numbering nearly 36,000 artworks and artifacts in all media. It has an active outreach program to invite classes from all fields to meet in the museum and engage students.
Lifelong Learning

- **The Osher Lifelong Learning Institute** creates accessible and innovative learning environments throughout Kansas and the Greater Kansas City area, with special focus on participants age 50 and over. Choosing from a diverse collection of courses, learners create their own program of personal development, expanding their views of the world and enriching their lives and their communities.

- **The Landon Center on Aging** has a major community outreach initiative to improve the quality of life of older adults through weekly brown bag lunch series for seniors, caregiver support groups, the Forever Young Choir, Landon Fitness Center for older adults, and other special events.

- **The College of Arts and Sciences Mini College** offers adults with a thirst for learning the opportunity to rediscover the student experience. Participants spend a week on campus reconnecting with KU through lectures, tours, and special events with top faculty and university leaders. Courses cover the breadth of the college curriculum.

- **KU Continuing Education** supports the teaching, research, and service missions of KU, contributing to postgraduate professional education, workforce development, distance learning, and quality of life for Kansans and worldwide communities. In 2013 there were 30,000 participants in professional training and education programs.

Service Learning

- Established in 2005, the **Center for Civic and Social Responsibility’s** mission is to make civic and social responsibility a priority and core focus at the university, where civic responsibility is defined as intentional involvement in shared efforts to enhance the common good, and social responsibility is defined as developing self-awareness, concern for others, and the ability to act for the purpose of the common good.

- **The Big Event** connects the KU campus with the Lawrence community by recruiting thousands of student, faculty, and staff volunteers to work at hundreds of local job sites during one day of service. Volunteers provide a helping hand to Lawrence residents by completing projects in their neighborhoods. In 2014, the Big Event recruited 3,000 student, faculty, and staff volunteers to work at 300 local job sites.

- First-year students participated in Super Service Saturday during 2014 Hawk Week, KU’s orientation programming that starts on move-in day. While engaging in volunteer opportunities through the **Center for Community Outreach** (CCO), new KU students discovered community agencies at KU and throughout Lawrence. Students volunteered at 12 service sites.

Cultural Enrichment

- **Kansas Public Radio (KPR)**, a charter member of National Public Radio, has been on the air since 1952. KPR is a 15-time winner of the **Kansas Association of Broadcaster’s Station of the Year**, has repeaters in Emporia, Olsburg/Junction City, and Chanute, and translators in Manhattan and Atchison that reach approximately 1.9 million people.

- The 2,000-seat **Lied Center of Kansas** opened in 1993, hosts an annual calendar of performances, and serves as a venue for the KU Department of Dance, the KU School of Music, and university and community events, performances, and presentations. Community engagement activities and events at the Lied Center are free and open to the public.
• **The Dole Institute of Politics**, named for native Kansan and former Senator Robert Dole, provides a forum for discussion of political and economic issues and promotes political and civil participation and bipartisan discourse. The 28,000-square-foot space offers public programming areas, exhibit cases, reading room and staff offices, and archival storage and work areas. Annual programs that are free and open to the public include the Presidential Lecture Series, the Dole Lecture, the Dole Leadership Prize Presentation and Lecture, and Dole Forum events.

**Quality of Life and Health and Wellness**

• **The Kansas Audio-Reader Network** is a reading and information service for blind, visually impaired, and print disabled individuals in Kansas and western Missouri. Volunteers read daily newspapers, magazines, and best-selling books on the air and on the Internet, 24 hours a day. Services are offered free to those unable to read normal printed material.

• The KU Medical Center offers hearing care services for individuals of all ages. Two audiology clinics help serve the community: the Audiology Clinic at KU Medical Center in Kansas City and the Hartley Audiology Clinic at the KU Edwards Campus in Overland Park.

• **The Midwest Cancer Alliance** brings together cancer research, care, and support professionals to advance the quality and reach of cancer prevention, early detection, treatment, and survivorship in the Heartland. The alliance links KU Cancer Center research and services with member hospitals, medical professionals, and their patients so that the latest cancer research and care can be found close to home.

• **The JayDoc Free Clinic** has served approximately 2,000 patients per year since its 2003 launch. The student-run clinic provides non-emergency urgent and preventative care to the uninsured and underinsured populations of Greater Kansas City and Wichita. JayDoc is staffed with volunteer attending physicians and residents, medical student physicians, and staff who serve with patient intake and front desk operations.

• **The Juniper Gardens Children’s Project** is a research center in Kansas City promoting children’s social well-being and academic achievement by improving the quality of their care and educational experiences. Juniper Gardens is part of the Life Span Institute.

**Economic Development and Entrepreneurship**

• **KU Innovation and Collaboration** (KUIC) partners with corporations to bring KU innovation to the marketplace. KUIC benefits corporate and industry partners and university entrepreneurs by sponsoring research, licensing technologies, educating employees, and readying the next generation of the workforce.

• In 2013, the **Proof of Concept Fund** awarded $50,000 to five researchers for projects that were within 12 months of the commercialization stage and could result in new life-changing technologies. Grantees included a pharmaceutical chemistry professor developing new treatments for multiple sclerosis.

• The new **Earth, Energy and Environment Center** will include a full floor dedicated to industry partnerships, outreach, and technology. The layout will include outreach offices for the Tertiary Oil Recovery Program and the Kansas Geological Survey, among others.

• In 2013, KU hosted a team of American International Group (AIG) executives, which led to collaboration between AIG and KU’s Center for Business Analytics and Research. The partnership will
extend to AIG’s Olathe facility and to potential jobs and internships for students at the School of Business and the School of Law.

- The Bioscience and Technology Business Center (BTBC) facilities on the Lawrence and Medical Center campuses provide an entrepreneurial infrastructure to support new ventures. Tenants choose to locate at KU for easy access to laboratories, researchers, and undergraduate and graduate students that help their businesses flourish. The Lawrence campus BTBC was expanded in 2014 to meet demand.

The Medical Center Campus

Goal D of the Medical Center strategic plan is to “Elevate and Align Outreach and Community Engagement.” It will do so through four strategies:

- Create an organization for supporting, coordinating, and communicating outreach.
- Strengthen community engagement to serve the needs of Kansas.
- Promote a culture where engaged community-based scholarship is valued.
- Increase coordination of outreach across missions, campuses, schools, and communities.

The Institute for Community Engagement at the Medical Center supports practical work with community partners that propel communities and academia forward. Other efforts:

- Began an internal audit of community advisory boards at the Medical Center to explore options for an institution-wide Community Advisory Board.
- Announced the creation of four annual awards, totaling $19,100, for faculty, staff, students, and community partners who demonstrate exemplary dedication to improving the health of communities.
- Worked with faculty and staff across campus to implement a preceptor database to coordinate activities, reducing confusion and booking errors for preceptors, and encouraging interdisciplinary student experiences.
- Continued county health initiatives including education and research in Latino communities in Kansas through Juntos, Center for Advancing Latino Health, and culturally tailored health programs for American Indian populations living on Kansas reservations through the American Indian Health Research and Education Alliance.

KU Alumni Association

The 40,000-member KU Alumni Association exists to strengthen KU by informing, engaging, and mobilizing the KU community. As of 2013, the alumni association had 67 chapters and annually hosted approximately 450 events worldwide. Through its board and full-time staff, the alumni association provides an avenue for alumni to share their opinions with KU leaders. The association also has representatives on the Athletics Advisory Board and the Kansas Memorial Union board. Each professional school and the College of Liberal Arts and Sciences has an alumni advisory board.
1.D.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.

KU is a public university governed by the Kansas Board of Regents. As a nonprofit, state governmental entity, KU does not generate financial returns for other entities. Contributions to or support for other organizations or operations that are not a part of the university’s mission would require board approval.

Criterion One Summary

The evidence presented in Criterion One demonstrates that KU meets each of the core components. The university’s official mission statement has periodically been refreshed through inclusive strategic planning processes, the most recent of which resulted in Bold Aspirations, an ambitious five-year plan that guides the university’s activities and budget priorities through 2017. Bold Aspirations identifies specific goals and strategies that build on the pillars of KU’s mission to deliver high-quality education to an increasingly diverse population, to conduct research, and to put the results of that research to work building healthy communities and making discoveries that will help make the world a better place. The mission and strategic plan recognize KU’s role as a public research university that has obligations to the state of Kansas but also to the nation and world. This recognition is made real through excellent academic programs, world-class research, and hundreds of public outreach activities. As demonstrated in Criterion Five, KU’s budgeting priorities and processes are tightly coupled with the strategic plan to enable the university to achieve its goals.

Strengths

- KU’s mission is regularly refreshed through strategic planning processes. The current plan, Bold Aspirations, is a comprehensive plan centered around KU’s mission as a public research university. The plan drives decision making in a very focused way. KU’s priorities align with its mission.
- KU has made significant strides over the last 10 years in diversifying the makeup of the student body it enrolls and the faculty and staff who teach and support students.
- Despite recent cuts in funding to many of its Title VI National Resource Centers for area studies, KU continues to be a leader in the Midwest in promoting the study of languages and in the academic programs and research produced on critical regions of the world. The KU Core ensures that all KU graduates will meet outcomes relating to domestic as well as global diversity.
- KU has made strides in the last decade in improving public access to its information through adoption of a single content management system, resulting in a more standardized format for its web pages. In addition, the Office of Public Affairs has increased communication of KU’s activities to the public.
- The faculty, staff, and students engage in hundreds of activities and services that promote the health, well-being, and cultural enrichment of the citizens of Kansas, the region, and the world.

Challenges

- Through the Self-Study process, it became apparent that the formal mission had not been updated to include newly approved locations (e.g., Salina, Garden City, Fort Hays, and online programs) and formally approved by the Kansas Board of Regents. This will be done.
• In a decentralized environment, it can be a challenge to get various units to integrate the strategic plan into their work. In such an environment, it is safe to say that not all members of the KU community share the same levels of knowledge of and excitement about the strategic plan.

• Recruiting, retaining, and assisting in the success of historically underrepresented students, faculty, and staff remains a continuing challenge. The Self-Study process served as a reminder that the university has data on these populations that can be used to better understand their experiences, and that KU can make better use of those data. In other cases, a more proactive approach is needed to understand the experiences of these populations as a foundation for mounting more systematic efforts to create a welcoming climate in which all can thrive. A newly hired vice provost for equity and diversity has begun to study the current environment and to plan a coherent strategy moving forward.

• Recruiting high-quality undergraduate and graduate students remains a challenge. The competition was described as “cut throat” by some associate deans, particularly in the face of surrounding state universities that offer in-state tuition to Kansas residents.

• Increasing student debt load is a growing concern, especially in professional schools. For example, the typical graduate from KU’s six-year pharmacy program owes about $70,000, while the starting salaries are almost $120,000.

Future Directions

• In order to fulfill its mission as a state-supported public university, KU will continue to develop partnerships with community colleges. For example, the university has a dual admission process with Johnson County Community College to allow students to take courses where and when they need them. At the urging of the Kansas Board of Regents, additional efforts will be undertaken to develop 2+2 programs with the 19 Kansas community colleges to enhance degree completion within the state.

• Although KU is a relatively late entrant into the online degree program market, in the next 10 years the university will see additional growth in this area as a means of better serving the state and region. In addition to new School of Education online programs, the School of Business recently voted to also enter a partnership with Everspring to develop an online master of business administration degree program. The College of Liberal Arts and Sciences plans to offer a bachelor’s of general studies completion program online.

• The next 10 years will see increasing efforts to diversify the campus in accordance with its mission. KU will respond to demographic changes in the state by enhancing efforts to recruit minority students and providing academic supports that will help them succeed. Also, with the assistance of Shorelight Education, KU seeks to recruit international students from more geographic regions and double the number of International students on campus.
Criterion Two. Integrity: Ethical and Responsible Conduct
The institution acts with integrity: its conduct is ethical and responsible.

Core Component 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.

Overview
As a public university, KU is subject to all state and federal laws as well as stipulations of the Kansas Board of Regents (KBOR) in the conduct of its business. Above and beyond its legal obligations, KU holds itself to the highest standards of integrity in all its functions, as expected of an excellent university. When KU discovers a breach of this ethical contract, it acts swiftly to remedy the precipitating incident and ensure that the appropriate structures and educational programs are in place to prevent future problems. Since the 2005 Self-Study, the university has created a robust series of offices and functions to assure that all areas of the university act ethically and with integrity. These offices complement long-standing research integrity offices regarding human and animal protection and include an expanded Office of General Counsel, Office of Internal Audit, Office of Institutional Compliance on the Lawrence campus, Office of ADA Education, Office of Institutional Opportunity and Access, and Office of Export Compliance, in addition to individual teams for threat assessment and campus safety. KU’s financial functions are consistent with best business practices, and regular audits are conducted. All controlled and affiliated auxiliary operations have supervising governing boards that conduct audits of their financial operations.

A comprehensive set of policies exists to ensure that faculty members, staff, and students are treated fairly and ethically in their employment relationships with the university and with respect to academic activities. All policies are housed in an accessible Policy Library. In 2013, the Policy Library moved from a document management system to a content management system, greatly improving search ability and ease of use.

Narrative and Evidence
The university’s commitment to ethical behavior is grounded in a set of values expressed in the mission:

“The university is committed to excellence. It fosters a multicultural environment in which the dignity and rights of the individual are respected. Intellectual diversity, integrity, and disciplined inquiry in the search for knowledge are of paramount importance.”

KU fosters an ethical environment through mutually shared values and expectations. These values are enacted in collaborative governance structures, codes, regulations, and policies stipulating the rights and responsibilities of those who are members of the KU community. In addition to having collaboratively determined values and expectations, KU emphasizes education and staff training to ensure the values are upheld and passed from generation to generation. The university maintains compliance, audit, and other monitoring functions to ensure the university’s financial, academic, and
auxiliary operations operate within federal, state, and local laws, codes, and guidelines. As a public university, KU is subject to all state and federal laws in the conduct of its business. It seeks to be transparent in its operations:

- The university conducts its business openly and transparently by complying with the Kansas Open Meetings Act and the Kansas Open Records Act.
- The Office of Institutional Research and Planning annually publishes a wide range of institutional data on its public website.
- The university adheres to all federal reporting requirements, in particular Title IV and Title IX.

University Offices and Programs

Four university units provide general support and guidance to efforts to conduct actions ethically and with integrity.

**General Counsel**

The Office of the General Counsel, and its staff of 10 attorneys, serves as the university’s legal advisor in matters concerning internal and external constituencies. It maintains an effective and comprehensive working relationship with corporate counsel for other key entities, such as the KU athletic and research corporations on the Lawrence and Medical Center campuses, University of Kansas Innovation and Collaboration (KUIC), and KU Hospital.

**Office of Internal Audit**

The Office of Internal Audit is one of seven offices that report directly to the chancellor and provides independent, objective assurance and advisory services to KU operations, KU Medical Center, Edwards Campus, and controlled affiliated corporations. Internal Audit activities include:

- Assessed the maturity of the KU Medical Center’s program for export control compliance in light of plans to consolidate compliance efforts on both campuses under a single, university wide program. The audit provided a framework for how the program should be developed going forward.
- Performed tests to identify potential conflicts of interest among the university, its controlled affiliated corporations, and any external entity in which a university employee has a substantial business interest as part of an annually recurring audit.
- Assessed the governance program in place for the KU Medical Center, the Division of Continuing Education, and Kansas Athletics to address risks from processing payment cards and determined the obligation of these units to comply with the Payment Card Industry Data Security Standard.
- Reviewed selected activities on the KU Lawrence campus involving non-KU student minors for adherence to university policy and risk management practices.
- Received 16 “actionable” submissions under the Whistleblower policy between 2012 and June 2014. “Actionable” are complaints that are not spam email or a general inquiry about KU. Internal Audit worked with Institutional Compliance to move the reporting system to a third-party KU hotline/helpline, an industry standard practice.
**Institutional Compliance**

The **Office of Institutional Compliance** (OIC) launched in 2013, unites individual compliance functions spread across the Lawrence campus. The office reports to the Institutional Compliance Executive Committee, which includes the chancellor, provost, senior vice provost for academic affairs, general counsel, vice provost for administration and finance, chief financial officer, and the vice chancellor for research. Day-to-day supervision is provided by the senior vice provost for academic affairs with a dotted line to general counsel. Its overarching goal is to promote development and implementation of positive and productive strategies to prevent wrongdoing and promote “rightdoing” in support of all aspects of the university’s mission. Examples of program accomplishments include:

- Performed a comprehensive risk assessment and identification of substantive priorities (e.g., lab safety, export control compliance, and HIPAA).
- Created the Institutional Compliance Partners Network to facilitate communication among individuals from units across campus with compliance responsibilities (e.g., KU Athletics, Counseling and Psychological Services, Comptroller, Environment, Health and Safety, and Student Health Services). The group meets quarterly.
- Collected and analyzed data reflecting “primary exposures” (e.g., results of lab safety inspections as to hazardous waste disposal) and progress in addressing such exposures.
- Performed tabletop and other preparatory exercises (e.g., simulated incidents and inspections) in order to anticipate, and better address potential areas of concern, e.g., meningitis outbreak.
- Launched a centralized portal/website to connect all compliance resources in 2014.
- Launched a centralized reporting hotline/helpline run by a third party in 2014, accessible via the OIC website.
- Initiated plans to develop unit-level benchmarks and reporting frameworks to measure progress and shape action in all key compliance areas.

The Policy Office reports to Institutional Compliance. A comprehensive set of policies collaboratively developed and approved through the shared governance system exists to ensure that faculty, staff, and students are treated fairly and ethically in their employment relationships with the university and with respect to academic activities. The **Policy Library** was developed in 2008 as a resource to coordinate and publish university policies. In 2013, the Policy Library moved from a document management system to a content management system, greatly improving search ability and ease of use. The Policy Library receives more than 15,000 views a month.

The Policy Office staff assists with the development and location of policies. When asked if they knew where to find policies, some faculty and staff expressed a lack of familiarity with the Policy Library and how to use it. Efforts to publicize the Policy Library and to improve the user experience are ongoing. As with other communication challenges, the university must continue to be cognizant of staff who do not have frequent access to computers.

**Institutional Opportunity and Access**

**Institutional Opportunity and Access** (IOA) works to enhance and strengthen diversity and inclusion at KU. Reporting to the associate vice provost for human resource management, IOA offers training, investigates complaints, develops the university’s affirmative action plan in collaboration with other units, and approves direct hires. The office also oversees compliance with Section 31.105 of Title II of the Americans with Disabilities Act that requires the university to conduct a self-evaluation of its
programs and services. IOA follows the Discrimination Complaint Resolution Process to investigate complaints. Students, faculty, staff, and witnesses can report sexual assault complaints via fax, online form, mail, or phone.

A significant focus is the prevention of sexual harassment and sexual assault. Program actions include:

- Developed an online training program about sexual harassment that was delivered to faculty members, students, and staff in 2012, then redesigned and delivered anew in 2013. In 2012, 86 percent of students and 94 percent of faculty and staff completed the online training. In 2013, 74 percent of students and 86 percent of faculty and staff completed the training. The decrease is likely due to the fact that many participants completed training in 2012 and did not elect to complete it again.
- Offered over 30 live training presentations in 2013 for students, faculty, and staff on sexual harassment, ADA, human resources compliance, and equal opportunity compliance. This included sexual harassment training sessions specifically for fraternities and residence hall staff.
- Provided consultations and collaborations on sexual assault with Student Affairs, engaged local law enforcement and the sexual assault nurse examiner at the Lawrence Memorial Hospital.
- Participated in the Douglas County Sexual Assault Response Team.
- Launched a consent campaign for Fall 2014 to further increase awareness of the interplay between alcohol and sexual assault.
- Administered a confidential campus survey in 2013 completed by close to 900 undergraduate and graduate students. Only 16 percent of U.S. institutions, including KU, have completed a campus climate survey. Results included:
  - Eleven percent indicated they had been victims of sexual harassment; of those only two percent reported it to the IOA.
  - Eleven percent have witnessed sexual harassment, including sexual violence; of those, only three percent reported it.
  - Ninety-one percent indicated that they know it violates KU’s Sexual Harassment policy to have sex with someone who is too incapacitated to give consent.
  - Only 25 percent reported knowing about the IOA.

In 2013, IOA’s first full year of operation, it received 85 complaints and investigated 84. The investigations resulted in 41 recommendations, including two for probation, 13 “no-contact” letters, and 12 perpetrators banned from campus. KU has engaged in approximately 20 sexual assault investigations since 2013.

IOA works with the senior associate athletics director/senior woman administrator of KU Athletics to ensure that athletes are fully aware of KU’s policies and procedures regarding sexual violence. A 2014 analysis of KU’s sexual violence policies and procedures by the IOA director indicated that the university meets or exceeds the recommendations in Senator Claire McCaskill’s sexual violence on campus report.

In July 2014, KU was notified by the U.S. Department of Education Office for Civil Rights that it had received a complaint alleging discrimination on the basis of sex, specifically that the university failed to adequately respond to an allegation of sexual assault. The university has provided its initial response and disputes that it discriminated against the complainant on the basis of sex and failed to adequately address a claim of sexual assault. If the visiting team would like additional information about this...
pending matter, appropriate campus personnel will be made available to discuss to the extent permitted by law.

In September 2014, media reports about sexual assaults on campus generated a strong reaction on campus, particularly among students. The chancellor appointed a task force, co-chaired by a faculty member and graduate student, to address student concerns and review KU’s policies and procedures on sexual assault. Recommendations are expected in April 2015.

**Mandatory Education Programs**

Beginning in Fall 2010, new degree-seeking students under 21 years of age are required to participate in a mandatory alcohol and drug education program called AlcoholEdu.

All students enrolled for New Student Orientation are expected to complete a training tutorial on safety and sexual harassment as they relate to the KU campus community. Students are instructed to access the tutorial through Blackboard when they sign up for an orientation session and reminded approximately one week prior to their orientation visit.

**Kansas Athletics**

Kansas Athletics maintains a vigorous compliance function. The Compliance Office investigates and self-reports any NCAA violations, which typically are isolated. Secondary infractions are discovered through institutional monitoring and the Compliance Office systems. Kansas Athletics also frequently uses outside counsel on issues as deemed necessary. The Compliance Office conducts hundreds of in-person education sessions every year with Kansas Athletics staff, coaches, student-athletes, campus staff, boosters, fans, and the general public. Kansas Athletics is proactive through social media in making compliance materials available online.

In collaboration with the Provost’s Office, Kansas Athletics implemented a policy requiring all student-athletes who take an independent study course to produce a syllabus generated by the professor. That syllabus is kept on file in the Academic Support office in KU Athletics.

**Research Integrity**

On the Lawrence campus, Research Integrity, a unit of the Office of Research, works with university committees, departments, and centers across campus to provide administrative oversight of numerous compliance areas, including research involving humans and animals, conflicts of time and interest, restricted research, Responsible Conduct of Research training, and scholarly misconduct. The Office of the Associate Vice Chancellor for Compliance performs similar functions for the KU Medical Center. Each campus has established policies and procedures governing the ethical treatment of humans and animals in research. Research integrity is discussed in depth in Criterion 2.E.
Examples of Addressing Concerns
When concerns are raised or the institution discovers problems in its primary or auxiliary operations, it responds appropriately. Several examples illustrate this:

**U.S. Department of Education Office for Civil Rights**
The university has responded positively to contact from the Office of Civil Rights (OCR):

- KU was notified on October 30, 2009, that it had received a complaint alleging discrimination on the basis of sex, alleging that the university denies males equal opportunity in intercollegiate athletics. The complaint was resolved without a finding against the university through a resolution agreement dated March 22, 2010, in which the university agreed to conduct assessments of its intercollegiate athletic program and effectively accommodate the interests of male and female students. The university is complying with the terms of the agreement.

- OCR notified KU on November 26, 2009, that it had received a complaint alleging discrimination on the basis of disability arising out of the university’s dismissal of a Ph.D. student. OCR investigated the allegations and determined that there was insufficient evidence to support that the university had engaged in discrimination and notified the university of such on April 26, 2010.

- OCR notified KU on February 16, 2010, that it had received a complaint alleging discrimination on the basis of disability, race, and retaliation arising out of the university’s decision not to continue a graduate student’s teaching appointment. The complaint was resolved without a finding against the university through a resolution agreement dated December 16, 2010, in which the university agreed to revise and disseminate its grievance procedure pertaining to investigation of complaints of harassment and discrimination. The university fulfilled the terms of the agreement.

- OCR notified KU on June 14, 2011, that it had received a complaint alleging discrimination on the basis of disability arising out of the university’s alleged failure to provide adequate academic accommodations. The complaint was resolved without a finding against the university through a resolution agreement dated March 29, 2012, in which the university agreed to revise and publish its notice of nondiscrimination, revise and disseminate its procedures for providing academic accommodations, and provide training regarding academic accommodations. The university fulfilled the terms of the agreement.

- OCR notified KU on November 7, 2011, that it had received a complaint alleging discrimination on the basis of sex, alleging that the university failed to adequately respond to an allegation of off-campus sexual assault. The complaint was resolved without a finding against the university through a resolution agreement dated March 29, 2012, in which the university agreed to revise its policies and procedures relating to sexual harassment and sexual assault; provide training for faculty, staff, and students; complete timely investigations; create a committee to address Title IX concerns on campus; and complete campus climate assessments. The university fulfilled the terms of the agreement.

- OCR notified KU on June 7, 2012, that it had received a complaint alleging discrimination on the basis of race, disability, and age arising out of the university decision not to admit a student to a doctoral program. OCR investigated the allegations and determined that there was insufficient evidence to support that the university had engaged in discrimination and notified the university of such on October 5, 2012.
Kansas Athletics
In response to a federal investigation in 2009 into charges that several employees of Kansas Athletics had sold men’s basketball and football tickets for their own profit, the chancellor ordered an internal investigation. The investigation uncovered the improper diversion of thousands of dollars’ worth of basketball and football tickets over a five-year period. In response, the chancellor and director of athletics implemented immediate changes: strengthening internal controls for ticket management, including better tracking and monthly reporting and reconciliation of ticket sales; adjusting job duties; hiring a full-time forensic auditor to ensure financial integrity; establishing a hotline for whistleblowers that is independent of Kansas Athletics (KU’s Office of Internal Audit); and enhancing transparency of select-a-seat events. In addition, federal prosecutors charged the former employees, who were convicted and sentenced with up to 46-month jail terms.

Disability Issues
In response to a student request, the provost created the Americans with Disabilities Act Task Force in 2010. The task force recommended 49 action steps, and within two years 42 had been addressed. These include hiring a full-time director of access and disability education in 2012; creating an ADA facilities coordinator position in the Office of Design and Construction Management; providing online training, “Access, Communication and Teamwork: Working with Students with Disabilities,” to all faculty and select staff who play a role in providing accommodations; and modifying campus “handicapped” parking signs to say “accessible parking.” In addition, the ADA director worked with Coca-Cola to ensure that vending machines on campus meet ADA standards, altering Coca-Cola’s national design standards. The task force issued progress reports in 2012 and 2013.

Campus Safety
In response to the Virginia Tech shootings, KU developed and maintains a multi-tiered emergency notification system, which provides “alerts” and other status reports in real time. The Medical Center also maintains a customized Emergency Management program tailored to that campus.

Financial Integrity
All administration and finance units operate in accordance with policies set by the KBOR and maintain the highest integrity in KU’s financial functions. Monitoring of financial integrity is described in detail in Criterion 5.A.5.

- KU’s financial records are audited as part of the biannual State of Kansas audit.
- The annual budget is a matter of public record. A printed copy is available through the KU Libraries.
- Information on financial expenditures in all institutional accounts is available to hundreds of individuals with access to the KU Financial System, which is a secure web-based management information system.
- Lawrence campus fiscal functions, including the Comptroller’s Office (purchasing, payroll, accounting, bursar, and financial reporting), the KUID Card, and the Budget Office maintain integrity by operating under defined practices appropriate to each business area in keeping with KBOR policy and state law in the management and handling of university and state funds.
- At the Medical Center, the office of Institutional Finance and Administration provides fiscal management and services, including Accounts Payable, the Budget Office, the Controller, Purchasing, and other business functions.
• Kansas Athletics is transparent in its annual reports, posting financial statements, Equity in Athletics Disclosure Act Report, NCAA Membership Financial Reporting System, and IRS Form 990 Return of Organization Exempt from Income Tax.

Personnel Integrity

As the only Kansas institution with a University Senate, KU’s infrastructure for shared governance (described fully in Criterion 5.B) is integral to ensuring ethical and responsible behavior related to academic functions through joint development and enforcement of policies. Academic functions are guided by principles of academic freedom and integrity, by open inquiry and discussion, and by respect for diversity of views and backgrounds, and are developed within the framework of KBOR policies. Lawrence campus faculty, staff, and students are guided by a set of policies and procedures developed largely by university governance.

The Handbook for Faculty and Other Unclassified Staff and the University Support Staff handbook provide information about the structure and policies that govern the faculty and staff on the Lawrence campus and at off-campus units reporting to the main campus. KU policy is the binding agent in the event an inconsistency is noted between the handbook and policy. Whenever possible the handbook provides links to the Policy Library and policies referenced.

The handbook articulates and references codes, policies, and regulations:

• The Faculty Code of Rights, Responsibilities, and Conduct specifies the rights, responsibilities, and proscribed conduct of faculty members in performance with their duties. The code also specifies the range of sanctions that can be applied for violations of proscribed conduct.
• The Faculty Senate Rules and Regulations contain provisions for admission, placement exams, credit for resident and nonresident study, definitions of academic work, promotion and tenure, sabbatical leave, restricted research policy, and the review and reappointment of chairpersons, academic deans, and vice chancellors.
• The University Senate Code details the organization, structure, responsibilities, and membership of university governance committees and boards.
• The University Senate Rules and Regulations detail policies governing calendar, grading, academic misconduct, final examination, degree requirements, and conflict resolution within the university.

The KUMC Handbook for Faculty and Other Unclassified Staff contains the major policies affecting faculty and staff at the Medical Center. The handbook specifies the rights, responsibilities, and proscribed conduct of faculty members, including provisions for faculty appointments, review and evaluation, appeals and grievances, and academic, research, and scientific misconduct. It spells out policies governing calendars, final examinations, and professional conduct. Faculty and staff working in the Medical Center hospital or clinics are also governed by the Medical Staff Bylaws, the Patient’s Bill of Rights, the Hospital Ethics Handbook, and the Human Resources Policies and Procedures Handbook.

The Student Governing Council at the Medical Center is responsible for expenditure of student fees and the organization of campus events. The council consists of representatives from each school and is governed by the Student Governing Council Constitution and Bylaws.
Promotion and Tenure Process

KU’s promotion and tenure process (described in more detail in Criterion 3.C) provides an example of how KU seeks to be ethical and responsible in its most significant personnel review process. The process is multi-tiered, providing checks and balances to ensure that promotion and tenure decisions are fair and consistent across the university. Article VI of the Faculty Senate Rules and Regulations, which establishes policies and procedures for guiding tenure and promotion decisions, was significantly revised in 2007 to ensure greater transparency in the process. Changes implemented in 2007 were assessed in 2012 and further modified in 2013. Additional modifications, such as requiring all promotion and tenure policies to be reviewed by a university committee, and provision of clearer rationales for negative recommendations were made to enhance clarity and transparency of the process. Between 2007 and 2012–13, seven out of 179 tenure cases were appealed. None of the cases since the 2007 policy revision have been upheld.

Data from the 2011 Collaborative on Academic Careers in Higher Education (COACHE) survey suggests that satisfaction with the clarity of KU’s promotion and tenure policies was relatively high (just below four on a five-point scale). KU ranked first or second on this dimension among its selected peers. Satisfaction with promotion and tenure policies was similar across gender and race/ethnicity.

KU Office of Human Resource Management, KUMC Office of Human Resources

In all of its personnel functions — from first contact to hiring, career advancement and retirement — KU maintains integrity through a set of comprehensive policies and services that are fair, transparent, respect worker rights, and create a safe working environment. Personnel functions are overseen by the Office of Human Resource Management in Lawrence and the Office of Human Resources at the Medical Center.

- KU has central offices of Human Resources, Institutional Opportunity and Access (equal opportunity office), and Ombuds to assure objective avenues to resolve conflict and to investigate and resolve complaints, grievances, and/or violations of policy and/or law based on established processes that are legally compliant.
- Access to policies relating directly and indirectly to personnel matters are available through a Policies and Resources link.
- KU provides training programs to employees and supervisors to assure understanding of best management practices.
- KU is in the midst of a campus-wide Classification and Market Study to provide consistent application of job titles and market-based salary ranges for all staff positions. To date, over 2,100 positions have been examined, properly classified, and placed on a market-based pay scale; 815 of those positions received a salary increase.
- KU maintains and controls access to confidential personnel data securely in password-protected enterprise computing systems.
- KU conducts criminal background checks reviewed by Human Resources for all its employees upon hire in order to assure a safe workplace.
- KU was locally recognized as the 2014 “Best Place to Work” by the “Best in Lawrence” survey conducted by the Lawrence Journal-World.
The **Ombuds Office** serves as a resource center for consultation, conciliation, negotiation, conflict assistance, and mediation and makes referrals to a number of offices and faculty or staff members involved in the **Campus Dispute Assistance Services**. The office annually has nearly 400 independent contacts and follow-up consultations with students, faculty, and staff.

Personnel are protected against retaliation for reporting suspected wrongdoing by the **KU Whistleblower policy**. The policy outlines appropriate reporting structures for allegations of misuse of funds, research misconduct, NCAA violations, breach of data privacy, or security. The Institutional Compliance Office has implemented a hotline/helpline maintained by an independent third party. Nine full-time staff members serve as designated school officials and alternate/responsible officers maintaining compliance with the Department of Homeland Security's Student and Exchange Visitor Information System. International Student Services staff members regularly monitor data on international students and exchange visitors to comply with reporting requirements.

KU’S **Department of Environment, Health and Safety** seeks to ensure university employees work in a safe environment. It provides consultation to units and monitors campus activities to assure that federal, state, local, and university environmental, health, and safety laws, regulations, ordinances, and policies are being followed.

**Auxiliary Organizations**

All auxiliary organizations associated with KU are expected to follow all applicable KBOR, state, federal, and university laws and policies, ensuring consistency in ethics and integrity.

The Internal Audit director reports annually to the KBOR Fiscal Affairs and Audit Committee, summarizing the prior year’s activities and the internal audit plan for the coming year. Internal Audit has full and free access to all affiliate corporation records, physical properties, and personnel relevant to an audit for affiliated corporations controlled by the university through membership on their boards, listed in the Self-Study introduction.

The university does not control some affiliated corporations. However, as with the university-controlled affiliates, KU has a formal, legal agreement with each. Each corporation has a governing board and an audit function, and most audit reports are made publicly available on the affiliates’ websites or can be obtained from their chief financial officers.

When necessary, the university responds to unethical behavior by increasing oversight or making proactive changes to its relationships with its external business partners.
Core Component 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.

Overview
Information on program, academic requirements, faculty and staff, costs to students, and accreditation relationships are available on KU’s website. KU has implemented a single content management system to standardize the look and feel of the KU website with an eye to improving access to information. Printed academic catalogs have been replaced with a more complete website, most recently redesigned for the 2014–15 academic catalog. With the rapid development of web-based technologies and changing user preferences, maintaining accurate and easily accessible information is an ongoing process requiring constant attention and revision. Websites are at varying stages of adoption of the content management system, which will streamline access to information and make it easier to keep the information current. Assuring accuracy of such a large, complex website is an ongoing effort, and the Self-Study process revealed varying degrees of attainment of the “ease of access” to information, broken links, and different titles for the same policies. This provides an opportunity to correct these problems and, in many cases, move to adoption of the content management system.

Narrative and Evidence
KU is committed to providing information to the public regarding its goals, initiatives, and commitments. A variety of media ensure that the mission and initiatives are communicated widely. This includes KU’s YouTube channel, social media outlets such as Facebook and Twitter, and television commercials and print publications that reach local and national audiences. The university values ensuring that students, employees, and members of the general public are able to find details regarding admission requirements, transfer equivalencies, academic and co-curricular programs, cost of attendance, and accreditation relationships at the institution and program levels.

Management occurs as follows:

- The Office of Public Affairs provides a centralized operation for public affairs and KU news. The office oversees institutional news and media relations, government relations, marketing and branding, creative and editorial services, and ceremonies and events.
- KU.edu provides clear and accurate information to current and potential students, parents, faculty, staff, and alumni on all university activities and functions.
- KU uses Drupal, a website content management system, to ensure that the navigation and content of university websites is clear and consistent. The software platform enables support staff across the Lawrence and Medical Center campuses to add and edit content and media using standardized university templates to ensure website consistency, currency, and ease of use.
- The Office of Institutional Research and Planning publishes a variety of data about the university that is available to the public, including fact books, reports and studies, tuition documents, and links to university planning documents and KBOR performance agreements. KU Profiles is produced
annually as the central piece of this effort and includes comprehensive data providing insights into university operations.

- As a participant in the Voluntary System of Accountability, KU maintains a [College Portrait](#) page.
- The Office of Graduate Studies publishes [doctoral program profiles](#) providing admission, funding, completion, and time to degree data on each doctoral program. The profiles are linked on each program’s website. During the 2014–15 academic year, master’s program profiles will be added.

### Admission Requirements

All admissions information is on a single Office of Admissions [website](#), ensuring accuracy, availability, and easy accessibility. The KU homepage Admission tab provides links to potential students, parents, counselors, and the public to undergraduate, graduate, and professional programs. Frequent marketing campaigns utilize “redirect” URLs that direct interested students and parents to the Office of Admissions website.

The site provides tools that allow potential students to find information on admissions deadlines and to track the status of their application. Current [resident requirements](#) and [nonresident requirements](#) are available. New admissions requirements going into effect for Fall 2016 also are published on the website.

Transfer information includes how to transfer credits, including information on standardized test scores, advanced placement credits, and other exams as they relate to transfer credit or course exemptions. Ease of access is enhanced by the [CredTran transfer equivalency program](#).

Professional school and graduate admissions are handled by the respective school and program. The Office of Graduate Studies presents a variety of information to prospective graduate students and links to individual units.

### Cost to Students

KU provides a variety of resources to assist parents and students with determining the cost of attending KU. Most notably are the Office of Admissions [website](#) and the Office of Financial Aid and Scholarships [website](#).

- The Office of Admissions [Affordability tab](#) presents information on the cost of KU compared to its public AAU peers; outlines the [average cost](#) of tuition, fees, books, and housing in detail; and includes a [cost calculator](#) that helps students determine the cost of attendance and integrates financial aid and scholarship options. Additionally, admissions staff members are trained to help prospective and current students accurately calculate the cost of attendance.
- The Office of Financial Aid and Scholarships [website](#) includes information on financial aid, scholarships, cost, forms, and bills and payments. Students and parents can make appointments to speak with staff who can help with scholarship searches and the process for submitting the free application for federal student aid (FAFSA). Staff members also can discuss with students measures the university has in place for emergency funding.
Current students view, accept, and decline financial aid awards, make payments, and receive bills through their secure, password-protected Enroll and Pay account.

Once admitted to KU, first-time freshmen are offered a fixed rate of tuition for four full years, commonly referred to as the tuition compact. A full detailing of all tuition rates and fees are outlined in the Comprehensive Fee Schedule, which is annually revised and approved by the Board of Regents.

Program Requirements

Comprehensive information about academic and co-curricular programs is available to the public, students, faculty, and staff via the online catalog. Other sources:

- **Academic requirements**, including graduation requirements, are in the academic catalog and available through academic advising. Links to related policies and departmental-specific information are provided in the Policy Library. All professional schools and the College of Liberal Arts and Sciences maintain websites that provide information on admission requirements to individual majors, co-majors, minors, and graduate programs, as well as degree and graduation requirements and all deadlines related to completing academic programs.
- Academic information is provided to all new students and their parents at New Student Orientation, Hawk Week, and Hawk Days. In 2013, 3,981 freshmen (98.9 percent) and 1,224 (87.4 percent) transfer students attended New Student Orientation, an increase of 194 students from 2012. An overwhelming majority (86.8 percent) of student attendees in 2013 indicated that they understood academic requirements and expectations as a result of attending orientation.
- The myKU Portal provides a centralized location for current students to access the online schedule of courses, information about the KU Core, links to the academic schools and departments, and resources for exploring fields of study. The portal also provides a primary and secure access point for notifying students of enrollment holds, academic notices, and university announcements, and provides links to course schedules, grades, and academic services.

Faculty and Staff

The university shares information publicly about faculty and staff through profiles and directories posted on College and school websites.

- Most units provide links to curriculum vitae, external websites, and information on research or policy interests for faculty. The public also may search for faculty and staff members using the People Search directory on the KU website.
- KU invested in Professional Record Online, a content management system to standardize the public presentation of faculty credentials and accomplishments.
- KU Innovation and Collaboration is developing a searchable KU expertise website to allow internal and external constituents to search for faculty by areas of research or policy interest.
- The KU Profiles webpage provides aggregate data including headcount, rank, race/ethnicity, gender, awards, and salary comparison data.
Control

As discussed in Criterion 1.D.2, KU is a public institution governed by the Kansas Board of Regents. Information about the Board of Regents governance of KU is published on the website under the “About KU” tab. A direct link to KBOR’s website is provided.

Accreditation Relationships

KU maintains and publicizes accreditation status for itself and for professionally accredited units:

- **Overall accreditation** through the Higher Learning Commission of the North Central Association of Colleges and Schools is posted on KU’s website.
- The **School of Medicine’s accreditation** through the Liaison Committee on Medical Education is presented on the Medical Center’s website.
- Professional school accreditation is posted on individual school/College websites (e.g., the School of Education’s National Council for Accreditation of Teacher Education statement or the School of Engineering’s accreditation by the Engineering Accreditation Commission of ABET statement).
- The university’s academic accreditation relationships are presented in profiles for Lawrence and the Medical Center.
- The institution reports annually to the Board of Regents on the status of all academic accreditation relationships.

Core Component 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.**

Overview

The Kansas Board of Regents was established in 1925 following a lame-duck governor’s attempt to remove KU Chancellor Ernest Hiram Lindley, who had advocated for an independent board whose members were not beholden to political parties. KBOR was established with nine members serving four-year terms with oversight of the state university, the agricultural college (now Kansas State), and the three teacher colleges (now Fort Hays State, Emporia State, and Pittsburg State).

KBOR now governs six public universities, including Wichita State, and maintains a coordinating function with respect to all public postsecondary institutions, including Washburn University and the state’s community and technical colleges. State statute defining Board of Regents membership and a conflict of interest policy are designed to ensure its independence from undue influence.

KBOR has in place an extensive professional staff, committee, and council structure that permits it to learn about and act in the best interests of postsecondary education in general and the institutions it oversees. KU administrators, faculty, and students are represented on appropriate councils, and KU provides an extensive range of reports annually to inform KBOR of its actions and needs. Examples of
how the board considers KU’s specific needs include regulatory relief and establishment of new, KU-specific admissions standards and annual tuition increase approvals. KBOR recognizes the different missions of the institutions it governs by establishing general frameworks and allowing individual institutions to tailor processes to fit their unique missions. Examples include program review and post-tenure review.

The Board of Regents hires the chancellor and delegates to him or her day-to-day management of the institution. KBOR sets broad policy and retains the responsibility of ultimate approval of some matters such as the calendar and approval of new programs. Otherwise it expects the faculty to determine curriculum, to set and uphold academic standards, and to assume responsibility for faculty hiring and evaluation.

**Narrative and Evidence**

**2.C.1. The governing board’s deliberations reflect priorities to preserve and enhance the institution.**

**2.C.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.**

KU is governed by the nine-member Kansas Board of Regents, which serves as the statewide coordinating board for the state’s 32 public higher education institutions (seven public universities, 19 community colleges, and six technical colleges). In addition, KBOR administers the state’s student financial aid, adult education, GED, and career and technical education programs.

**Structure of the Kansas Board of Regents**

The organizational structure of the Board of Regents provides the means by which KBOR learns about and considers the interests of its internal and external constituencies.

**Membership**

Each Board of Regents member is appointed by the governor or Kansas, subject to confirmation by the state Senate.

- By law, one member shall be appointed from each Congressional district with the remaining members appointed at large. No more than five Regents may be of the same political party, no two members shall reside in the same county at the time of appointment. These and other qualifications may be found in Article 6, Section 3 of the Kansas Constitution and K.S.A. 74-3202a.
- Terms are staggered and are for a period of four years each, expiring on June 30, except that a member shall continue to serve until a successor is appointed and confirmed as provided in K.S.A. 74-3202a.
Responsibilities
Specific governing authority over the six state universities. KBOR's manual of policies and procedures establishes basic principles and operating procedures to guide its coordinating and governing roles. The current board is guided in its actions by Foresight 2020 plan. Governing responsibilities include:

- Appointing and evaluating the performance of the chief executive officer at each state university.
- Delegating its authority to oversee many of the daily operational functions of the state universities to the chief executive officers and their staffs.
- Maintaining the state universities’ physical assets.
- Developing policy on a wide range of institutional issues, examples of which include new program approval and the recently implemented Post-Tenure Review Policy.

The Board of Regents meets monthly during the academic year and has in place an administrative and committee structure to ensure that it understands the needs and interests of and acts to enhance the six state universities. A full-time president and chief executive officer and professional staff carry out the board’s day-to-day operations. Staff members serve as liaisons to the various councils that are made up of the appropriate administrators from each of the regents campuses and board members:

Board Member Committees and Councils

- Board Governance Committee is responsible for administrative and governance issues.
- Board Academic Affairs Standing Committee considers and recommends action on academic matters.
- Board Fiscal Affairs and Audit Committee considers and recommends action on fiscal matters.
- Councils consist of the appropriate administrative leader from each of the six Regents universities. Leadership of the councils rotates among the six universities:
  - Council of Presidents meets regularly and makes recommendations to the board on general policy affecting all coordinated institutions.
  - Council of Business Officers.
  - Council of Chief Academic Officers works with KBOR Academic Affairs Standing Committee to outline the academic plan for the regents system.
  - Council of Faculty Senate Presidents addresses faculty concerns at the invitation from the chair of KBOR.
  - Classified and Support Staff Council.
  - Unclassified Staff Council.
  - Council of Chief Research Officers.
  - Council of Student Affairs Officers.
  - Students’ Advisory Committee consists of the student body presidents from each state university. The duties include advising the regents on the formulation of policy decisions on student affairs, identifying student concerns, and disseminating information concerning student rights and responsibilities.

Reports to the Board of Regents
Examples of the reports KU provides to KBOR include the following:
• The chancellor reports annually, in the spring, to the regents on university progress. The report includes metrics with peer comparisons from Bold Aspirations. The current peers were approved by the regents in October 2013 as part of its Foresight 2020 goal to ensure state university excellence.
• Annual accreditation report of all programs, including assurance and reviews of any concerns expressed by an accreditor that are addressed.
• Extensive data on students, including unit record data.
• Regents universities are required to report on the percent of students accepted who do not meet the Regents Qualified Admissions criteria to assure a university does not exceed the specified limit. KU admits very few exceptions, so this is not a concern. The window for exceptions is 10 percent, and KU historically admits less than one percent of its entering class as exceptions.
• Beginning in Spring 2014, all Regents institutions must provide regular reports on assessment of student learning in written and oral communication, numerical literacy, and critical thinking.
• KU provides information about the structure and effectiveness of advising every three years.
• State statute requires that all students admitted in the admissions exception window described above have individual plans for academic success. Regents institutions report annually on students admitted through the exception window and on the success plans to help underprepared students be successful.
• The board’s Foresight 2020 strategic plan contains a retention and graduation rate goal. To track progress, KU provides retention and graduation information as well as extensive records for individual units.
• Comprehensive report on faculty salaries and related data, such as age distribution and retirements/resignations. Comparative faculty salary data from AAUP helps the board understand how competitive the salaries are (or are not) for each of the governed institutions.
• KBOR policy requires that all academic programs undergo extensive review at least every eight years. Regents institutions report on program reviews annually.
• Every June, KBOR compiles a unified budget request from all the Kansas institutions, including the University of Kansas. The unified budget is submitted to the next session of the Kansas Legislature as part of the governor’s upcoming budget for the next fiscal year. Rather than each postsecondary institution being funded separately, the Kansas Legislature provides a block grant to KBOR, which in turn distributes the funding based on a formula. Each institution also may submit requests for additional funding. For example, a FY 2012 proposal for a $3 million annual appropriation to establish foundation professors was recommended by KBOR and approved by the Legislature. A FY 2015 proposal for a new Medical Education Building on the Medical Center campus was KBOR’s top legislative priority. Construction was funded by the Legislature through the issuance of state-funded bonds.

Examples of Board of Regents Actions to Preserve and Enhance

Regulatory Relief

• Purchasing authority. KU was one of two pilots for granting procurement authority to individual universities. KU estimated that savings of approximately $2.4 million were achieved during FY 2010. When the pilot project ended, state legislation expanded the scope to include all Regents institutions and placed procurement authority under KBOR, which has delegated authority to individual institutions.
• Disposition of surplus property. The 2010 Kansas Legislature gave KBOR authority to operate under its own policy for the disposition of surplus property. This policy has been delegated to individual institutions.

Admissions Requirements for Regents Universities

• In 2009, Kansas House Bill 2197 transferred the authority to set admissions requirements for the six state universities from the Legislature to the Board of Regents.
• In 2012, KU received approval to raise its admission standards. Current admission criteria and new standards approved by KBOR starting with the entering class in Fall 2016 are available on the Undergraduate Admissions website. The new requirements reflect a long-standing goal to raise admissions requirements and reflect a recommendation of the 2005 reaccreditation visiting team.

Leaving the State Civil Service Classified Employee System

• In 2005, the Legislature passed Senate Bill 74 allowing staff in the classified service at individual Regents institutions to vote on leaving the state system in favor of a university-maintained system with similar employee protections. The change allows a university to set its employees pay rates, rather than being beholden to the state employee pay matrix. KU employees had voted in 2004 to make such a change, and on July 1, 2005, 1,400 KU employees became University Support Staff.

Tuition Increases
The Board of Regents annually considers institutional tuition increase requests along with a justification for how tuition dollars will be used to support the institution. KBOR has historically supported KU’s tuition requests. For example, the request for FY 2014 included an average increase of 4.95 percent for standard tuition and for the four-year compact for the entering class of Fall 2013. In recognition of the lack of state funding support for salary increases, most new revenues were directed to support faculty and staff salary increases. All budget requests must include a description of student role in determining proposed tuition increases. The range of increases in a given year may vary greatly, as evidenced by the range from 3.4 percent to 8.0 percent for tuition increases for FY 2014 at the governed institutions.

Performance Budget
Kansas Senate Bill 647 requires the Board of Regents to establish a performance funding agreement with each of its governed and coordinated institutions. KBOR provides guidelines for each agreement and the themes the agreement is to address but allows each institution to develop the specifics of its agreement, consistent with KBOR’s strategic plan Foresight 2020 and subject to KBOR approval. Adequate performance is required to receive new funding. When the Legislature provides additional funding to the Board of Regents, KBOR distributes additional resources to the institutions prorated to their level of achievement on the Performance Agreement indicators. These indicators continued to be monitored, but a lack of additional state funding hinders the effectiveness of performance funding.

New KU Buildings
KBOR has supported KU’s efforts to expand and upgrade its facilities. See Criterion 5.A. for further details.
Cancer Center and Related Medical Center Initiatives
KBOR advocated for KU's annual financial support from the Legislature and supported alliances with area hospitals.

2.C.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.

The law governing the Board of Regents is designed to mitigate undue dominance of one political party or region of the state. It specifies that one member shall be appointed from each Congressional district with the remaining members appointed at large, no more than five regents may be of the same political party, and no two members shall reside in the same county at the time of appointment. See Article 6, Section 3 of the Kansas Constitution and K.S.A. 74-3202a and Chapter 1 of the KBOR Policy Manual.

The conflict of interest policy requires KBOR members to use their powers and duties in the interest of the board and the institutions within the system. The policy provides definitions of real and potential conflicts and processes for handling them. It provides provisions indicating what compensation shall be provided to KBOR members, outlines how to identify and manage conflicts, prohibits members from receiving any financial benefits from KBOR or university actions, requires them to comply with governmental ethics standards, and requires KBOR to have a policy governing identification and management of conflicts. Each fall, KBOR members are asked to identify potential conflicts that are considered by the full board in September, recording them in the minutes and requiring recusal if an issue ever arises that would demand it. The current CEO cannot recall a situation arising that would have demanded recusal.

2.C.4. The governing board delegates day-to-day management of the institution to the administration and expects the faculty to oversee academic matters.

Subject to the policies, rules, and regulations of the Kansas Board of Regents, the chief executive officer of each state university shall administer its affairs. The following items provide further evidence of the autonomy granted to each institution under KBOR purview:

- The chancellor of KU is the chief executive officer with legal authority and responsibility for directing the university, including final authority regarding all personnel decisions. The Board of Regents holds the chief executive officer responsible and accountable for all operations of the university, including university-controlled affiliated corporations.
- The chancellor appoints the provost and executive vice chancellor of the Lawrence campus and the executive vice chancellor of the Medical Center campus. The individuals in these positions are responsible for the internal affairs of their respective campuses.
- KBOR sets broad policy, such as that governing the academic calendar, and expects each campus to set its calendar, which is then approved by KBOR. At KU, the University Senate determines the academic calendar on recommendation of the Calendar Committee.
- The Board of Regents sets policies on new program approval; proposals for new programs are submitted by academic units at KU (see Criterion 3.A).
• Oversight of academic matters is delegated to faculty, staff, and students through University Senate Rules and Regulations and Faculty Senate Rules and Regulations. Ultimate approval rests with the chancellor (see Criterion 3.A).
  • Two recent examples illustrate how KBOR forms a generic policy applicable to all six Regents universities and leaves it to individual institutions to implement.
    o In November 2012, the Board of Regents revised its policy on faculty evaluation, mandating that all faculty members who have received tenure be evaluated via a post-tenure review process. Board minutes make clear KBOR expected each campus to develop a specific process for post-tenure review. By taking this approach, KBOR acknowledged that each institution has a unique mission, and therefore the institution, the faculty, and the administration are in the best position to determine what will work for each campus. The policy on post-tenure review for the Lawrence and Edwards campuses was drafted by a representative committee appointed by the Faculty Senate and Office of the Provost. A draft was shared, modified, then approved on December 5, 2013, and approved by the provost soon thereafter.
    o The Board of Regents sets the parameters of program review, and then allows each institution to establish its own process and cycle (see Criterion 4.A).

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

Overview
A commitment to freedom of expression is deeply entrenched in KU’s history. In the late 1960s and early 1970s, KU’s chancellors were staunch defenders of freedom of expression in the face of unprecedented and sometimes violent student protest. In 1980, students and faculty members fought against a regents policy restricting banners at nonpolitical events. In the 1990s, Chancellor Gene Budig upheld the right of the Ku Klux Klan to speak on campus despite much pressure to do otherwise. In the late 1990s and early years of the 21st century, Chancellor Robert Hemenway defended the teaching of evolution in Kansas public schools and the methods used by a professor to teach human sexuality. The consistent range of diverse speakers and demonstrations on campus is testimony to a tolerant environment.

KU subscribes to the AAUP Statement of Principles, which serves as the foundation for its many documents reinforcing academic freedom, and attending obligations, for faculty. Similarly, the Code of Student Rights and Responsibilities guarantees students the freedom of expression.

In 2013, academic freedom and freedom of expression at all Regents institutions became an issue, The Board of Regents, in response to a controversial tweet by a KU faculty member, issued an unpopular Social Media Policy that allows for disciplinary action for misuse of social media, despite protest by faculty and staff at Regents institutions. At KU, the chancellor and provost have tasked a committee led by the University Senate president with outlining a process for handling violations of the policy.
Narrative and Evidence

The right to academic freedom and freedom of expression is a core value of the University of Kansas. Freedom of expression is specifically addressed in the faculty/academic staff and student codes of rights. These documents are readily available to faculty, students, and the public in the Policy Library.

Policy Documents

As noted in the Handbook for Faculty and Other Unclassified Staff, “As the flagship public university of the State of Kansas, The University of Kansas strives for excellence in its integrated mission of teaching, scholarship, and service, guided by principles of academic freedom and integrity, open inquiry and discussion, and respect for diversity of backgrounds.”

In addition to the 1940 AAUP Statement of Principles, KU subscribes to the First Amendment rights and responsibilities of faculty and staff in teaching, performing research, and speaking on matters of public concern as private citizens.

- These commitments are explicitly discussed and reaffirmed in the Faculty Senate Rules and Regulations, 6.1.2. In addition, all unit promotion and tenure policies are reviewed and approved by the Standards and Procedures for Promotion and Tenure Committee of the Faculty Senate to ensure inclusion of a provision for how their unit ensures academic freedom.
- The Code of Student Rights and Responsibilities guarantees free expression, free inquiry, and right to assembly to all students. It ensures that academic evaluation shall not be based on student characteristics such as race, sexual orientation, or political views.
- University Senate Rules and Regulations are used for handling disputes. Any dispute involving a faculty member and a question of academic freedom is heard by the Faculty Rights Board. This board is comprised of faculty members appointed by the Faculty Senate and “is an adjudicatory body that hears disputes and makes recommendations concerning alleged violations of faculty rights, including academic freedom, tenure and related rights, and procedural safeguards in university processes.” Violation of academic freedom is one of the bases for appealing negative tenure/promotion decision. From 2001 to 2011, the Faculty Rights Board received 30 appeals of various types of personnel decision. In no case did it find that academic freedom had been violated.

Examples of Commitment to Freedom of Expression

- KU students have the opportunity to contribute to several media operations on campus — including The University Daily Kansan newspaper, the student television station KUJH-TV, and the student-run, FCC-licensed radio station KJHK 90.7 FM — that serve the information and entertainment needs of the KU campus, Lawrence, and the surrounding area. Each has received numerous awards, including 20 awards from the Kansas Association of Broadcasters given in 2013 to KJHK. Journalism students gain valuable experience working in these media-laboratory operations, sometimes tackling controversial issues.
- University Events Committee and Guidelines (administered through the Office of Public Affairs and the Student Involvement and Leadership Center) stipulate which events do not need approval (for example, handing out free literature as long as certain provisions are met) and those that need approval by the University Events Committee (any event using a public space not scheduled by another university agency). Decisions are made on a content-neutral basis. Examples of recent
events approved by the University Events Committee include the annual transvestite fashion show; Justice for All and its graphic anti-abortion displays; protests by the Westboro Baptist Church; and a variety of fundraising races for organizations ranging from Hilltop Child Development Center to the KU Collegiate Veterans Association. Speakers representing diverse viewpoints are regularly invited to campus by academic units and research centers. For example, the Dole Institute for Politics regularly schedules speakers of all political points of view to speak. Recent examples include Ann Coulter, Senator George Mitchell and General Carl Reddel. The Student Union Association’s Student Lecture Series has included Robert F. Kennedy Jr., TOMS shoes founder Blake Mycoskie, and NPR’s Peter Sagal.

A 21st Century Test

In 2013, an associate professor of journalism posted a tweet regarding shootings in the Washington Navy Yard containing inflammatory and provocative statements about the NRA and children of its members. His tweet was reproduced in a national blog and eventually went viral, resulting in state and national pressure to fire the professor. University officials and the Board of Regents expressed disapproval of the statements. Citing the faculty member’s personal safety, the administration placed him on administrative leave with pay for a month while the university investigated the complaints it received. After a thorough investigation by an ad-hoc committee, he returned to campus to non-classroom duties during the Fall 2013 semester. He was on sabbatical for Spring 2014. No disciplinary action was taken.

In light of the tweet, KBOR quickly and unanimously passed a social media policy in December 2013, without broad input from faculty and staff. That action and policy drew a firestorm of negative reaction from many faculty and staff and commenters from across the country, including AAUP. In response, KBOR created a task force with representatives from each Regents university to revise the policy. The task force proposed an alternative policy, which essentially acknowledged that existing policies are adequate to cover social media. The task force proposal was largely dismissed by KBOR members.

In May 2014, despite unanimous protest from faculty and staff governance bodies and distinguished professors at Regents institutions, KBOR passed a slightly revised policy governing use of social media by faculty and staff that retained the core grounds for sanctions and specifying the possibility of sanctions. Although the approved policy contains assurances that academic freedom and First Amendment protections continue to exist, faculty and staff at Regents institutions have expressed concern publicly that the policy has and will continue to stifle academic freedom.

In June 2014, KU Provost Jeffrey Vitter appointed a committee chaired by the University Senate president and including representatives from each employee senate to develop procedures by which a violation of the policy would be adjudicated at KU.

In response to the incident and the adoption of the KBOR Social Media Policy, KU sponsored two forums designed to help shape a national discussion around the emerging issue of freedom of expression in the era of social media.

- *Data and Democracy: What is Free Speech in the Age of Social Media*, a March 2014 event, was organized by distinguished professors from Kansas State University and KU.
• Academic Freedom and Responsibility in the Era of Social Media. This April 2014 event at KU was sponsored by the Joint Council of Kansas Distinguished Professors.

Core Component 2. E

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

Overview

KU takes seriously its obligation to uphold the highest ethical standards of scholarly and academic honesty and integrity. Oversight of and support services to ensure the integrity of research and scholarly practice are the responsibility of the Office of Research on the Lawrence campus and the Office of the Vice Provost of Research at KUMC. Both campuses have robust policies and administrative structures in place to ensure ethical treatment of humans and animals in the conduct of research. The university has and enforces policies on scholarly misconduct. Since 2009, the Lawrence campus Research Integrity, a unit of the Office of Research, received 18 allegations of misconduct and conducted eight investigations that resulted in six findings of misconduct.

Beginning in 2011, every doctoral program was required to ensure that its students receive training in responsible scholarship and conduct of research. In 2013, KU adopted the Collaborative Institutional Training Initiative (CITI) responsible conduct tutorial as well as the research integrity module. University Senate Rules and Regulations define academic misconduct and a graduated series of potential sanctions. Each academic unit is required to have and enforce a policy. Research Integrity, KU Writing Center, and KU Libraries provide instruction and outreach on topics concerning ethical scholarship and academic misconduct, such as plagiarism. A full 88 percent of respondents to the 2013 Graduate Student Satisfaction Survey indicated they had received training on academic plagiarism and other topics related to academic honesty; 95 percent were satisfied with the training. Although each unit enforces its academic honesty policy, the Self-Study revealed that not all units are reporting their data annually to the Provost’s Office. Steps are being taken to rectify this gap.

Narrative and Evidence

2. E. 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.

Two important documents form the basis of the university’s approach to acquisition, discovery, and application of knowledge: the Code of Student Rights and Responsibilities and the Code of Faculty Rights, Responsibilities and Conduct, both of which were under revision at the time this report was written. These documents, embedded in codes of shared governance, guarantee individual rights to freedom of inquiry and freedom of expression and hold individuals accountable for corresponding responsibilities of ethical practice and integrity to the community in all aspects of university activity, including research and academic pursuits.

These foundational codes are further supported by a network of policies, offices, committees, and programs across the university. This network is also substantially informed by federal regulations, state statutes, KBOR policies, and best practices of professional and accrediting organizations.
The institution provides effective oversight and support services to ensure ethical practices in scholarly activity. The Office of Research (under the direction of the vice chancellor for research) on the Lawrence campus and office of the Vice Chancellor for Research at the Medical Center are at the centers of oversight and support services for ensuring the integrity of research and scholarly practice.

- The Research Integrity unit at the Lawrence campus and the Office of Compliance at the Medical Center are primarily responsible for the implementation of research-related compliance and ethics policies and procedures, including conflict of interest reporting and management; protections of human and animal subjects; approval of restrictions to research; protections of private health and other sensitive information; environment, health and safety issues as they pertain to research; responsible conduct of research training; and response to allegations of research misconduct.
- To coordinate support for researchers, Research Integrity and the Office of Institutional Compliance each work closely with other campus entities such as Administration and Finance, Environment, Health and Safety, Export Compliance, General Counsel, Graduate Studies, Institutional Compliance, KU Innovation and Collaboration, Information Technology Security, International Programs, Privacy Office, Shared Service Centers, and University Governance.
- Privacy functions are handled by Institutional Compliance, Information Technology security, and the HIPAA committee. Open records issues are handled by Institutional Compliance and the Office of the General Counsel.
- KU invests in the excellence of its research programs through active membership in progressive associations that discuss federal regulations in all aspects of research, such as the Federal Demonstration Partnership, the University Industry Demonstration Partnership, and the Council on Government Relations.

**Human Subjects in Research**

KU holds two Federal-Wide Assurances for conducting research with human subjects, one for KUMC and KU School of Medicine-Wichita (KUSM-W) Human Research Protection Program and the other for the Human Subjects Committee-Lawrence. The Lawrence campus human subjects activity, largely social-behavioral in nature, adheres to all federal regulations regarding human subjects protections. The KUMC and KUSM-W human subjects program, which oversees clinical research, was fully accredited in 2007 by the Association for Accreditation of Human Research Protection Programs.

In 2013 KU invested in eCompliance, a one-university online human subjects protocol submission and management system for the Medical Center and Lawrence campuses. It is cross-linked with conflict of interest data and offers the same advantages of transparency, documentation, and single-record source.

- The KU-Lawrence Institutional Review Board reviews approximately 700 human subjects proposals per year and averages 1,400 open projects in any given time.
- In accordance with its accredited human research protection program, the Medical Center has adopted a zero-dollar reporting threshold for disclosure of outside interests related to university activities. The Lawrence campus lowered its disclosure thresholds to match the 2012 Public Health Services requirements for all individuals required to complete conflict of interest reporting.
At KUMC, the HIPAA Compliance Program and on the Lawrence Campus the Office of Institutional Compliance oversees HIPAA compliance.

Use of Animals in Research, Lawrence
The Animal Care Unit (ACU), a unit of the Office of Research, is responsible for care of all teaching and research animals on the Lawrence campus.

- KU-Lawrence adheres to the standards prescribed in the Public Health Service Policy and the Guide for the Care and Use of Laboratory Animals.
- KU-Lawrence ACU is a USDA registered facility (48-R-0002) and complies with provisions of the Animal Welfare Act and Regulations for all activities involving regulated species.
- The ACU supports activities of faculty affiliated with research centers, including the Biodiversity Institute, Kansas Biological Survey, Biotechnology Innovation and Optimization Center, Bioengineering Research Center, and Life Span Institute, and faculty in the College of Liberal Arts and Sciences, and the Schools of Engineering and Pharmacy.
- The Institutional Animal Care and Use Committee currently oversees 129 protocols held by 60 investigators.
- The Lawrence ACU underwent this year its triennial Association for Assessment and Accreditation of Laboratory Animal Care site visit and on November 19, 2014, received a letter commending its excellent program and full accreditation.
- KU has reorganized the ACU and added veterinary and Institutional Animal Care and Use Committee staff since the last accreditation visit. In the past year the committee has approved 31 new policies and procedures and worked to develop constructive and positive relationships with Environmental Health and Safety, ACU staff, and researchers through outreach efforts, communications, and post-approval monitoring programs.

Animal Welfare at the Medical Center
The Department of Laboratory Animal Resources (LAR) in the School of Medicine is responsible for care of all teaching and research animals on the Kansas City campus.

- The Medical Center adheres to the standards prescribed in the Public Health Service (PHS) Policy and the Guide for the Care and Use of Laboratory Animals.
- KUMC’s LAR is a USDA registered facility (48-R-0003) and complies with provisions of the Animal Welfare Act and Regulations for all activities involving regulated species.
- LAR supports activities of faculty affiliated with the School of Medicine, School of Nursing, and School of Health Professions, including the Kidney Institute, Cancer Center, and Landon Center on Aging.
- KUMC’s Institutional Animal Care and Use Committee oversees 168 protocols held by 109 investigators.
- Accreditation Status: KUMC had its last triennial Association for Assessment and Accreditation of Laboratory Animal Care site visit in June 2013, with full accreditation received for an additional three years (000785). It is also assured through NIH/PHS, assurance number: A3237-01.
- The Office of Animal Welfare under the associate vice chancellor for compliance provides administrative support and compliance monitoring supporting KUMC’s animal-facilitated research programs.
Researcher Health and Safety

The following units are concerned with worker health and safety.

- **Environment, Health and Safety Office** at KUMC facilitates the **Institutional Biosafety Committee** and safety programs for biological, chemical and radiation concerns.
- **Environment Health and Safety** on the Lawrence campus manages committees that oversee biosafety, chemical hygiene safety, laser safety, radiation safety, and use of recombinant DNA.
- Human Resources and Student Affairs have threat assessment teams to respond to specific incidents.
- KU maintains a complete Emergency Management Plan, managed by the Office of Public Safety, and an Emergency Operations Center on campus. Officials are trained in FEMA and NIMS, with plans in place for every large public event.
- In Spring 2014, the university instituted an Incident Planning and Threat Assessment Committee of student affairs, general counsel, provost office, public affairs, and public safety. It meets every two weeks to oversee and review any incidents, threatened incidents, or safety issues on campus.
- In Summer 2014, the university launched the Institutional Safety Leadership Committee, which provides high-level administrative oversight on issues related to safety on the Lawrence campus.

Conflict of Interest

Disclosure of outside interests is the individual responsibility of every faculty and unclassified staff member and other investigators on sponsored projects. If actual or perceived conflicts can be adequately managed, the university will support outside activities to the extent that they support the institutional mission and provide professional development. A number of policies and regulations inform conflict of interest reporting and management at KU.

- Federal regulations of the Public Health Service, National Science Foundation, and Food and Drug Administration.
- State of Kansas ethics statutes.
- KBOR Policy on Commitment of Time, Conflict of Interest, Consulting and Other Employment.

External policies and regulations above are supplemented by several KU policies:

- **Individual Financial Conflict of Interest** describes the responsibility for reporting individual significant financial interests and the institutional responsibility for evaluating disclosed interests and managing potential individual financial conflicts.
  - Lawrence campus procedures
  - Medical Center procedures
- The **Institutional Conflicts of Interest policy** mitigates institutional conflicts (at each research foundation and the university) and avoids the creation of other personal conflicts with regard to a research foundation’s equity holdings. The policy applies to the Lawrence and KUMC campuses.
- Management of **Inventor Conflicts of Interest**.
- **Employment of Students in Faculty-Owned Businesses**.

In 2012 KU implemented a one-university online conflict of interest reporting and management system. The system increases transparency of the reporting and review process and provides secure access to a
single record source by all parties involved. Post-approval monitoring is facilitated by automated email prompts for reports. In addition to required annual certifications and ad hoc updates, investigators on Public Health Service-sponsored projects must complete a training module and submit a project-specific Conflict of Interest certification for each Public Health Service compliant proposal.

The Medical Center and Lawrence campuses each convene a faculty-based conflict of interest committee facilitated by experienced staff to review disclosures, evaluate conflicts, and recommend management plans. Campus-specific procedures for evaluating and managing disclosures of significant outside interests have been developed.

**Restricted Research**

The Lawrence campus Restricted Research Policy in Article X of the Faculty Senate Rules and Regulations supports the university’s most basic goals regarding the development, use, and dissemination of knowledge.

- The policy requires an application for an exemption to sponsor-imposed restrictions on university research other than classification for national security purposes or short publication delays.
- Applications are reviewed by the Faculty Senate Restricted Research Committee and approved on the bases of the involvement of unique university capabilities; very substantial scholarly, scientific, or educational benefits; and/or very substantial public service.
- For any publication delay or other approved restriction, any student who wishes to participate in the project must sign an acknowledgement of the restriction in order to ensure transparency and avoid graduation delays.

**Export Controls**

The restricted research procedure also can trigger an export control compliance review. The Office of Export Compliance assists investigators with identifying issues and makes determinations as to appropriate export authorization and documentation, as necessary. In addition, export control screenings occur with international shipping, travel, and collaborations; purchases of certain equipment; visa processing to ensure compliance with U.S. export laws; and to protect KU from unwitting violations. Normal research proposal submission also may trigger an export control review.

**Research Misconduct and Scholarly Misconduct**

Policies and procedures governing research and scholarly misconduct are covered in the Handbook for Faculty and Unclassified Staff at the Medical Center and the policy on Scholarly Misconduct Article IX of the University Senate Rules and Regulations for the Lawrence campus. These documents define such misconduct and provide detailed procedures for inquiries and investigations into allegations.

- Both university policies are in compliance with Public Health Service Policies on Research Misconduct.
- When academic misconduct is also involved, the research or scholarly misconduct policy prevails. Allegations are reported to the vice chancellor for research for the Lawrence campus or the research integrity officer for KUMC. An inquiry process determines whether the allegation merits investigation or, for instance, is due to misunderstanding that can be reconciled.
• For allegations that result in a full investigation, an ad hoc committee is appointed, with input from the parties to the allegation, and advised by general counsel. On the Lawrence campus, a representative from the corresponding faculty, staff, or student governing body observes the investigation to ensure due process is followed. When findings of misconduct result, sanctions may be imposed, per university policy and governance codes.

• Allegations of misconduct may be reported confidentially via the KUMC Compliance Helpline or the KU-Lawrence Compliance Hotline.

• Since 2009, Research Integrity on the Lawrence campus has received 18 allegations of misconduct and 14 inquiries. The office conducted eight investigations that resulted in six findings of misconduct. Sanctions have included public censure and termination of employment.

2.E.2. Students are offered guidance in the ethical use of information resources.

KU recognizes that institutional activities must be congruent with the university’s mission and be conducted with integrity and sensitivity. A wide range of policies, procedures, and supports have been enacted to guide students in the ethical behavior and use of information resources. These rules and procedures are periodically reviewed and revised, if necessary, to ensure that they remain pertinent and effective.

Responsible Conduct of Research

On the Lawrence campus, the Office of Graduate Studies and the Research Integrity unit in the Office of Research collaborate to provide training in the Responsible Conduct of Research (RCR) to all students (graduate and undergraduate) and postdoctoral researchers involved in National Science Foundation (NSF) regulated projects.

• Beginning in 2011, the RCR requirement was extended to all doctoral programs as mandatory training. Each doctoral program is required to have and enforce a responsible scholarship training plan approved by the school/College and the Office of Graduate Studies.

• In January 2013, KU switched from its homegrown RCR tutorial to the CITI RCR training program. The CITI training provides a standard and portable record for students and postdoctoral researchers. All researchers, students, faculty members, or research scientists must complete CITI research integrity training prior to receiving approval to conduct research on humans. Since Fall 2010, more than 830 students have participated in KU’s RCR programs developed for the NSF training requirement.

• According to the 2013 Graduate and Professional Student Satisfaction Survey, 62 percent of doctoral students indicated they had completed RCR training. Of those, 94 percent were somewhat to very satisfied. Moving forward, 100 percent of doctoral students will receive such training. Students who entered KU after Fall 2011 must complete RCR training in order to take their comprehensive exams.

• The Center for Undergraduate Research was established in 2011 and charged with facilitating research experiences and training within and supplemental to undergraduate curricula. The office provides oversight for undergraduate training in responsible conduct of scholarship.

• The Research Integrity unit in the Office of Research provides outreach to classrooms upon request for topics such as responsible conduct of research, scholarly misconduct, and conflict of interest as they affect academic and scholarly activities.

• The KU Writing Center and KU Libraries provide guides to avoiding plagiarism. The topic of academic misconduct is addressed in UNIV 101, the orientation seminar open to all incoming freshmen and transfer students. SafeAssign is accessible to students and instructors through Blackboard.
• In the 2013 Graduate Student Satisfaction Survey, 88 percent of graduate student respondents indicated they had received training on academic plagiarism and other standards of academic honesty, and 95 percent were satisfied with that training.

2.E.3. The institution has and enforces policies on academic honesty and integrity.

The university publishes policies and procedures that ensure faculty members and students uphold academic integrity. The university has grievance procedures and policies for conflict resolution for faculty, professional staff, and students to ensure the orderly redress for alleged misconduct. Each procedure is guided by a commitment to due process, including a right to appeals:

• Faculty academic misconduct is defined as misconduct in connection with the classroom or other teaching environment by instructors of all ranks and is defined in University Senate Rules and Regulations (USSR) 2.6.1. Cases are heard by the judicial board or the faculty rights board, depending on the sanctions sought. Possible sanctions for academic misconduct by instructors are outlined in USSR 2.6.5 and include admonition, warning, or censure.

• Student academic misconduct. University Senate rules and regulations define academic misconduct for students. Each academic unit has a policy or procedures for handling academic misconduct. Policies and grievance procedures are contained within the Policy Library to ensure widespread availability. All sanctions of reduction of grade for specific work, reduction of grade for the course, exclusion from activities, transcript citation for academic misconduct, suspension from a specific course, suspension, and expulsion that are applied by the College and the schools or their designated departments will be communicated to the Office of the Provost. In the most recent report, three schools (College, engineering, and business), which represent 75 percent of the student population, reported student sanctions. The Policy Office is establishing procedures to ensure collection of sanctions from the College and all schools.

• Student non-academic misconduct. Students and student organizations are expected to adhere to established standards of conduct as elaborated in University Senate Code and the Code of Student Rights and Responsibilities, as well as to city, county, state, and national laws. To ensure fairness in the disciplinary process, students and student organizations are given several choices for investigating and adjudicating student non-academic misconduct. For years 2012-13 and 2013-14, the Office of Student Conduct handled on average 220 individual cases and eight organizational cases per year. Of these, on average 15 led to suspension or expulsion from the university.

• Grievance and appeals. The university has procedures and policies for students to petition for a change in a final course grade if they think there has been an improper application of the grading procedure announced for the course by the instructor.

While students are not required to take an honor pledge, the School of Business, School of Law, and School of Medicine have such a pledge and others articulate that their students are expected to abide by the profession’s code of ethics.

• School of Business Honor Code
• School of Law Honor Code
• Intellectual Property Policies
• Copyrighted Materials Expectations
• Writing Center’s Avoiding Plagiarism Resource
• Provost Statement on Commercial Note-Taking Ventures

At KUMC, academic misconduct is outlined in a series of definitions and policies provided by each academic unit.

Criterion Two Summary

KU has policies, processes, and oversight functions in place to ensure that it complies with all state and federal regulations. It acts with integrity in all that it does, as should be expected of a public educational institution. When KU identifies problems in its operations, such as the athletics ticket scandal in 2010, it acts swiftly and appropriately to address the problem. It strives on a daily basis to present itself clearly to students, its faculty and staff, and the public through its documents, websites, and public communications. Improved website management and oversight by an enhanced Office of Public Affairs have helped to achieve this objective.

KU is governed by the Kansas Board of Regents, which exercises its role of governance of all six state universities. The board sets broad policy that is adapted and adopted by each institution. It considers the best interests of each institution through membership on key committees and dozens of reports collected annually. It acts as the intermediary between the Kansas Legislature and the universities. KU has a long history of valuing freedom of expression. That freedom has been recently challenged by the Kansas Board of Regents’ social media policy. KU leaders have attempted to reassure faculty and staff that this policy will not be used to stifle freedom of expression on campus. A faculty-led committee is drafting policy for handling alleged violations. Finally, KU has a robust set of policies and procedures to ensure that faculty, administrators, and students conduct their academic and scholarly work with integrity.

Strengths

• Since the last review, KU has established or augmented a series of units, such as the Office of Internal Audit and the Office of Institutional Compliance, and reformulated the Office of Affirmative Action into Institutional Opportunity and Access to ensure that KU remains in compliance with all federal and state laws and that employees and students are treated equitably and with respect. These efforts seek to centralize strategic oversight while maintaining the integrity of specific offices and subject matter expertise.

• KU has a comprehensive set of policies ensuring the rights and responsibilities of its faculty, staff, and students that are developed through a process of shared governance and publicly available through an enhanced online policy library.

• Although the Kansas Board of Regents governs six universities, each with a very different mission, its practice has been to set broad policy and allow each university to define and enact a policy as appropriate for its mission. KU has shaped regents-mandated policies and processes — such as program review, proficiency assessment, and post-tenure review — to fit the nature and expectation of an AAU research university.

• As the state’s flagship university, KU has been a leader in seeking and obtaining dispensation from state regulations; subsequently, other universities have sought such relief. An example of this was the separation of the classified staff from the state system. More recently, KU has asked for and received permission to adopt more selective admissions requirements than mandated by the state.
Challenges

- Although there are many “hits” on the policy library, focus groups from various governance groups indicated a lack of knowledge of the policy library and difficulty finding policies. Nonetheless, all policies are now located in one central place and some changes have already enhanced the search function as well as policy format. Each policy includes the history of its creation, modifications over time, and who approved such changes, adding transparency to the policies. Concern over lack of access to computers, and thus to the Policy Library, among some employee groups (e.g., facilities staff) is being addressed by provision of iPods so that employees have ready access to the Internet.
- A significant challenge remains with respect to the social media policy adopted by the Kansas Board of Regents. Faculty and staff members across the Regents universities opposed the adopted policy, putting university presidents and the chancellor in a very difficult position as well as potentially affecting the climate for free speech on campus. Administrators must enforce Regents policy while demonstrating support for academic freedom, a hallmark of U.S. higher education for nearly a century. KU is developing a policy for how alleged violations will be handled.
- Developing and implementing effective policies, procedures, and sanctions for sexual assault remains a continuing challenge despite all that has been done in this area. Chancellor Gray-Little has established a Task Force on Sexual Assault to comprehensively study these issues during 2014–15 that will shape KU’s actions moving forward. That report is due in April 2015.

Future directions

- Over the last half a dozen years, KU has invested significantly to bolster its compliance infrastructure and support. Recent visibility and increased reporting of sexual assault on and near campus have shown that this work is never complete. In particular, the Chancellor’s Task Force on Sexual Assault will make its report and recommendations in April 2015. Evaluating and implementing the task force recommendations to create a university climate in which sexual assault is unacceptable and all students feel safe will be a major focus of the next few years.
- The Self-Study review process set in motion a proposal to centrally collect and maintain a database on compliance-related issues such as student complaints.
Criterion Three. Teaching and Learning: Quality, Resources, and Support
The institution provides high quality education, wherever and however its offerings are delivered.

Core Component 3.A
The institution’s degree programs are appropriate to higher education.

Overview
The faculty is charged with developing and revising curriculum and setting performance expectations appropriate to the degree. The university hires highly qualified faculty who design, approve, and monitor the course approval process. Required student course evaluations, faculty evaluation processes, assessment of student learning outcomes, Kansas Board of Regents (KBOR) program review, and accreditation are additional mechanisms through which currency and expectations are monitored.

Each academic program has stated learning goals and degree requirements differentiated by degree level. Requirements and goals may be differentiated within level (for example, for Ph.D and Ed.D. in the School of Education). Each degree program is expected to describe goals and expectations in the appropriate academic catalog and to identify specific learning goals guiding its assessment plan. KU ensures quality and consistency across locations and modalities of instruction through the disciplines and departments. Home academic departments on the Lawrence and Medical Center campuses control the course approval process and the faculty hiring and evaluation processes.

Narrative and Evidence
3.A.1. Courses and programs are current and require levels of performance by students appropriate to the degree or certificate awarded.

The currency and rigor of academic programs rests in faculty oversight and administrative program approval processes. Assessment of performance is covered in detail in Criterion 4.

Faculty Oversight of Curriculum
By policy and tradition, curriculum oversight at KU is a faculty-led function. Policy in the Handbook for Faculty and Other Unclassified Staff describes the responsibilities of the faculties of the College of Liberal Arts and Sciences and the schools, the general responsibilities of the deans, and the circumstances in which broader consultation is required. As outlined in the policy on Faculty Responsibility for Establishment of Curricula, Academic Standards, and Degree Requirements, the faculty of each school and the College of Liberal Arts and Sciences has the right and responsibility to establish curricula, academic standards, and degree requirements subject to administrative oversight, Board of Regents policy, and state law. The deans of each school and the College are responsible for providing administrative supervision of academic programs within their units.

Faculty committees at the unit level provide oversight and approval for all major curriculum changes. Each unit has a curriculum or education committee that reviews and approves course and program additions and changes and then forwards approval to the College or school. The College and every
school have at least one curriculum committee composed of faculty and students (some have separate undergraduate and graduate committees). Examples of curriculum committees include:

- The Committee on Undergraduate Studies and Advising, which reviews and approves courses and programs in the College of Liberal Arts and Sciences.
- The Curriculum Committee in the School of Journalism and Mass Communications reviews undergraduate courses and programs, while the Graduate Committee mirrors this function for graduate courses and programs.

Faculty members propose new courses and programs following a rigorous review and approval processes outlined below. The steps in the approval process ensure that degree, minor, concentration, and certificate programs meet the faculty standards for quality and currency, and that they are in sufficient demand by students and employers to warrant the investment needed to staff and adequately fund a high-quality offering.

All faculty members participate in an annual evaluation process in the areas of teaching, research, and service, and evaluation of teaching typically includes assessment of course syllabi for currency and rigor. The pre-tenure review, tenure and promotion, and post-tenure review processes also evaluate teaching and consider elements of effective teaching such as currency and rigor of courses (see **Criterion 3.C.3**). University-wide review processes, such as course evaluations, learning outcomes assessment, and program review, play a key role in ensuring that courses are current and appropriately rigorous. Faculty members gather feedback about courses and programs from advisory boards, professional associations, student course evaluations, and student surveys to gauge the currency of program and course curricula. For example, distinguished alumni on the **KU Biology Advisory Board** advise the chairs of the biology departments, act as role models for students, and develop resources.

**The Course Approval Process**

The **Faculty Senate Rules and Regulations** define the credit hour, courses, and guidelines for evaluation of academic work. Procedures ensure that courses are structured to meet the standards of the faculty as a whole for the breadth and depth of learning covered by each course. Course approval processes are unique to each unit but typically begin with a nomination from the department to the unit curriculum committee and proceed to approval by the curriculum committee or dean at the unit level. Courses proposed to apply to the KU Core curriculum must be approved by the sponsoring unit and the University Core Curriculum Committee.

**The Degree, Minor, and Certificate Programs and Graduate Program and Concentrations Approval Process**

Degree, minor, and certificate programs go through a thorough **approval process** to ensure that degrees are appropriately designed and staffed and that they meet demonstrated needs. The process begins with the application by the sponsoring department for pre-approval to the senior vice provost for academic affairs. Once the senior vice provost, upon consultation with the deans, provides approval to a unit to develop a program proposal, undergraduate degree programs and minors are reviewed and must be approved by faculty committees at the unit level, then by the provost and KBOR.
Graduate programs and concentrations on the Lawrence campus go through a similar process but must also be approved by the Executive Council of Graduate Studies before proceeding to approval at the provost and KBOR levels. Certificates at both the graduate and undergraduate levels go through similar processes up through the provost approval.

A list of existing programs and dates of approval is available in the resource room.

Program Review and Accreditation

Program review (described more fully in Criterion 4.A) and accreditation processes provide perspective on how programs compare with peer institutions and ensure that they are appropriate to the degree or certificate awarded (see Criterion 4.A). For example, from 2007 to 2012, the College conducted external program reviews of all of its degree programs.

Professional school degree programs are accredited by their national accrediting bodies.

The Medical Center provides evidence of course review and program review, and ensures that curricula are appropriate through professional accreditation processes. For example, the KUMC reviews curricula as part of its Liaison Committee on Medical Education accreditation Self-Study. All degree programs undergo Board of Regents program review at least every eight years, including an extensive Self-Study and reviews at the dean, graduate dean, and provost levels. Accreditation status for KUMC programs is included in the resource room.

3.A.2. The institution articulates and differentiates learning goals for its undergraduate, graduate, post-baccalaureate, post-graduate, and certificate programs.

Undergraduate Programs

As described in Criterion 3.B, the university has articulated learning goals for the KU Core (general education). The KU Core university-wide undergraduate curriculum differentiates its six learning goals by envisioning that three General Education goals (critical thinking and quantitative literacy, communication, and breadth of knowledge) are taken during the first two years of study, while three Advanced Education goals (culture and diversity, social responsibility and ethics, integration and creativity) are more appropriate for upper division work.

Likewise, academic departments have defined learning goals for degree programs at the bachelor’s, master’s, and doctoral levels. Learning goals for major programs also are broadly described in the academic catalog. Those goals are outlined on the assessment website. KU offers undergraduate degrees in 139 disciplines, including bachelor of arts, bachelor of science, bachelor of fine arts, bachelor of social work, and bachelor of general studies degrees. Degree requirements are set by the College and the schools, and major requirements are determined by individual departments. For example, a College of Liberal Arts and Sciences degree requires 100 hours in the College and/or School of the Arts. The average requirement in the major is 30 hours.
Graduate Programs

KU offers over 120 master’s degrees. Some require a thesis and are generally viewed as preparatory for doctoral work. Others, generally concentrated in professional schools, require from 30 to 60 hours and a comprehensive exam. Likewise, KU offers approximately 100 doctoral degree options with appropriate learning outcomes. Recipients of a research doctorate are expected to demonstrate the ability for independent scholarship at the highest level demonstrated in the dissertation. The following table provides specific examples of how learning outcomes differ for bachelor’s, master’s, and doctoral programs:

<table>
<thead>
<tr>
<th>Department</th>
<th>Bachelor of Arts in Spanish</th>
<th>Master of Arts in Spanish</th>
<th>Doctor of Philosophy in Spanish</th>
</tr>
</thead>
<tbody>
<tr>
<td>Spanish and Portuguese</td>
<td>1. Write effective academic essays that include a developed thesis statement, use of coherent argumentation and demonstrate sophisticated linguistic abilities with respect to writing in Spanish. 2. Demonstrate broad learning about Hispanic cultures through critical textual analysis. 3. Make effective use of receptive linguistic and interpretative abilities (reading and listening/viewing) to successfully engage a variety of genres of authentic texts. 4. Communicate orally in Spanish with sufficient accuracy and clarity to convey their intended message without misrepresentation or confusion.</td>
<td>1. Study the major movements and writers in Spain and Spanish America. 2. Acquire basic terminology and concepts necessary for a “close reading” in each genre. 3. Write a well-organized and carefully argued analytical and/or research paper with a thesis, clear divisions and development, and a conclusion. 4. Develop linguistic proficiency (oral and written) comparable to that of an educated native speaker.</td>
<td>1. Broaden and deepen knowledge of selected periods and genres. 2. Develop the research, analytical, and writing skills necessary for producing a solid dissertation and publishable articles. 3. Acquire working knowledge of major theoretical trends and critical issues (past and current) in the fields of specialization. 4. Increase knowledge of broader historical, cultural, and social issues surrounding the fields of specialization. 5. Develop language teaching proficiency through at least the second year of language courses.</td>
</tr>
<tr>
<td>Speech Language and Hearing</td>
<td>Master of Arts in Speech Language and Hearing</td>
<td>1. Foundational Knowledge: Describe foundational speech-language pathology content, theory, and evidence 2. Application &amp; Use: Apply foundational knowledge to clinical situations 3. Analytical Processes: Track and interpret data to determine whether an approach is effective for a given client or clients 4. Communication: Effectively communicate disciplinary knowledge to a variety of groups (e.g., clients; other professionals inside and outside the discipline)</td>
<td>Doctorate in Speech Language and Hearing 1. Demonstrate acceptable knowledge of research methods appropriate to the student’s area of focus (as defined by the research skills/responsible scholarship area) 2. Ethically conduct original, significant research in the field 3. Effectively communicate to a variety of audiences about issues in the field.</td>
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<td>Department</td>
<td>Baccalaureate-Level Learning Outcomes</td>
<td>Master’s-Level Learning Outcomes</td>
<td>Doctorate-Level Learning Outcomes</td>
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<tr>
<td>Journalism</td>
<td>Bachelor of Science in Journalism</td>
<td>Master of Science in Journalism</td>
<td>Doctor of Philosophy in Journalism and Mass Communication</td>
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<td></td>
<td>1. Apply tools and technologies appropriate for the communications professions in which they work.</td>
<td>1. Understand journalism and its technologies, historically and within the present environment.</td>
<td>1. Conduct original, publishable research in the field.</td>
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<td>2. Demonstrate an understanding of the history and role of professionals and institutions in</td>
<td>2. Demonstrate an understanding of gender, race ethnicity, sexual orientation and, as appropriate,</td>
<td>2. Demonstrate a broad knowledge of theory and research in the field.</td>
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<td>shaping communications.</td>
<td>other forms of diversity in society in relation to mass communications.</td>
<td>3. Demonstrate in-depth knowledge of one area of expertise.</td>
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<td>3. Demonstrate an understanding of gender, race, ethnicity, sexual orientation, and, as appropriate,</td>
<td>4. Understand the business of media and the role of entrepreneurship.</td>
<td>4. Follow ethical guidelines for work in the field.</td>
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<td>other forms of diversity in domestic society in relation to mass communications.</td>
<td>5. Understand communications theory.</td>
<td>5. Understand the First Amendment and be able to apply it.</td>
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<td>4. Demonstrate an understanding of the diversity of peoples and cultures and of the significance</td>
<td>6. Be able to use quantitative or qualitative research methods.</td>
<td>6. Understand the value of diversity in research and the workplace.</td>
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<td>and impact of mass communications on a global society.</td>
<td>7. Conduct research ethically.</td>
<td>7. Write and speak effectively to professional and lay audiences about issues in the field.</td>
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<td>5. Understand and apply theories in the use and presentation of images and information.</td>
<td>8. Understand and apply the principles of the First Amendment.</td>
<td>8. Grade and comment effectively on undergraduate student work, lead discussion effectively for</td>
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<td>6. Demonstrate an understanding of professional ethical principles and work ethically in pursuit of</td>
<td>8. Think creatively, critically and independently.</td>
<td>undergraduates, demonstrate familiarity with the literature on learning and pedagogy.</td>
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<td>truth, accuracy, fairness, and diversity.</td>
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<td>7. Think critically, creatively, and independently.</td>
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<td>8. Conduct research and evaluate information by methods appropriate for the communications</td>
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<td>professions, audiences, and purposes they serve.</td>
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<td>9. Write correctly and clearly in forms and styles appropriate for the communications professions,</td>
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<td>audiences, and the purposes they serve.</td>
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<td>10. Understand and apply the principles and laws of freedom of speech and press</td>
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<td>11. Critically evaluate their own work and that of others for accuracy and fairness, clarify,</td>
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<td>and grammatical correctness.</td>
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<td>12. Apply basic numerical and statistical concepts.</td>
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KU also offers approximately 60 non-degree undergraduate, post-baccalaureate, and graduate certificate programs. Academic departments differentiate the admission requirements and course requirements of certificate programs from degree programs. For instance, the School of Education articulates the [admissions](https://example.com/admissions) and [course requirements](https://example.com/course_requirements) for the Autism Spectrum Disorders Graduate Program.
Certificate and differentiates them from the admissions and course requirements for the Master of Science in Education degree program in Autism Spectrum Disorders.

3.A.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).

The institution has appropriate systems to ensure quality control of locations, including clearly identified academic controls, regular evaluation of its locations, and the appropriate faculty, facilities, resources, and academic/support systems.

Consistency Across Locations

Examples of programs meeting these quality measures and spanning more than one site or modality include:

- Master of Social Work. The School of Social Welfare offers a master of social work program in Lawrence, at Edwards campus, and through an innovative hybrid program at two locations in western Kansas. The learning goals and quality measures are identical across sites and modalities. Program expansion occurred after the school successfully piloted a blended option, combining in-class instruction with online instruction. Department faculty teach and advise students at all four locations. Students attend at their local site with instructors hired by the department and complete online work taught by full-time faculty.

- Master of Public Administration. The Public Management Center in Topeka was established in 1974 with the goal of bringing the Master of Public Administration (MPA) degree to the state capital. The center’s nearly 1,500 Certified Public Managers and over 400 MPA graduates have benefitted from the lack of variation with regard to core MPA curriculum and instructional staff.

Consistency Across Modalities

Course and program review ensures consistency across campuses and programs in content as well as quality. All degree programs, certificates, and courses offered, regardless of location or modality, are governed by a unified system of program development (see Criterion 3.A.1). Individual academic departments oversee the development, hiring, delivery, and evaluation of instruction within their courses and programs, regardless of location or modality. Courses and programs delivered through hybrid or online modalities are held to the same standards, approved with the same processes, and awarded equivalent credit to courses delivered face-to-face. As an example, all of the courses being developed for the Department of Special Education online master’s program are being developed by regular teaching faculty members and represent equivalent credit as compared with face-to-face versions of the courses.

In September 2013 an HLC peer reviewer visited the KU Public Management Center location and the Salina Regional Health Center location. The reviewer’s Multi-Location Report concluded that instructional oversight, academic services, assessment of student performance, student services, facilities, and marketing and recruitment information were all adequate, and no further review or monitoring was necessary.
As KU continues to explore the development of more online and distance learning options for students, the university strives to ensure that the rigorous nature of programs delivered in face-to-face classrooms is replicated and courses are evaluated using the same systematic procedures for curriculum review and accreditation. The Center for Online and Distance Learning at the Lawrence campus and the Teaching and Learning Technologies office at the Medical Center offer pedagogy and best practices expertise to instructors teaching hybrid and fully online courses. These resources facilitate course development to ensure consistency of online and hybrid offerings (see Criterion 3.D.4) with face-to-face offerings.

Core Component 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.

Overview
In Fall 2013, KU implemented the KU Core, the first university-wide undergraduate curriculum. The KU Core comprises six learning goals and 12 specific learning outcomes that reflect KU’s mission as a comprehensive research university, fulfilled through courses, experiences, or a combination of both that fulfill a specific learning outcome. KU is a pioneer in allowing approved experiential learning options to count toward the undergraduate curriculum.

As described online, in the catalog, and during advising, the KU Core is designed to develop fundamental skills, build a broad background of knowledge, generate capacity for integrating ideas, strengthen knowledge of an appreciation for diversity, and cultivate ethical integrity. When building the KU Core, KU followed a set of principles: It should apply to all KU and KUMC undergraduates; be outcomes-based; cover key skills and core values of diversity and social responsibility; include options for experiential learning; and retain the expectation of exposure to the breadth of disciplines characteristic of a research university.

KU’s curricular and co-curricular offerings recognize domestic and global human and cultural diversity through the prior general education requirements, the KU Core, language programs, multi-disciplinary area studies programs, and through co-curricular programs such as the Global Awareness Program and programs offered by the Office of Multicultural Affairs. KU is a national leader in the study of foreign languages. Data from the 2014 Senior Survey indicate that KU’s efforts have yielded positive results. In 2005, 62 percent of seniors rated their attainment of “understanding and appreciation” of diversity a 4 or 5 on a 5-point scale. In 2014, 72.5 percent of the seniors rated their attainment a 4 or 5 on this same item. Data from the National Survey of Student Engagement (NSSE) also support the notion that KU promotes interaction with diverse people and learning about different cultures.

KU faculty and students contribute to scholarship, creative work, and knowledge discovery in keeping with the mission of an AAU research university. Many of KU’s faculty members are national and international leaders in their fields, and faculty members tout KU’s research centers as a strength of the university. In 2012, KU established the Center for Undergraduate Research to stimulate additional...
undergraduate opportunities and support the KU Core. KU also recently expanded its nationally recognized University Honors Program.

Narrative and Evidence

An overview of the evolution of the general education curriculum since 2005 outlines how KU operationalizes its commitment to a liberal education in the context of a research university and sets a context for assessment as described in Criterion 4.B.

General Education Up to 2012

KU is currently operating with two sets of general education requirements. The former requirements were operational for students admitted from 1987 to 2012. The KU Core went into effect for freshmen beginning in Fall 2013. By the time of the visit in February 2015, approximately one-third of KU undergraduates will be following the former requirements (sophomores in Fall 2013 were given a choice to opt into the KU Core). Characteristics of the former general education program include:

- Each professional school and the College of Liberal Arts and Sciences determined how its students would meet general education requirements. In the College, for instance, the total requirement amounted to 72 hours of general education.
- The Six Goals of General Education (2001) served as a framework for identifying the overarching expectations of KU undergraduates. The goals were derived in 1987 through an inductive process based on existing professional school and College general education requirements and were revisited and revised through an iterative, campus-wide process in 2001.
- Each of the professional schools (with exception of a few majors in the School of Music) and the College required coursework in the humanities, social sciences, and natural sciences as well as written and oral communication and basic mathematics skills.
- In their totality, the goals emphasized the exercise of independent intellectual inquiry and the student’s ability to examine and understand personal, social, and civic values. They embraced the importance of critical inquiry. The first three spoke to acquiring the foundation of a liberal education within the context of a comprehensive research university.
- Students’ attainment of the goals of general education was evaluated through an assessment and interview process of outgoing seniors. The assessment process consisted of a team of faculty members interviewing seniors on the stated goals of the general education curricula in the schools and the College. These data helped to inform development of the KU Core and its attendant assessment process (see Criterion 4.B).

Getting to the Core

Between 2009 and 2012, the KU Core was developed through a multistage planning process involving faculty, staff, students, and alumni from across the campus. Because KU did not have a traditional university-wide curriculum committee that might typically take the lead in such a curriculum revision, the change process is outlined below.
In 2009, Chancellor Gray-Little established the Task Force on Retention and Graduation, which recommended fundamental and instrumental policy changes to enhance KU’s efforts to successfully recruit and retain students. Recommended changes included examining and refreshing the curriculum in light of the assessment results of the previous decade that showed students performing slightly above average on all of the general education goals (see general education interview assessment in Criterion 3.B). In particular, the College’s 72-hour general education requirement for a bachelor’s degree was viewed as an obstacle to timely graduation.

The task force report served as the foundation for the Energizing the Educational Environment workgroup of the 2010–11 strategic planning process. By October 2011, the workgroup had:

- Reviewed general education requirements at peer and public AAU universities.
- Engaged the university through a series of online surveys, obtaining input from over 1,000 members of the KU community to generate a comprehensive list of common goals for a KU education.
- Reviewed the goals submitted and identified the top goals, which were shared with faculty members and discussed in department meetings.
- Obtained and reviewed the results of those discussions, then shared with the KU community six common goals that were identified.

Based on the workgroup’s report, establishing a KU Core curriculum was identified as a strategy in the Bold Aspirations strategic plan in October 2011. During 2011 and 2012, goals and learning outcome definitions were defined and shared with the KU community; a transition committee finalized the learning outcomes, set goal requirements, and established processes for the KU Core’s governing body. The provost established KU’s first university-wide curriculum committee, the University Core Curriculum Committee (UCCC), to develop, sustain, and oversee the KU Core curriculum. The UCCC began reviewing and certifying courses to meet the KU Core goals in 2012–13. To be approved, a course must demonstrate which goal/outcome it meets, how it will meet the stated goal and outcome, and how goal attainment will be assessed.

The KU Core was implemented for new students in Fall 2013. It should be noted that the College and each school can define degree requirements that go above and beyond the requirements of the KU Core.

Fulfilling the requirements of the KU Core curriculum entails successfully completing 12 units across six education goals. The Core’s six goals and related learning outcomes and a list of approved courses and educational experiences can all be found on the KU Core website.

3.B.1. The general education program is appropriate to the mission, educational offerings and degree levels of the institution.

The KU Core: Goals, Outcomes, and Requirements

The goals of the KU Core reflect KU’s mission as a research university of “educating leaders, building healthy communities, and making discoveries that change the world.” Outcomes are fulfilled through courses, experiences, or a combination approved by the UCCC. KU is a leader in allowing experiential learning to count toward achievement of general education goals; a 2011 survey of university peers indicated that only one encouraged experiential learning as part of its curriculum.
KU differentiated the goals of the KU Core into those that satisfy “General Education” goals consisting of skills and breadth of knowledge (goals 1-3), and “Advanced Education” goals (goals 4-6) that provide deeper understanding of diversity, ethics and social responsibility, and integration of knowledge across areas of study. Through adoption of a new transfer policy, students with associate of arts degrees from regionally accredited Kansas public colleges and universities are deemed to meet goals 1-3.

The UCCC’s ongoing oversight of the core curriculum, including the certification process to approve courses for the KU Core, ensures that the faculty will continue to oversee the KU Core and its appropriateness to the mission, educational offerings, and degree levels of the institution.

3.B.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 or 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.

The KU Core replaced a classic distributional model of general education that existed in the College of Liberal Arts and Sciences and some of the professional programs for at least 30 years. The KU Core is designed to yield fundamental skills, build a broad background of knowledge, generate capacities and opportunities for blending and creating ideas, strengthen an appreciation of cultural and global diversity, and cultivate ethical integrity. It represents a sharp departure from the previous distributional model and:

- Is goal- and outcome-driven.
- Requires breadth of knowledge characteristic of a liberal education.
- Includes options for experiential learning.

The KU Core reflects a commitment on the part of the university to ensure that, regardless of degree, all undergraduates will have the same skills and knowledge to ensure lifelong learning and success.

The KU Core is central to the freshman and transfer advising process, and clearly articulated as the foundation of the four parts of any KU degree: the KU Core, degree requirements, major requirements, and electives.

3.B.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.

Undergraduate Programs

The KU Core ensures every undergraduate completes the same general education curriculum. In addition, undergraduate degree programs require specialized, applied learning within a discipline as defined by majors, minors, and concentrations (see Criterion 4.B).

Both the KU Core (Goal 1) and previous versions of general education emphasized skills in collecting, analyzing, and communicating information. Data from the 2013 National Survey of Student Engagement
(NSSE) Institutional Report, administered before the start of the KU Core, indicate that students perceived their general education curricula to contribute to their abilities to collect, analyze, and communicate information:

- Collecting information:
  - 64 percent of first-year students and 66 percent of senior students who responded to the NSSE indicated their coursework emphasized quite a bit or very much the formation of a new idea or understanding from various pieces of information.

- Analyzing information:
  - 73 percent of first-year students and 84 percent of senior students indicated that their experience at KU has contributed “quite a bit” or “very much” to their knowledge, skills, and personal development in thinking critically and analytically. These percentages are comparable to first-year and senior students in an Association of American Universities Data Exchange (AAUDE) comparison group.
  - 51 percent of first-year students and 64 percent of seniors reported that the KU experience contributed “quite a bit” or “very much” to their ability to analyze numerical and statistical information, slightly below the AAUDE comparison group.

- Communicating information:
  - 64 percent of first-year students and 65 percent of senior students indicated their experience at KU has contributed “quite a bit” or “very much” to their knowledge, skills, and personal development in writing clearly and effectively. These percentages were higher than the AAUDE comparison group for first-year students and comparable to the same group for seniors.
  - 50 percent of first-year students and 61 percent of senior students indicated their experience at KU has contributed “quite a bit” or “very much” to their knowledge, skills, and personal development in speaking clearly and effectively. Once again, KU first-year students were higher than the AAUDE comparison group while the seniors were comparable.

Outgoing senior students’ rating of their level of attainment on the goals of general education increased from 2005 to 2014 (see 2014 Senior Survey University Report). For instance, 72.5 percent of students rated their attainment of the core skills of reading, writing, numeracy, and clear, effective communication a 4 or 5 on a scale of 1 (little or no attainment) to 5 (outstanding attainment).

Data such as these were instrumental in the KU Core’s emphasis on critical thinking in courses such as first-year seminars and capstone courses. Going forward, these skills will be assessed as part of the KU Core assessment.

Graduate Programs

Each graduate degree at KU involves mastery of critical subject matter. Each master’s program contains a research component, represented by a thesis (usually for six hours of credit) or by an equivalent enrollment in research, independent investigation, or seminar. Within these requirements, master’s programs are flexible enough to meet the particular needs of individual students.
For KU’s terminal and professional master’s degrees, departments ensure the requirements for a research or capstone requirement are commensurate with the accreditation of their programs and the demands of the profession.

The research doctoral programs, particularly the Ph.D., are the highest degrees offered at the university. The institution’s research doctoral programs prepare students to carry out independent research in the specific fields of study and to make discoveries that change the world through knowledge generation and dissemination.

Each professional master’s degree or clinical or professional doctoral degree prepares students for the relevant profession and is guided by the particular professional accreditation body and professional organization.

Data from multiple items on the Graduate Student Satisfaction Survey (GSSS) (see Criterion 3.B.5) indicate that graduate students are engaged in collecting, analyzing, and communicating information.

### 3.B.4. The education offered by the institution recognizes the human and cultural diversity of the world in which students live and work.

Through its current and former general education curricula, major programs, and co-curricular programming, the university offers an education that reflects the diverse world in which students will live and work.

**KU Core Curriculum**

Attention to human and cultural diversity pervades KU’s educational requirements and offerings. Goal 4 of the KU Core has two interrelated learning outcomes: to investigate the diversity of human experience within the United States and to examine the variety of perspectives in the global community, distinguishing the student’s own cultural patterns and learning to respond flexibly to multiple world views.

A total of 91 courses satisfy the requirements of Goal 4, learning outcome 1, and 268 courses satisfy the requirements of Goal 4, learning outcome 2. Courses addressing diversity include a broad range of topics. For instance:

- **Global diversity** is addressed in courses like AAAS 351, Africa’s Human Geographies, FMS 315, Survey of Japanese Film, and REES 512, Siberia: Yesterday and Today.
- **American ethnic diversity** is addressed in courses like SOC 522, American Racial and Ethnic Relations, FMS 314, History of African-American Images in Film, and ENGL 336, Jewish American Literature and Culture.
- **Religious diversity** is addressed in courses like REL 330, Native American Religions, REL 555, Buddhists and Buddhism in China, and EURS 435, Islam in Europe.
- **Gender diversity** is addressed in courses like WGSS 440, Communication and Gender, CLSX 374, Gender and Sexuality, Ancient and Modern, and WGSS 327, Perspectives on Lesbian, Gay, Bisexual and Transgender.
- **Socioeconomic diversity** is addressed in courses like SOC 521, Wealth, Power and Inequality, ECON 110, The Economics of Globalization, and ECON 515, Income Distribution and Inequality.
In addition to taking courses, students can meet required learning outcomes by engaging in approved educational experiences. Examples include a significant study abroad experience (for a semester or over the six-week summer intersession) or the completion of approved internships or practicums. See the full list of approved experiences.

The College of Liberal Arts and Sciences has degree requirements that recognize human and cultural diversity. A bachelor of arts degree requires non-English language proficiency of either fourth-semester proficiency in one language or third-semester proficiency in one language and first-semester proficiency in a second language. A bachelor of general studies degree may be fulfilled with two courses in a single world language or completion of three world civilization or non-Western culture courses or language areas beyond the KU Core.

**Undergraduate Academic Programs**

Students also have opportunities to experience individual academic offerings that recognize human and cultural diversity. KU has a long-standing history of exceptionally strong international programs and area studies programs (see Criterion 1). Students can choose from 40 languages to study, more than any university between the Mississippi River and the Rocky Mountains. The Directory of International Agreements and Programs list more than 100 agreements with partner universities worldwide, and nearly a quarter of KU baccalaureate graduates studied abroad.

KU offers degree programs and coursework in disciplines that recognize human and cultural diversity, including Latino/a Studies, Indigenous Studies, and Religious Studies. KU was among the first universities in the country to offer African American Studies and Women’s Studies programs. Women, Gender, and Sexuality Studies, long approved to only offer bachelor’s and master’s degrees, was granted approval in 2012 to offer a Ph.D. program.

For example, the bachelor’s degree in American Studies is an interdisciplinary program in which faculty and students think critically about popular culture, society, and identity in America. Through studying topics such as film, jazz, literature, visual culture, gender, race and religion, students in the American Studies program investigate America in the present and the past, beyond both disciplinary and national boundaries. Through KU’s Foundation Distinguished Professor initiative, the department recently hired a renowned faculty member credited with establishing the modern field of whiteness studies.

**Co-Curricular Programming, Campus Resources, and Infrastructure**

Students can participate in a number of programs and opportunities related to human and cultural diversity. Programs that facilitate global awareness through academic coursework, co-curricular involvement, and international experience include:

- The Global Awareness Program (GAP) is open to all KU undergraduate students, who can choose to complete components for certification. In FY 2012, 255 students completed GAP; a total of 2,160 students have completed GAP since the program’s inception. Components include coursework, co-curricular involvement, and international experience.
• The **Global Scholars Program** recognizes and encourages academically talented and motivated undergraduate students who have demonstrated an interest in global studies. Annually, 15 sophomores are competitively selected and provided opportunities to develop intellectual capabilities and interest and to prepare them for careers, further study, and leadership roles in international contexts.

• The Global Partners Program provides international and domestic students opportunities to learn about culture on a personal level. Students are placed in groups based on members’ interests, academic majors, and languages, and meet for structured events and on their own.

• **Office of Study Abroad.** In 2013, KU had more than 100 agreements with partner universities worldwide, and is currently ranked 28th in the nation among public universities for undergraduate participation in study abroad (Open Doors Report on International Educational Exchange). During 2011–12, KU sent a total of 1,415 degree- and nondegree-seeking students abroad. Students studied in 130 programs in 75 countries, with instruction taught in more than 20 languages. KU has a goal to reach 30 percent participation in study abroad in the next five years and in particular to increase the number of students studying abroad for a semester or academic year. Providing financial aid is one way to increase the percentage and diversity of students studying abroad. During 2012–13, approximately $535,000 was awarded by the Office of Study Abroad in scholarships. In addition, Architecture, Business, the College, Engineering, and Social Welfare offered varying levels of scholarship support for study abroad (ranging from $20,000 to $80,000 dependent upon the school). Unlike many institutions, KU allows most federal and institutional aid (scholarships, tuition grants, etc.) to apply toward study abroad programs. Thus, students who receive financial support to study on campus also receive that support when studying abroad. External scholarships for study abroad since 2003 include:
  - 75 Gilman Scholarships
  - 17 Boren Scholarships
  - Five Bridging Scholarships
  - Two Confucius Institute Scholarships
  - 40 Freeman Awards
  - 19 JASSO scholarships
  - One Fund for Education Abroad scholarship
  - 78 Fulbright grants

• The **Office of Multicultural Affairs** offers extensive opportunities for learning about diversity:
  - **Colors of KU** is an annual weekend retreat that focuses on student leadership style and ability. Concepts of inclusion, diversity, and social justice drive the discussions and development of an action plan to bring back to campus. In 2014, about 70 students participated in the retreat.
  - The Social Justice Awards recognize individuals that had a direct impact on social justice on and off campus. Categories include the LGBTQ Ally Award, Programming Award, Gender Equity Award, Excellence in Academia Award, and Outstanding Advocate Award.
  - The **Tunnel of Oppression** is a three-day event where various forms of media are utilized to introduce students to a wide range of oppressions and “isms.” In 2013, more than 550 students passed through the tunnel during the three days.
  - **Social Justice Week** includes presentations, documentaries, and roundtable discussions on social justice. In 2013, more than 100 students participated.
  - The **Dr. Martin Luther King Jr. Vigil** is a “march” from Strong Hall to the Kansas Memorial Union to commemorate the 1964 march. The annual event includes speeches by local middle school students.
Hawk Link offers special sections of the University 101 orientation course for first-generation, low-income, or historically marginalized first-year students. Hawk Link drew 109 first-time freshmen in 2011, 99 in 2012, and 125 in 2013. Students are offered mentoring, free tutoring, an introduction to various campus resources, free printing, and guidance during their first year on campus.

- The Emily Taylor Center for Women & Gender Equity provides leadership and advocacy in promoting gender equity and challenging gender-related barriers that impede full access and inclusion. The center provides workshops and presentations for sororities, fraternities, campus residential units, campus groups, and university academic classes. Examples include:
  - The Jana Mackey Distinguished Lecture Series, honoring a young social activist and feminist, was established to raise awareness about issues of social justice and equality for women. Speakers include Lilly Ledbetter (2012) and Tony Porter (2011).
  - Sexual Violence Prevention Services (SVPS) provides programs, information, and assistance on issues related to rape, sexual assault, stalking, domestic violence, and other forms of sexual and relationship violence. Workshop topics include healthy relationships, consent, gender roles and sexism in the media, and men and masculinity. The workshops are offered to the campus community every semester and are available by request to living groups and student organizations. SVPS oversees the coordination of programming during Sexual Assault Awareness Week in September. In addition, SVPS has trained staff members who are available to provide individual assistance and support to victims, friends, and family.

- The Office of International Programs promotes, integrates, and supports international and global initiatives throughout KU’s research, teaching, and service endeavors. The office includes:
  - The Applied English Center welcomes students at all levels of English proficiency, preparing them to study at KU or other American universities and helping them participate in American society. The center serves approximately 500 undergraduate and graduate students annually.
  - Faculty grants, student programming, and international scholar and employee services.
  - International Student Services provides a variety of cultural and cross-cultural programming for international students and the general campus community, such as Small World English and outreach for international women and their children; the Lawrence Friendship Family Program matching international students with local families and individuals; and the international student association, which promotes international friendships and cultural appreciation.

- KU also welcomes sponsored students to campus to pursue nondegree or degree programs. KU hosts over 260 sponsored students and partners with approximately 40 sponsoring governments, corporations, and organizations. For example, the Brazil Scientific Mobility Undergraduate Program allows a dozen students from Brazil to work directly with researchers at the university.

- For over 50 years, KU has participated in a student exchange partnership with the University of Costa Rica. KU students enroll in classes at the University of Costa Rica and receive a well-structured introduction to the country, its culture, and history. Students earn academic credit, improve their language skills, and experience Costa Rican culture and history firsthand by living with local families and participating in orientation activities and excursions. In exchange, faculty members from the University of Costa Rica spend time as visiting scholars and/or earn advanced degrees at KU.
Evidence of Program Success

Data from the Senior Survey indicate that outgoing senior students’ ratings of their attainment on their understanding and appreciation of “the development, culture, and diversity of the United States and of other societies and nations” increased significantly from 2005 to 2014. In 2014, 72.5 percent of students rated their attainment at a 4 or 5 on a scale of 1 (little or no attainment) to 5 (outstanding attainment), an increase of 10.5 percentage points since 2005 (2014 Senior Survey University Report).

Data from the 2013 administration of the National Survey of Student Engagement (NSSE) indicate that students perceive their academic and co-curricular programs to contribute to their recognition of and interaction with people who are different from themselves:

- 74 percent of first-year students and 71 percent of senior students responded that they “very often” or “often” had discussions with people from a race or ethnicity other than their own.
- 74 percent of first-year students and 77 percent of senior students responded that they “very often” or “often” had discussions with people from an economic background other than their own.
- 75 percent of first-year students and 75 percent of senior students responded that they “very often” or “often” had discussions with people who have religious beliefs other than their own.
- 75 percent of first-year students and 76 percent of senior students responded that they “very often” or “often” had discussions with people with political views other than their own (2013 NSSE Institutional Report).

3.B.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.

KU provides an academic environment that encourages and promotes research excellence, innovation, and faculty achievement in research, scholarship, and creative artistry that benefits society, contributes to global advancement, and expands the body of human knowledge. KU had $260 million in sponsored research expenditures in FY 2013. KU’s commitment to providing infrastructure and resources to support scholarship is strong, as it aligns with the university’s research mission (see Criterion 1) and with KU’s role as a member of the AAU. (Criterion 3.C.4 details how KU supports faculty scholarship through research infrastructure and resources; Criterion 5.C describes the relationship between research and the strategic plan.)

Faculty Scholarship

KU promotes excellence in research productivity and creative activity on the part of its faculty. Academic staff in research positions and faculty members are expected to engage in scholarship as part of their responsibilities to the university and their department or unit. Research typically constitutes 40 percent of a tenure-track faculty member’s workload. Pre-tenure, promotion and tenure, and post-tenure policies and procedures indicate university-wide expectations for faculty scholarship (see Criterion 3.C.3). KU faculty members are recognized as part of national and international networks of scholars.
Strategic Research Themes
To further the university's research efforts, initiatives were identified as noted below. The process for determining the themes is detailed in Criterion 5.C.3.

1. Sustaining the Planet, Powering the World.
3. Building Communities, Expanding Opportunities.
4. Harnessing Information, Multiplying Knowledge.

Over $5 million in seed funding has been invested in these initiatives during the past three years. Furthermore, the Campus Master Plan calls for the construction of a corridor named Innovation Way. A first component — the Earth, Energy and Environment Center buildings north and south, scheduled to break ground in November 2014 — will enhance the first strategic research theme.

Distinguished Research Faculty
KU has almost 90 distinguished professors who have contributed significantly to the scholarship in their fields of study. For example, several are members of the top-rated special education program among public universities, and some are scholars in drug design/pharmaceutical sciences with the School of Pharmacy, ranked second in National Institutes of Health funding. Additionally, KU is investing in 12 prestigious Foundation Distinguished Professorships, partly funded by the state of Kansas. As of July 2014, three Foundation Distinguished Professors have been hired; it is anticipated that nine more will be hired in the next two to three years.

University Cluster Hires
A complementary activity, often pursued in conjunction with Foundation Distinguished Professor hires, is the hiring of collaborative faculty clusters to expand the university’s mission of multidisciplinary research excellence, growth, and innovation in the strategic initiatives. These include school-funded positions as well as 22 new faculty positions created through the Changing for Excellence savings. These 22 new positions, combined with the 12 Foundation Distinguished Professor positions and growth in Engineering by 30 faculty members, mean KU is growing by a total of 64 net new faculty positions.

Distinguished Research Awards
KU faculty members have received a number of distinguished research awards (see complete list). Highlights include:

- Three recipients (1981, 2002, 2011) of the Takeru Higuchi Research Prize, the highest international academic award in the pharmaceutical sciences.
- The 2012 recipient of the Louisa Gross Horwitz Prize, Columbia University’s top honor in achievement in biological and biochemistry research.
- The 2009 recipient of the Presidential Early Career Award for Scientists and Engineers.
- The 2009 recipient of the Burroughs-Wellcome Career Awards in Biomedical Sciences.
- As of 2014, eight faculty members are in the congressionally chartered national academies and serve as advisors to the nation on science, engineering, and medicine.
- As of 2014, five faculty members are in the congressionally chartered National Academy of Public Administration.
Between 2003 and 2013:

- 47 faculty received Fulbright Scholar awards.
- 10 faculty received National Endowment for the Humanities Fellowships.
- Four faculty were named National Humanities Center Fellows.
- 22 faculty were National Science Foundation Career Award recipients.
- Eight faculty were named Geological Society of America Fellows.
- Four faculty were named Newberry Library Fellows.
- Three faculty were named Alfred P. Sloan Research Fellows.

**Investment in Scholarly Activities**

Since 2011, over $5 million has been invested in seed funding for research aligning with the four research initiatives described in the Self-Study introduction. In addition, new laboratory facilities (described in **Criterion 5.A**) will enhance faculty research in the sciences.

**Student Scholarship**

Undergraduate students have received a number of national, competitive scholarship awards. As of Fall 2013, students have received:

- 26 Rhodes Scholarships.
- 450 Fulbright grants.
- 56 Goldwater Scholarships.
- 17 Truman Scholarships.

The University Honors Program coordinates applications and preparation for national scholarships.

Instructors and mentors with the Center for Undergraduate Research, established in 2012, engage and advise students in their development as researchers. The center provides campus-wide programs that celebrate undergraduate research at KU.

Undergraduate students contribute to knowledge discovery by participating in lab and directed study opportunities, as well as creative shows and performances. In 2014, 56.8 percent of outgoing senior students indicated they participated in research outside of a classroom assignment, and 68.1 percent indicated they performed or exhibited work outside of a classroom assignment (2014 Senior Survey University Report).

Through the Center for Undergraduate Research, students can earn certificates, research awards, and travel awards.

- In 2012–13, 425 students received certificates through the Research Experience Program. Over the past seven years, 2,210 students have received certificates.
- For the 2014–15 academic year, KU offered 90 undergraduate research awards and 44 undergraduate travel awards.
The university publishes the *Journal of Undergraduate Research*, which highlights the scholarly works of undergraduate students.

Undergraduates have an opportunity to present research findings at the state Capitol and at the *Undergraduate Research Symposium*. At the *2014 Symposium*, 107 students presented their projects, representing 25 departments across campus.

Undergraduates also can enroll in courses that have a Graduate Research Consultant (GRC), who works with the main instructor to provide a more research-intensive classroom experience. The pilot GRC program was launched in Spring 2014, and nine research consultants from engineering, humanities, and social sciences worked with 291 students enrolled in the qualifying classes.

The annual *Innovation Fair* hosted by KU Innovation and Collaboration features student and faculty presentations of research with commercial potential.

KU has attracted over $3 million in external funding for undergraduate research. Examples include the McNair Scholars Program, the KU/Haskell Bridge Program, KU Initiative for Maximizing Student Diversity (KU-IMSD), Kansas IDeA Network of Biomedical Research Excellence (K-INBRE), S-STEM, and National Science Foundation’s Partnerships for International Research and Education (KU-PIRE).

The university supports 640 graduate research assistants annually. Graduate students have access to travel awards that enable them to share work widely through local and national conferences. A total of $100,000 is available annually to graduate students, through 200 awards of $500 each. All graduate travel award funds are exhausted every year. Also, the Office of Graduate Studies offers summer research fellowships with a stipend of $5,000.

The *Graduate Research Competition*, a campus-wide event, provides graduate students the opportunity to present their research to faculty judges and peers from across the university. Over the past four years, approximately 100 students have participated in the competition each year. Students can apply to give a poster presentation or an oral presentation. Graduate award winners are posted on the KU website. Graduate students gather with peers from Kansas research universities for an annual Graduate Research Day at the Capitol each spring. This event recently grew to the point where separate events are scheduled for master’s and doctoral students.

The 2013 Graduate Student Satisfaction Survey and the Doctoral Completion Survey include some evidence about graduate student engagement in research. It is important to note that students may be at any stage in their programs when they complete the Graduate Student Satisfaction Survey. Additionally, these data do not separate Ph.D. candidate responses from those in professional doctorates such as the Ed.D., many of whom are part-time. Survey results include:

- 67 percent of doctoral students reported conducting independent research between starting their program and when they completed the survey.
- 60 percent presented a paper at a national scholarly conference.
- 40 percent co-authored articles in refereed journals and 39 percent published as sole author in a refereed journal.
- 59 percent of master’s students also reported conducting independent research between the time they began their programs and when they completed the survey.
- 51 percent of master’s respondents had presented a paper at a national scholarly association.
- 37 percent had co-authored an article in a refereed journal and 36 percent had published as sole author.
Core Component 3.C
The institution has the faculty and staff needed for effective, high-quality programs and student services.

Overview
KU has a stable and growing contingent of highly qualified faculty members to accomplish its mission and fulfill its aspirations as a top-tier research university. Annual turnover is low. Faculty Senate members, Unclassified Professional Staff senators, and students cite a commitment to teaching as one of KU’s strengths. Both in and out of the classroom, faculty work to ensure cutting-edge curricula and course redesign to enhance student learning. In response to instructional needs, KU has over the last 10 years more clearly defined types of nontenure-track faculty positions. Regardless of whether faculty members are tenure-track or multi-term lecturers, on-campus or online, all hiring is guided by the standards of the disciplinary expectations of a research university.

KU engages in a robust series of evaluative activities, including required evaluations of teaching in every course, annual evaluation, progress toward tenure, promotion and tenure, and now post-tenure review. All multi-term lecturers undergo a summative evaluation at the end of their three-year term in addition to annual evaluations. Similarly, graduate teaching assistants are evaluated in accordance with the university’s agreement with them.

Led by the Center for Teaching Excellence and numerous programs to recognize excellence in teaching and research, KU faculty members, including graduate teaching assistants and multi-term lecturers, have ample means for keeping current in their disciplines and for enhancing teaching skills.

Narrative and Evidence

3.C.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; and involvement in assessment of student learning.

Quality instruction begins with high-quality faculty, resources for development and assessment of teaching and learning, and commitment of the institution to prioritize teaching and learning. Three standing committees of the Faculty Senate have responsibility to advise and monitor issues related to classroom and other faculty roles (Academic Policies and Procedures, Faculty Rights, Privileges and Responsibilities, and Standards and Procedures on Promotion and Tenure).

Faculty Numbers and Qualifications

Tenured and Tenure-Track Faculty
Of the Lawrence campus faculty, 70 percent are tenured or in tenure-track positions. The workload expectation for such faculty members is 40 percent teaching, 40 percent research, and 20 percent service. Faculty members with tenure may opt for a differential allocation of effort to reflect their
current work and interests. No faculty member may reduce to less than 10 percent any of the three aspects of their job.

The Lawrence campus has invested significant resources into increasing the faculty size using tuition enhancement dollars and leveraging state funding to add new faculty lines. New faculty hires have been targeted around the university’s strategic priorities to ensure that the university has the appropriate number of faculty members and scope of expertise to lead educational programs. KU has hired between 50-70 new faculty members, ranging from assistant professors to distinguished professors, each of the past four years. KU has created and committed to 64 additional new faculty positions over the past four years as the result of state funding for 12 Foundation Distinguished Professorships (mentioned earlier), 22 positions from savings as a result of Changing for Excellence initiatives, and 30 additional positions for engineering to support planned student and program growth.

For example, through the Building on Excellence Initiative, the School of Engineering is undergoing significant expansion while maintaining and improving its high-quality student programs. The School of Engineering is increasing faculty size to maintain a desirable 23:1 student to faculty ratio. The School of Medicine has experienced 83 percent growth in full-time clinical faculty and an 11 percent increase in basic science faculty since 2006.

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<th>Lawrence Campus</th>
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<th>Tenured/Tenure-Track Faculty by Rank (excludes Librarians and Lecturers)</th>
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<td>Assistant Professor</td>
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<tr>
<td>Associate Professor</td>
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<td>Professor</td>
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<td>Total</td>
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The following table shows that workload is comparable to that of AAU public institutions.

<table>
<thead>
<tr>
<th>Student Credit Hours and Organized Sections per Tenured/Tenure-Track Faculty FTE</th>
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<td>Fall 2006</td>
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<tr>
<td>CREDIT HOURS</td>
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<tr>
<td>University of Kansas</td>
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<tr>
<td>AAU Public Institutions*</td>
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<tr>
<td>KU as % of AAU</td>
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<tr>
<td>ORGANIZED SECTIONS</td>
</tr>
<tr>
<td>University of Kansas</td>
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<tr>
<td>AAU Public Institutions*</td>
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<tr>
<td>KU as % of AAU</td>
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*Data available for 8 to 10 institutions each year
Continuity of the Faculty

KU has a low faculty turnover rate. Less than 5 percent of faculty members leave the institution each year by resignation, termination, or retirement.

<table>
<thead>
<tr>
<th>Faculty Resignations, Termination, and Retirements</th>
<th>Lawrence Campus</th>
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<tbody>
<tr>
<td>Tenured/Tenure-Track Faculty (Includes Librarians)</td>
<td>Aug. 18, 2009-Aug. 17, 2010</td>
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<td>Aug. 18, 2010-Aug. 17, 2011</td>
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<td>Aug. 18, 2011-Aug. 17, 2012</td>
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<td>Aug. 18, 2012-Aug. 17, 2013</td>
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<td>Aug. 18, 2013-Aug. 17, 2014</td>
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Nontenure-Track Faculty

In Fall 2003 there were 353 nontenure-track faculty on the Lawrence campus. In Fall 2013 the number had grown to 482. In Fall 2003 they represented 25 percent of the total faculty, and in Fall 2013 they represented 30 percent. These percentages are similar to other public AAU institutions.

Since 2003, the university has clarified its definition of nontenure-track faculty and provided flexibility for professional programs to hire clinical faculty and professors of the practice. Nontenure-track faculty include lecturers and professors of the practice whose responsibilities are primarily instructional but may have some service expectations. The university has increased the number of such faculty in three- to five-year term appointments to increase professionalism and integration of nontenure-track faculty into the academic unit. In addition, unclassified academic staff (i.e., faculty-equivalent staff) with titles such as clinical professor and specialist engage in instruction but also have research and service expectations. Departments verify credentials for all levels of instructional staff, including nontenure-track faculty. Additionally, all instructional staff members, including part-time lecturers, are held accountable for meeting educational objectives and teaching effectiveness and are evaluated regularly by students, peers, and/or appointed supervisors.

Faculty Roles Inside the Classroom

KU is notable for the value it places on undergraduate and graduate teaching. KU recognizes outstanding faculty educators with several teaching awards (see Criterion 3.C.4). Bold Aspirations emphasizes the importance of the teaching mission in Goal 1.

The Center for Online and Distance Learning (CODL) (see Criterion 3.C.4) supports instructional staff and promotes effective teaching by ensuring that faculty members have access to latest advances in effective pedagogy.

The Center for Teaching Excellence (CTE) (see Criterion 3.C.4) and CODL are heavily involved in implementing the Bold Aspirations strategy dedicated to course redesign to enhance student learning by promoting active learning and encouraging the development of courses that take advantage of new pedagogical methods and information technology. In 2013–14, the provost’s Task Force on Course Redesign created six broad recommendations to accelerate progress on this strategy.

New buildings for the School of Engineering and School of Business, as well as the new Earth, Energy and Environment Center, will be designed for active learning and flipped classrooms and lecture halls.
Individual classrooms in the School of Journalism, Strong Hall, and Wescoe Hall also have been redesigned using existing resources.

In 2013–14, 75 courses were redesigned with the assistance of CTE, CODL, and teaching postdocs. A recently released report evaluating the College of Liberal Arts and Sciences Course Transformation Initiative shows positive results from the redesign of three large gateway courses:

- **GEOL 101, Introduction to Geology.** By Spring 2014 the instructors noted markedly improved student performance on the short-answer and essay exam questions, despite the fact that these questions were more challenging than those used in previous semesters.

- **GEOG 104, Principles of Physical Geography.** In both Fall 2013 and Spring 2014, evaluations showed significant gains in student understanding of all core physical geography concepts and map reading skills. With additional course revisions in Spring 2014, students more consistently completed the readings, and exam performance was notably higher than in Fall 2013 (on the same exam questions).

- **BIOL 152, Principles of Organismal Biology.** With the redesigned elements, student attendance improved and students engaged with the material in class activities in a more sophisticated manner. The teaching fellow helped develop concept surveys administered before and after the semester, and these data are being analyzed for learning gains.

**Faculty Roles Outside the Classroom**

The [Code of Faculty Rights, Responsibilities, and Conduct](#) outlines expectations for faculty responsibilities beyond the classroom. Faculty are expected to serve their academic unit by attending faculty and unit meetings; serving on committees; contributing to planning, development, and scheduling activities; and, where appropriate, reviewing graduate students. Faculty serve their school and university through committee work.

Faculty members support students’ academic needs outside the classroom through advising, participating in curriculum planning, directing theses and dissertations (where appropriate), being available for consultation, and supervising independent work undertaken by students. Results from student surveys show:

- 71 percent of first-year undergraduate students and 79 percent of seniors reported that they had discussed course topics, ideas, or concepts with a faculty member outside of class (NSSE).
- 85 percent of doctoral students at the dissertation stage rated their advisor’s helpfulness on preparing for written qualifying exams as very helpful or somewhat helpful (GSSS).
- 76 percent of doctoral students and 78 percent of master’s students rated quality of advising and guidance as good/very good/excellent (GSSS).

As described in [Criterion 3.B](#), faculty oversight of the curriculum occurs through participation on departmental curriculum committees and college/school level curriculum committees, and through the University Core Curriculum Committee. In addition to serving on curriculum committees, faculty members serve on a range of committees and boards that address student issues. Additionally, faculty members are expected to engage in service to the university and their discipline.
3.C.2. All instructors are appropriately qualified, including those in dual credit, contractual and consortial programs.

KU faculty members are highly qualified:

- Over 98 percent of tenure-track and tenured faculty on the Lawrence campus hold a terminal degree in their discipline. The credential stipulation applies to KU faculty teaching anywhere and in all instructional modalities.
- Each department/unit is responsible for assessing qualifications of individual faculty members. Departments hire tenure-track faculty with terminal degrees. In some departments and professional schools, a small number of programs hire a limited number of faculty members based on their significant professional and experiential preparation. For example, a world-renowned opera star was hired as a professor of voice and subsequently was named a university distinguished professor.
- Nontenure-track instructional staff are hired by division directors and/or department chairs. Departments verify credentials for all levels of instructional staff, including nontenure-track faculty. The majority of nontenure-track faculty have a terminal degree. Credentials accepted outside of a terminal degree include expertise and experience in a particular subject area.

3.C.3. Instructors are evaluated regularly in accordance with established institutional policies and procedures.

Continuous evaluation and improvement of the performance of instructors is essential to maintain the quality of academic programs. KU faculty members are expected to aspire to the highest levels of performance in teaching, research, and service, befitting their position in an international research university. Evaluation of all faculty members at Kansas Board of Regents institutions is governed by
**KBOR policy.** This section outlines the evaluation policies and procedures for tenured and tenure-track faculty and other instructional staff.

### Evaluation for Tenured and Tenure-Track Faculty

The five principal assessments of tenured and tenure-track faculty member performance are student course evaluations administered each semester in every course, annual evaluation, progress toward tenure review, promotion/tenure review, and post-tenure review.

#### Student Course Evaluations

Student course evaluations are required for all instructional staff by KBOR and university policies. Evaluation forms are administered each semester and collected under controlled conditions that assure student anonymity.

#### Faculty Annual Review

**KBOR policy** requires that all faculty members be reviewed annually. The annual evaluation provides feedback to the faculty member about all aspects of performance, confirms and recognizes meritorious and outstanding performance, and identifies areas for improvement. At the Lawrence campus and as described in the Lawrence campus Faculty Evaluation Policy, each academic unit must have an approved annual evaluation plan containing the standards and process for evaluation. Units review and, if necessary, revise their evaluation plans on a three-year cycle. The results of the annual evaluation must be communicated in writing to faculty members and supplemented by meetings with the department chair or dean, as appropriate (see Criterion 2).

Department evaluation plans include plans for reviewing faculty teaching activities. Teaching evaluations include student evaluations of courses, as well as peer teaching evaluations with classroom visits and review of syllabi, teaching materials, and exams or papers assigned.

At the Medical Center campus, each faculty member’s academic performance is evaluated annually by the unit administrator according to criteria and methods established by that unit or school for teaching, scholarship, and service. The administrator invites faculty to submit a portfolio of relevant information for the purposes of evaluation. Multiple sources of information must be used for evaluation. The evaluation is provided to the faculty member in writing prior to its final adoption and placement into the faculty member’s personnel file. If the evaluation reveals that a faculty member’s performance requires improvement in some area(s), the written evaluation shall be specific in identifying the area(s) and describe ways for improving performance in the area(s). The faculty member may provide a written response to his or her annual evaluation that will also be placed into his or her personnel file.

#### Progress Toward Tenure Review

A third-year progress toward tenure review is required for all tenure-track faculty members, an important decision point that plays a role for early assessment of faculty progress, identification of strengths and weaknesses, and development of action plans. Pre-tenure faculty members prepare a dossier similar to that required for tenure review. The department, school/College, and dean review the dossier and provide feedback to the candidate.
**Promotion and Tenure Review**

The processes for the award of tenure and/or promotion are similar at the Lawrence and Medical Center campuses. Ongoing progression toward promotion and/or tenure is facilitated through the annual faculty evaluations as well as additional department-specific mentoring programs. Awarding of tenure and/or promotion is among the most important and far-reaching decisions the university makes.

Tenure-track faculty members undergo mandatory review for promotion and/or tenure no later than six years after hire (exceptions are made for an approved stoppage of the tenure clock). The multi-level peer-driven processes are governed by Article VI of the Faculty & Senate Rules and Regulations. Each academic unit must develop discipline-specific criteria and review procedures to meet the university standards for tenure and/or promotion in rank as articulated in the FSRR Article VI. These policies are reviewed and approved by the Standards for Promotion and Tenure committee.

The review process includes three levels: initial (departments in academic units with departments), intermediate (school or College), and by the University Committee on Promotion and Tenure. Each level involves an independent assessment of the candidate’s record and a recommendation that is informed by the results of the deliberation from preceding levels of review. The chancellor makes the final decision on the award of tenure and/or promotion.

**Post-Tenure Review**

Beginning in spring 2015, 15 percent of tenured faculty will participate in post-tenure review each year. The policy calls for a summative assessment of a faculty member’s teaching, scholarship, and service for a seven-year review period. Reviews are conducted by the department (or by school when there are no departments within a school) following criteria and review procedures developed and approved by the department or school and reviewed by the dean, who then reports the results to the provost. Much like progress toward tenure reviews, post-tenure review will provide a valuable opportunity for feedback and mentoring on faculty teaching, research, and service, and an assessment of strengths and weaknesses.

**Other Instructional Staff**

**Nontenure-track Faculty**

Nontenure-track full- and part-time faculty lecturers and professors of the practice, faculty-equivalent professional staff with teaching responsibilities (e.g., clinical professors, specialists), and graduate teaching assistants are evaluated annually by their units based on their job description. Reappointment of full-time, multi-term lecturers and professors of the practice requires a satisfactory summative review.

Part-time lecturers are evaluated primarily on the basis of course evaluations and any observations, again using the policy on tenure-track and tenured faculty as an umbrella. Under regents policy, course evaluations are required in all classes, regardless of the instructor’s tenure status.

**Graduate Teaching Assistants**

The performance evaluations for graduate teaching assistants policy outlines the guidelines for providing regular evaluation and feedback to graduate teaching assistants. The evaluations must include
classroom observation. The policy applies to all graduate students with appointments as teaching assistants during the academic year. All graduate teaching assistants must be reviewed annually.

3.C.4. The institution has processes and resources for assuring that instructors are current in their disciplines and adept in their teaching roles; it supports their professional development.

The evaluation processes and procedures described above (see Criterion 3.C.3) and a variety of professional development opportunities keep instructors current and adept. These opportunities include those targeted toward development of pedagogical as well as research skills. Competency and currency in research not only contribute to the research profile of the university but ensure that faculty members provide cutting-edge knowledge to students. All units (programs, departments, schools, etc.) and the university provide resources and opportunities for professional development of faculty, including supporting development in teaching and scholarship.

Specific resources to support teaching include:

- The Center for Teaching Excellence (CTE) provides opportunities for faculty to discuss student learning and ways to enhance learning in their classrooms, supports faculty as they implement ideas for improving student learning, brings research about teaching to the attention of the university community, encourages involvement in the scholarship of teaching and learning, offers course assistance at any stage, fosters innovation, and advocates and recognizes excellence in teaching.
  - Teaching Summit. Each year approximately 300 faculty and staff gather at the beginning of the academic year to learn about and share best practices for teaching at KU’s annual Teaching Summit. The summit includes a nationally prominent speaker followed by breakout sessions by faculty/staff. The summit has become embedded in KU culture as an integral part of the new academic year. Participants routinely rate it 4.5 on a 5-point scale.
  - Best Practices Institute. The institute brings small groups of 12-20 faculty members together for two-day, faculty-led workshops each May to work on specific projects to improve student learning in various courses. Since 2002, 165 faculty and instructional staff members have participated.
  - Working groups support the intellectual work that faculty and instructional staff members do in their teaching. Each working group is focused on a different facet of teaching in higher education. Members share information and experiences, pose and solve problems, and discover new ideas or approaches. The C21 Course Redesign Consortium, the largest and most active group, began in Fall 2013. More than 80 faculty, staff, and students met five times a semester to improve and accelerate student-centered course transformation at KU, moving students from a passive role to an active role in the classroom.
  - Workshops. CTE invites nationally known speakers to present workshops for the KU campus. In addition, CTE hosts mini-workshops led by KU faculty; topics are driven by current issues in teaching and learning. Over the course of a semester, typically 80 faculty and instructional staff participate in one of the mini-workshops.

- The Center for Online and Distance Learning (CODL) supports faculty in the currency and adeptness of their teaching roles by providing pedagogy and media expertise for online and hybrid courses. Instructional designers and eLearning support specialists assist faculty with designing, enhancing,
and developing innovative pedagogy for online course delivery. In 2013–14, CODL provided support for 177 faculty and design of 75 courses.

- At the Medical Center campus, the Teaching and Learning Technologies department provides support and assistance to all instructional staff on the latest technologies including: online learning/Blackboard, video conferencing/Polycom, webconferencing/Adobe Connect, electronic testing/LXR Test, podcasting/Camtasia Relay, iTunes U, online surveys/Vovici, audience response systems/iClickers, and virtual worlds/Second Life. Master’s-prepared instructional technologists provide pedagogical support and instructional design. Since 2005, the department has offered an online course focused on building knowledge and skills for successful online teaching. A total of 208 faculty have participated and in 2009, the course won the ANGEL Impact Award for Exemplary Staff Development.

Resources to Support New Faculty

Examples of programs to support new faculty include orientation, research grants, and research start-up packages, which are described in the categories below.

Sabbatical Leave Program

This competitive program is designed to provide an opportunity for faculty development in the areas of teaching and research. KBOR policy stipulates that only four percent of the total Lawrence and Medical Center faculty may be on sabbatical leave at one time. Faculty members are eligible for leave every seven years. After a multi-tier evaluation process, the chancellor approves leaves upon recommendations from the University Committee on Sabbatical Leave. In 2014, 58 faculty members were approved for sabbaticals for the 2014–15 year, which is consistent with the number of faculty members approved over previous years (56 faculty approved for 2013–14; 57 approved for 2012–13). At the Medical Center, four sabbaticals were approved for the 2013–14 academic year and two for 2014–15.

Department Chair Training

KU relies on the dedication and leadership of department chairs and program directors to sustain its commitment to quality education and scholarship. The vice provost for faculty development provides a variety of resources to help chairs be successful in their roles. In 2013–14, a new chair/director orientation, five roundtables, and two interactive workshops were provided, along with a number of reference guides and online resources including seminars and workshops. Approximately 25–35 chairs/directors attended each roundtable and 12–20 chairs/directors attended each interactive workshop.

Future Administrator Training

The Senior Administrative Fellows Program assists faculty who have an interest in or a talent for administration by allowing selected tenured faculty members to explore senior administration. A small group of faculty members are selected from nominations. Fellows work together for approximately four hours per month in exploration of senior administration at KU. The program accepts approximately 12 new fellows annually. The program has been successful in that KU’s current administration includes one dean, four vice provosts, and six associate deans who participated. More are department chairs, and
even those who have not assumed an administrative position have learned a great deal about how a large research university works.

Faculty Awards and Recognition

Because research and teaching are inextricably linked at a research university, it is also important to highlight structures that recognize and support scholarly endeavors. KU is committed to increasing the recognition and award for its top faculty (as indicated in Goal 5 of Bold Aspirations). The university recognizes faculty scholars for excellence in research and teaching through a variety of named professorships and other distinguished awards. Faculty research awards are listed in Criterion 3.B.5.

Examples of awards include:

- The recently completed William T. Kemper Fellowships for Teaching Excellence award program acknowledged 260 faculty members from 1996 to 2011 with significant monetary awards in addition to public recognition for their excellence in the classroom.
- The Chancellors Club Career Teaching Award recognizes outstanding teaching contributions made to the university by a member of the faculty over a period of 20 years or more.
- The Ned N. Fleming Trust Teaching Award includes a one-time stipend of $5,000. Faculty members are nominated for this annual award by deans, department chairs, or faculty colleagues.
- The Byron Shutz Award includes a one-time stipend of $4,000; the recipient delivers a public lecture later in the academic year.
- The George and Eleanor Woodyard International Educator Award recognizes faculty who have demonstrated outstanding leadership in strengthening KU’s international dimension, and the award is worth $1,000.
- The HOPE (Honor for the Outstanding Progressive Educator) Award was established by the KU class of 1959 to recognize the recipients’ outstanding teaching and concern for students. It is the only KU award for teaching excellence bestowed exclusively by students and is led by the Board of Class Officers. Senior class members select the winner, and the award is presented in the fall semester.
- The University Scholarly Achievement Award annually recognizes midcareer star faculty members whose research is of major significance.
- The Leading Light Award highlights the accomplishments of single principal investigators and teams of principal investigators for their efforts in obtaining a research grant totaling at least $1 million.
- The Higuchi-KU Endowment Research Achievement Awards annually recognize research accomplishments of researchers at KBOR institutions. The four research awards are named in recognition of individuals and their contributions to the KU research program.

Additionally, the university offers several scholarly achievement awards, and individual schools and the College of Liberal Arts and Sciences also recognize outstanding achievements of faculty members.

Research Support

Support for faculty and staff research and scholarship includes:

- Research institutes. Focus groups with the Faculty Senate and Unclassified Professional Staff Senate identified research support provided through the various research centers as one of KU’s strengths.
• The **New Faculty General Research Fund** helps new tenure-track faculty members accelerate their individual scholarship and assists in building a sustainable research program.

• The **General Research Fund (GRF) Competition** is a competitive award program that provides funding for the advancement of the university's research program. The Office of the Vice Chancellor for Research provides funds to each school or college and assists in the administration of these funds. The university devotes a modest amount of funding, approximately $630,000, to this fund to help faculty jump-start their research programs.

• **Strategic Initiative Grant Program** provides funding to advance four strategic initiative themes. The Level I and Level II Research Investment Council grants are designed to seed research projects and increase large collaborative projects. Support ranges from seeding initial efforts to seek external support to funding established activities to realize a major increase in sustained external funding. Investments in these research opportunities provide faculty with opportunities to stay at the leading edge of their discipline.

• The **Keeler Intra-University Professorships** provide faculty members an opportunity to strengthen their knowledge of an academic specialty, to broaden or achieve greater depth in a defined field of study, or to achieve competence in a new area of scholarly endeavor. Since 2003, 35 professorships have been awarded.

• The **Big XII Faculty Fellowship Program** offers faculty the opportunity to travel to institutions in the Big XII Conference to exchange ideas and research. Participants receive up to $2,500 to cover the costs of a two-week visit to another conference university. Since 2009, 24 KU fellowships have been awarded.

• **Start-up packages.** The university recognizes that start-up packages are an important element in the successful recruitment of high-quality faculty and academic staff. Because start-up funds typically exceed available resources, the university has a policy for requesting, allocating, and expending available funds.

• The **Hall Center for the Humanities** annually offers seminar and colloquia series to support multi-disciplinary collaboration and learning. The center also provides competitive research fellowships to support research in the humanities and related fields.

**Travel Support**

The university offers travel support for faculty traveling off-campus for scholarly endeavors. Examples include:

• The **Faculty/Staff Research Development Travel Fund** provides $750 per eligible faculty member to travel off-campus for face-to-face meetings with potential funding agency officials.

• The School of Education provides each tenure-track and tenured faculty member $2,000 annually for travel.

• The College of Liberal Arts and Sciences Faculty Travel Fund provides $700 for domestic travel and $1,200 for international travel for professional development of tenured and tenure-track faculty members.

• The **International Programs Travel Fund** sponsors faculty travel for research abroad and for presenting a paper at an international conference. Faculty members are eligible to receive one travel grant in a three-year period.
• The **International Travel Fund for Humanities Research** supports faculty pursuing international humanities research abroad. The fund provides awards for summer research projects, and recipients have been awarded up to $3,000, with funds covering airfare and travel expenses.

**3.C.5. Instructors are accessible for student inquiry.**

The **Faculty Code of Rights, Responsibilities and Conduct** requires that faculty members be “available for consultation.” Data from the 2013 NSSE Institutional Report provide some evidence of the quality and quantity of student and faculty interactions:

- 30 percent of first-year students and 42 percent of senior students indicated that they “very often” or “often” talked about career plans with a faculty member.
- 27 percent of first-year students and 32 percent of senior students indicated that they “very often” or “often” discussed course topics, ideas, or concepts with a faculty member outside of class.
- 24 percent of first-year students and 30 percent of senior students indicated that they “very often” or “often” discussed their academic performance with a faculty member.
- 17 percent of first-year students and 30 percent of senior students indicated that they “very often” or “often” worked with a faculty member on activities other than coursework, like committees and student groups.

These scores of student-faculty interaction were comparable among KU, the Association of American Universities Data Exchange, and the university’s Carnegie class. A total of 47 percent of first-year students and 58 percent of senior students rated their interactions with the faculty as a 6 or 7 on a scale of 1 = poor to 7 = excellent.

Data from outgoing senior students also indicate they perceive instructors to be accessible for student inquiry (2014 Senior Survey University Report):

- 49.0 percent of students indicated they had worked with faculty members on activities other than coursework (committees, orientation, student life activities, etc.).
- 70.9 percent of students reported their satisfaction with the helpfulness of their upper division faculty advisor at a 4 or 5 (on a scale of 1 = very unsatisfactory to 5 = very satisfactory).
- 83.7 percent of students reported their satisfaction on the ease of meeting with instructors for conferences outside of class at a 4 or 5 (on a scale of 1 = very unsatisfactory to 5 = very satisfactory).

Responses from the Graduate Student Satisfaction Survey also indicate that instructors are accessible:

- 89 percent of doctoral and 90 percent of master’s students agreed or strongly agreed that “Faculty members are willing to work with me.”

**3.C.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.**

All staff positions are defined through position descriptions that include minimum qualifications for the fulfillment of responsibilities. Each unit has primary responsibility for mentoring, professional
development, and period evaluation (expected to be annual or more frequent) of employees. The university has established guidelines for annual performance evaluation of staff.

The university has a variety of learning and development resources that foster staff engagement and development (additional training and professional development activities for staff are reviewed in Criterion 5.A.4). Student support units also offer numerous opportunities for professional development:

- The Undergraduate Advising Center has 20 full-time advisors and additional part-time and graduate assistant advising staff members. The center provides a six-week advising training program for new staff. The majority of advisors have advanced degrees and experience with academic advising. Advisors are given opportunities to attend annual conferences in their field, such as the Kansas Academic Advising Network Conference and the National Academic Advising Association regional and national conferences.
- The Financial Aid and Scholarship Office has 24 full-time staff members. The office provides a four-week financial aid and scholarship training program. As part of continuing professional development, staff members participate in KU Human Resource Management professional development sessions, state and regional financial aid conferences, and U.S. Department of Education and national association financial aid training sessions.
- The Writing Center has 2.5 FTE staff members, including a director (Ph.D.), a master’s-level specialist, and a Ph.D.-level specialist. All staff members have extensive experience. Staff training is provided in-house and through professional development opportunities such as conferences and publishing.
- Most Student Affairs staff positions require a bachelor’s degree and list master’s or even doctoral degree as preferred. Most are supported in travel and professional development. For instance, in Recreation Services, there are nine staff with master’s degrees and two with bachelor’s degrees. Staff members are certified in relevant areas, including National Intramural Recreational Sports Association and Certified Recreation Sports Specialist. Another example is Student Health Services, led by one board-certified medical doctor administrator. It also employs two master’s degree associate directors, eight board-certified medical doctors, and three board-certified nurse practitioners with master’s degrees who provide clinical care. Staff members are provided support to attend professional development conferences and become members of professional associations.
- Support units are highly professionalized and hold memberships in appropriate national professional associations. Examples include: National Academic Advising Association, NASPA -Student Affairs Administrators in Higher Education, American College Personnel Association, National Association of College and University Business Officers, and Association for Institutional Research.
- The mean score for KU seniors completing the 2013 NSSE was 5.1 on a scale of one (poor) to seven (excellent) for the quality of interactions with student affairs staff and 4.9 for interactions with other administrative staff. These means are both significantly higher than ratings of student affairs and administrative staff at the AAU Data Exchange comparison universities. The scores suggest KU students view administrators as competent at their jobs. ([NSSE, 2013](#))
Core Component 3.D
The institution provides support for student learning and effective teaching.

Overview
Befitting a comprehensive research university, KU provides a rich complement of programs and services on all of its campuses and online to support students’ personal and academic growth and success. On the Lawrence campus, the Office of Undergraduate Studies and the Office of Student Affairs serve undergraduate students and Graduate Studies provides additional programming to enhance the academic progress of graduate students. At the Medical Center, the Division of Student Affairs oversees these programs and services. In order to fulfill its commitment to educate leaders, KU has over the last 10 years made significant investments in programs widely recognized as high-impact practices. For example, the Office of First-Year Experience implemented a Common Book program, has expanded new student orientation, and is offering First-Year Seminars. Most notably, the Undergraduate Advising Center, and other advising centers located in academic units, have expanded both in terms of the number of professional advisors and in the types of data utilized.

KU faculty, students, and staff are provided resources and infrastructure to support teaching and learning. Over the last 10 years, the highly ranked KU Libraries has transformed itself into a hub for instruction and for connecting with the information resources necessary to academic pursuits. Significant investments have been made in expanding learning management system capabilities and in support for using technology to enhance interactive learning at the Medical Center and Lawrence campus. KU uses its museums and performance theaters for public outreach and instructional spaces. Campus Master Plans have been developed for KUMC and Lawrence to identify space needs and to prioritize construction for the future. On the Lawrence campus, modern instructional lab space is a high need; at KUMC, construction of a new medical education building is a top priority.

Narrative and Evidence
3.D.1. The institution provides student support services suited to the needs of its student populations.

KU responds to the diverse needs of its students with an array of student support services. In 2012, the university reorganized its student support structure in an effort to better serve its students: the Office of Undergraduate Studies and the Office of Student Affairs. Collectively, these units provide a comprehensive set of programs and services to support students academically and personally (see Criterion 1.A.2 for more details).

Learning Support Services in Undergraduate Studies

Student Support Services
The following services support students’ development, health, and well-being:
• **Counseling and Psychological Services** is student-fee supported and helps students with issues related to adjusting to college and other psychological, interpersonal, and family problems.

• Student Housing is discussed in **Criterion 3.E.1**.

• **Dining Services** provides 2.5 million meals annually to students in residential halls and elsewhere throughout campus. Features include special diets for students needing accommodations, ethnic cuisine, and sustainability programs. Dining Services is nationally recognized for its food allergy/gluten-free program. In 2013, The Market dining location received a gold award in a national competition for multiple concepts/offerings in a retail location.

• **Hilltop Child Development Center** is student-fee supported and provides care and education for young children on the KU campus, with a primary goal of helping students with young children complete their education at KU.

• **Legal Services for Students** is a student-fee-supported office that provides advice and consultation on legal matters for students on the Lawrence campus. In 2013, Legal Services spent 2,541 hours serving 3,057 student clients, saving students an estimated $1,527,725.

• **Recreation Services** is supported by student fees and provides students, faculty, and staff with a variety of popular resources for physical fitness, team and individual intramural sports, sports clubs, and classes and personal training. In 2014, 574,768 individuals entered the Ambler Recreation Center. In 2013–14, 5,190 men and 1,387 women participated in men’s and women’s intramurals in 18 sports, and 1,680 men and women participated in co-recreation intramurals. In 2013–14, use of the Adams Campus Challenge Course included 600 participants and 1,115 students participated in sports clubs.

• **Watkins Health Services** is also student-supported and it delivers health care services and programs that promote the health of the student, university, and community. Student Health Services' Health Education Resource Office offers prevention education and wellness programming. In calendar year 2013, the office had more than 20,000 contacts with students and parents via presentations, events, and programs.

• **Student Money Management Services** advises students on improving their financial situations by empowering them to analyze their finances, make sound decisions, and commit to controlling their financial lives while at the university and into the future.

• The Medical Center offers a **Student Wellness** program that is designed to encourage students to develop and maintain a balanced approach to life. The initiative is promoted through programs and events on campus that cover the cultural, emotional, intellectual, physical, social, and spiritual dimensions of wellness.

• The **University Career Center** offers a range of services designed to support and challenge students at all points on the career development and implementation path. The Career Center typically serves 2,000 to 2,500 students annually through one-on-one and small-group appointments, some with repeating appointments. Many professional schools offer additional career services for majoring students, including the schools of **Music, Journalism, Business, Engineering, and Law**. Students rate the usefulness of the Career Center visits highly, with 96 percent of surveyed students indicating in 2009–10 that they would return to the center for another appointment if they required further career services.

• The Office of Graduate Studies provides professional development programs and services to enhance the teaching, research, and academic skills of students. In addition, it provides a full complement of **career development workshops**. The Graduate Studies website provides a **guide to current and upcoming events** of interest to graduate students.

• **International Student Services** serves KU’s more than 2,000 international students.
• The Office of Veterans Services assists hundreds of veterans each year as they pursue an education at KU, serving as the students’ liaison with the Department of Veterans Affairs.
• The Office of Military Graduate Programs assists military service members in obtaining advanced civilian educational degrees.
• The Student Involvement and Leadership Center houses a program for nontraditional students (see Criterion 3.E.1).
• The Academic Achievement and Access Center (see Criterion 3.D.2) serves students with learning and physical disabilities.

3.D.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.

KU provides a range of learning support services and preparatory instruction to address the academic needs of its students (academic advising services are described in Criterion 3.D.3). The university uses New Student Orientation and academic advising to enroll entering students in courses and programs for which students are adequately prepared.

Preparatory Instruction

KU offers only one preparatory academic course: Math 002. Students whose ACT or SAT scores indicate that they are not prepared to enter College Algebra are directed to fulfill a Math 002 requirement either before they enroll or, once at KU, through the Kansas Algebra Program. In 2013, 15.5 percent (619 out of 4,000) of the incoming freshman class enrolled in Math 002.

Processes for Advising Entering Students

Orientation programs and courses provide direction for first-year freshman and new transfer students.

Orientation for Freshmen and Transfer Students
The orientation process includes sequential advising steps that help direct students to courses and programs they are interested in and for which they are adequately prepared. The Office of First Year Experience oversees freshman orientation and the KU Common Book Program. In Fall 2013, nearly 99 percent of new freshmen and 87 percent of new transfer students attended orientation. Participants rank their satisfaction with the program highly: in 2013, 81 percent of freshmen and 67 percent of transfers rated the program excellent or good, and 87 percent of freshmen and 64 percent of transfers felt they understood academic requirements and expectations at the end of the day (Orientation Summary 2013). KU provides several programs and resources to support new students:

• The KU First Year Field Guide guides students through the orientation process and their first days at the university.
• Students first meet with their advisors in an academic information meeting during freshman and transfer orientation. Advisors introduce students and their families to faculty and staff within their academic unit and review learning opportunities and program requirements.
Students then work with academic advisors in small-group advising to start developing their academic plans and to learn their requirements. Students complete the course selection form, which includes a list of courses appropriate for their enrollment.

Student orientation assistants and peer advisors lead a hands-on session introducing students to Enroll & Pay, the myKU Portal, and the online enrollment system.

Advisors who worked with students in small-group advising return to assist with building schedules using Enroll & Pay. All students leave orientation enrolled in a schedule appropriate for their areas of academic interest. Students also leave with a degree requirements checklist and an advising report showing transfer work, GPA and test scores, and their major interest. In 2012 and 2013, first-time freshman and transfer attendees indicated that the enrollment and academic advising were the most useful parts of orientation.

Students are provided with placement guidelines for basic classes such as English, math, communications, and foreign language. Enrollment in English and math courses is determined by students’ ACT or SAT scores. Incoming students with sufficiently high scores on the ACT, SAT, Advanced Placement, or International Baccalaureate examinations may be exempt from the quantitative literacy and written communications goals of the KU Core. Entering students may take foreign language placement examinations to determine the appropriate course level for them. Students whose first language is not English must take an English placement test administered by the Applied English Center; some international students are required to enroll in AEC courses and pass a final proficiency exam before enrolling in full-time KU coursework.

**Transition-to-KU Courses**

KU offers several courses to assist first-year students with their transition to university life. The goal is for each incoming freshman to be enrolled in one of four first-year course options: first-year seminar, University 101, honors seminar, or departmental seminar.

- First-year seminars are small, 3-credit hour, discussion-based courses designed to introduce freshman to the excitement of intellectual discovery at KU. Courses give students opportunities to work closely with faculty who are on the cutting edge of discovery in their own disciplines, and each class focuses on a topic that capitalizes on the faculty member’s expertise. First-year seminars help students develop intellectual curiosity and skills that help them find, evaluate, and articulate answers to their questions. The university has expanded offerings from approximately 10 sections in 2012 to 25 sections in 2014. In Fall 2013, 304 new freshmen enrolled in a first-year seminar.

- University 101 (formerly PRE 101) is a two-credit-hour orientation session. The seminar helps students make a smooth transition to KU and provides a foundation to their academic studies. Topics include academic and career planning, information literacy, financial and personal wellness, time management and academic support services, and introduction to the KU Core and Common Book. University 101 is taken by 35 percent of KU students, and sections of the course, such as Hawk Link sections (see Criterion 3.B.4), are targeted to special populations. In Fall 2013, 608 new freshmen enrolled in an orientation course.

- Enrollment in a one hour freshman honors seminar is required of all honors students. This seminar serves as an introduction to the honors program, to the research opportunities and other academic resources available at KU and to specific disciplinary perspectives on an overarching theme in the professor’s area of expertise. The instructor of the student’s seminar also serves as the academic honors advisor for the enrolled students.

- Departmental or school-based orientation courses help students learn about and prepare for particular programs or majors. Examples include: The First Year Business Experience (Business 110
and 120); Orientation Seminar in Psychology (Psychology 102); Media and Society (Journalism 101); Engineering Student Success (Engineering 101); New Student Seminar (Electrical Engineering and Computer Science 101); and Introduction to the Education Profession (C&T 100).

Learning Support Services

- **The Academic Achievement and Access Center** (AAAC) offers a variety of programs designed to foster student academic success and equal opportunity for students with disabilities. AAAC offers a small-group, peer-led tutoring program, supplemental instruction, and individual consultations on time management, organization, and study/test taking strategies. The center also provides the campus community with a variety of workshops on academic success topics. The AAAC is responsible for facilitating academic accommodations for KU students with documented disabilities. The AAAC Access Services program is the unit designated to evaluate disability documentation, determine appropriate academic accommodations, and provide accommodations for registered KU students with disabilities.

- **The KU Writing Center** offers a variety of ways for undergraduate and graduate students to get feedback on their writing, including face-to-face sessions, videoconference consultations, and email feedback from writing consultants. The Writing Center has locations in the Anschutz Library and at the Edwards Campus. Seventy percent of senior students in 2014 rated the helpfulness of the services provided by the Writing Center at a 4 or 5 (on a scale of 1 = very unhelpful to 5 = very helpful).

- Tutoring and help rooms are available through several departments and offices.
  - The AAAC offers small group tutoring for a nominal fee. In 2012–13, tutoring services offered 277 tutor groups that served 1,205 students. Tutor groups are course-specific, capped at four students per group, scheduled to meet regularly, and facilitated by peers who meet eligibility requirements and are formally trained as AAAC tutors.
  - The School of Engineering offers free tutoring and help sessions for core courses in math, chemistry, and physics throughout the semester.
  - The **Kansas Algebra Program** offers help rooms for large enrollment courses, like Intermediate Algebra (Math 002) and College Algebra (Math 101).
  - **Peer Led Undergraduate Supplements** is overseen by the Office for Diversity in Science Training and includes federally funded programs that reinforce lecture materials in a small-group setting for students in biology, chemistry, and organic chemistry. The free interactive sessions are open to all students enrolled in the course. Students who regularly attend the academic support activity perform better than the class average.

- **The Learning Studio** in Anschutz Library brings together the Writing Center, tutoring services, and research assistance in a single location.

- **Academic Programs for EXcellence** (APEX) is a federally funded TRIO Supportive Educational Services tutoring and mentoring program. APEX serves approximately 250 participants annually, focusing on first-generation and low-income students.

- **Supplemental Instruction** (SI) began as a pilot program in Fall 2012 and provides weekly peer-facilitated study sessions for large enrollment courses such as ACCT 200, *Fundamentals of Financial Accounting*, BIOL 100, *Principles of Biology*, and ECON 104, *Introductory Economics*. In 2014–15, SI will be offered in 13 courses. SI provides students a chance to review course material, meet others in the class, compare notes, discuss important concepts, and review material to enhance class performance.
The Multicultural Scholars Program is a mentoring program that seeks to recruit undergraduate students from underrepresented backgrounds into various academic majors. The program helps increase the diversity of the student body and provides support and opportunities that will assist students in their academic success.

The KUMC Writing Center offers students numerous support services, including Individual appointments to address specific writing projects and to help students/residents become better writers. It also offers online video appointments for off-campus students; writing workshops, including presentations on various aspects of the writing process; writers groups to offer support and obtain feedback from peers; and faculty consultation on student writing assignments and rubrics.

Student-Athlete Support Services provides tutoring and academic support to approximately 525 student-athletes who participate in 18 NCAA sport programs annually. All student-athletes have access to tutoring and engage regularly with a full-time academic counselor. Students in their first-year or with special academic needs are required to be engaged with tutoring.

3.D.3. The institution provides academic advising suited to its programs and the needs of its students.

Undergraduate Advising

The Undergraduate Advising Center (UAC) records over 13,500 advising visits annually with students who have completed fewer than 90 credit hours and/or who have not declared a major. UAC provides assistance to students in choosing a major, making schedule plans, supervising probation cases, finding academic and professional resources, and successfully advancing to a college degree. For more information on how the UAC is staffed, see Criterion 3.C.6. After choosing a major and/or being admitted to a professional school, students are advised by designated advisors or faculty members in their unit. Additionally, students admitted to the Honors Program meet with advisors within the program at least once a semester.

Fifty-five percent of senior students in 2014 rated the helpfulness of the services provided by the UAC at a 4 or 5 (on a scale of 1 = very unhelpful to 5 = very helpful), representing an increase of 11.4 percentage points since the 2005 senior survey (2014 Senior Survey University Report).

The university is committed to implementing a comprehensive advising model that can translate across the UAC and departmental advising. By investing in new tools with extensive data about student academic progress, students and advisors will have better information on which to make wise academic choices and support the updated advising model. Examples of these new tools include:

- Advisors use the Online Advising Tool in the myKU Portal to record notes from advising sessions, which students also can access. Advisors use program planning sheets to advise students on general education requirements and KU Core requirements, which are reflected in the tool. The tool is used for academic notices that contain critical information about the student’s academic career. Advisors are able to see when a student receives a notice and whether the student has opened it. Students use the tool to pull their Degree Progress Report, which provides information about the status and completion of their degree requirements.
- KU has adopted the Starfish early alert system, called MySuccess, to provide a way for instructors to communicate easily with students and their advisors about their progress in class. Advisors are
alerted when instructors raise “flags” for students indicating poor class attendance or unsatisfactory coursework, enabling them to take appropriate follow-up steps and refer students to support services. Faculty members have been gradually adopting MySuccess.

- KU is in the pilot stage of implementing the Education Advisory Board predictive analytical tool as part of the Student Success Collaborative. The tool helps advisors examine risk factors for individual student success in a chosen major. The tool also permits administrators to examine potential bottlenecks in program curricula to help with curriculum planning.
- The Office of Institutional Research and Planning created a unique advising “dashboard” for UAC using Tableau Software. The system allows academic advisors to access a dashboard view of individual students by synthesizing information from various databases across campus, such as PeopleSoft and MySuccess, and be more proactive with their advisees. Advisors also can use the tool to communicate with cross-sections of student populations, such as students who drop below full-time status, are not performing well in class, haven’t enrolled in classes, or haven’t completed an advising appointment. Advisors and peer advisors are able to reach out to students directly or through student services such as Student Housing in real-time throughout the course of any given term, as opposed to responding to student needs after it is too late in the semester. This innovative project was recognized with a 2013–14 NASPA Excellence Awards Bronze Certificate.

**Graduate Advising**

Advising at the graduate level is program-specific and representative of the pedagogy within the discipline and the type of graduate training offered by the program. Some graduate programs assign one faculty member to advise all first-year students; this faculty member often serves as the director of graduate studies for the program. Other graduate programs assign every incoming student an advisor based on matching research interests of the student and graduate faculty member. Finally, some departments offer a rotation experience where students spend time in several faculty members’ labs and then rank their choice of advisor based on research lab/availability of lab space.

In the 2013 Graduate Student Satisfaction Survey, 76 percent of doctoral students and 78 percent of master’s students rated quality of advising and guidance as good/very good/excellent (GSSS). Bold Aspirations Goal 2 charges departments to set program standards for progression and graduation for all graduate programs, including size of programs to ensure that students are appropriately mentored by faculty members and curricula that allow students to progress to completion within a reasonable time for the discipline.

3.D.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).

**KU Libraries**

KU Libraries rank within the top 50 libraries in the Association of Research Libraries by volumes held. The library system is the largest in Kansas with more than 4.4 million print volumes in seven campus locations, which see more than 1.6 million visits every year. Integration and collaboration have emerged
as key themes to support the libraries’ goals of building and enhancing partnerships with campus units directly involved with research and learning activities. Libraries are responsible not only for the cultivation, discovery, and dissemination of information, but also for facilitating learning, research, and knowledge creation. Through resources and expertise, KU Libraries work to advance discovery, fuel innovation, and energize learning for KU, the state, and a rapidly expanding community of world scholars. Driven by a strategic plan closely linked to Bold Aspirations, the libraries actively strengthen and expand partnerships to support and enhance campus research and learning activities. Features of the libraries include:

- Student-friendly spaces that facilitate learning in group study areas as well as quiet zones. The Learning Studio in Anschutz Library offers future-oriented space that inspires new modes of learning. A partnership of KU Libraries, Undergraduate Studies, and KU Information Technology, the Learning Studio is a dynamic, student-centered space that brings together librarians, IT professionals, and academic achievement staff to support students in collaboration, writing, research, study skills, and use of technology. The studio is open and staffed 24 hours a day, five days a week during the academic year.
- Highly competent librarians and staff who provide direct classroom instruction and partner with faculty to reach more than 1,000 classes with more than 16,000 KU students every year.
- High-quality materials. KU Libraries invest in high-quality materials in many formats that serve research, teaching, and learning needs at KU. In 2012, patrons checked out nearly 165,000 items and accessed more than 3.3 million articles online.
- A wide range of electronic information resources, available anywhere. With a KU login, students, faculty, staff, and others can access more than 110,000 full-text journals instantly from any device with Internet access. Users also can request and quickly receive items not available in the libraries’ collections through interlibrary loan. Requests for electronic articles often are delivered in less than 24 hours; 45 percent of requests are delivered within 24 hours and about 70 percent arrive within 48 hours.
- Use-centered and agile librarian services. Users can contact a librarian in person at the service desks, via text, email, Instant Messenger, or phone. Library staff members specialize in one-on-one interaction, and many are subject specialists and instructors. Scholars find support in open access and traditional publishing choices and copyright compliance through in-person consultations. Compliance services ensure student accessibility to supplemental online course content.
- The Kenneth Spencer Research Library provides access to distinctive collections of rare and local materials, for students and faculty members, including many searchable digital collections.
- Students and faculty at the Edwards Campus have the same access to all digital resources. Other materials are delivered to the campus on a daily basis.
- At the Medical Center campus, the Archie R. Dykes Library of Health Sciences serves faculty, staff, and students. The Dykes Library functions as the Resource Library for the MidContinental Region of the National Network of Libraries of Medicine. The collection includes 25,145 journal and 63,641 monograph titles, and 186,418 journals and 66,227 monograph volumes. University archives and historical collections are held in the Clendening History of Medicine Library, which houses 29,000 books and 45 current journals as well as other collections. Most medical information flows digitally across KUMC locations (Kansas City, Wichita, and Salina) and to remote learners, supplemented by delivery services.
Open Access Policy

KU has been a leader in the open access movement. In 2009, the Faculty Senate passed the first faculty Open Access Policy at a public institution in the United States, demonstrating KU’s commitment to sharing the intellectual fruits of its research and scholarship as widely as possible and lowering financial and legal barriers to public access. KU continues to be at the forefront, taking the lead in forming the Coalition of Open Access Policy Institutions in 2011.

KU Scholar Works provides faculty and graduate students efficient and effective access to their publications. Currently, over 1,100 faculty have submitted at least one work to this open access repository. As of Fall 2013, there were more than 10,000 items in the repository, of which, 3,005 were theses and dissertations. More than 4 million items have been downloaded.

KU Libraries annually participate in Open Access Week, highlighting how an Open Access policy supports the teaching and research of KU faculty, staff, and graduate students by sharing scholarly resources and giving researchers greater control of their visibility.

Technological Infrastructure Supporting Teaching and Learning

With a goal of breaking down barriers to effective learning, KU continues to invest in technological tools that improve teaching and learning:

- Faculty members use Blackboard Learning Management System for course management. On several occasions IT staff have initiated sessions with instructors to identify strengths and weaknesses of the system and are responsive to input from instructors’ experience. They also regularly present next-generation Blackboard features to instructors to get feedback on whether those additions would be useful. The percentage of courses, particularly lecture courses and 100/200 courses, using Blackboard has been steadily increasing. A number of additional technologies work in conjunction with Blackboard, including MySuccess, LectureCapture, VoiceThread, and others.
- Email, wireless coverage. Students, faculty and staff have access to email and other internet services through a high-speed hard-wired network and broad wireless connectivity. Virtually every classroom on the Lawrence and Edwards campuses has wireless access, and the vast majority of classrooms are equipped with computer and projection facilities.
- Software Agreements. Students are offered some software for free or at a reduced price and training on how to use software (see website for a full listing). Software is also installed in the open computer labs on campus.
- KU students can obtain a free copy of Microsoft Office or Windows and KU faculty and staff can purchase discounted Microsoft Office and Windows products for their personal use.
- Faculty and staff can obtain a free or reduced cost copy of SPSS and STATA, statistical analysis products, and EndNote, a software tool that helps researchers gather, manage, and cite references to scholarly literature and materials.
- KUMC Teaching and Learning Technologies (TLT) provides faculty, staff, and student communities with leadership and support for the successful integration of new and existing instructional technology into learning environments, both in the classroom and at a distance (TLT is described in detail in Criterion 3.C.4).
• **Course redesign.** To date 75 courses have been redesigned or “flipped” to employ technology to enhance the teaching and learning process.

**Facilities and Instructional Spaces**

KU has a wide range of instructional spaces, ranging from small seminar rooms and rooms for fewer than 40 students all the way to half a dozen lecture halls that seat from 300 to 900 students. The vast majority of those spaces are fully mediated, including online facilities for projecting or playing a range of digital and analog sources and providing wireless access for students. In the past several years redevelopment funds for classrooms have been prioritized for redesign toward flexible active learning spaces. All new classroom construction allows students to engage in interactive and collaborative learning, while remaining connected with information sources and shared digital communities. There are many teaching laboratory spaces, including eight at the Edwards Campus. The Campus Master Plan recently developed for the Lawrence and Edwards campuses assesses classroom space and classroom usage, making specific suggestions concerning efficiency of classroom use and particularly the need for teaching laboratory space. Classroom usage is discussed in **Criterion 5**. These facilities and instructional spaces enhance the KU learning environment:

• Science Instructional Laboratory Space. One challenge the institution faces is insufficient science instructional laboratory space, discussed in detail in **Criterion 5**. Many lab sections are scheduled well outside typical class periods. Lab equipment typically is a generation behind, and facilities and non-major course labs are frequently led by undergraduate students rather than graduate teaching assistants. While these facilities are satisfactory, KU is breaking ground in November 2014 for the Earth, Energy and Environment Center to provide next-generation lab and instruction facilities to enhance the education of science students.

• Music and Theater Performance Spaces. The School of Music has access to several modern performance venues on the KU campus. Theaters, concert halls, and auditoria that host large and small student ensembles, opera events, and/or faculty and student recitals include:
  o Lied Center (capacity 2,020).
  o Robert F. Baustian Theatre (capacity 130).
  o Bales Organ Recital Hall (capacity 200).
  o Swarthout Recital Hall (capacity 350) hosts 300 faculty and student recitals each year and is undergoing a major, privately funded renovation.
  o The University Theatre, the producing arm of the Department of Theatre has two main performance spaces, the Crafton-Preyer Theatre (capacity 1,160) and William Inge Memorial Theatre (capacity 90-100). The department mounts about 10 productions each year. The theatres are also day and evening training laboratories for the department and serve the students enrolled in a range of theatre courses, including Theatre Practicum, Lighting Production, and Scenic Production.

• The **Spencer Museum of Art** (SMA) provides students with opportunities for curricular, co-curricular, and extra-curricular learning. In academic year 2013–2014, SMA served more than 9,000 KU students with tours and public programs. Students from nearly 50 disciplines (from physics to psychology to printmaking) make use of the SMA galleries to achieve course goals. In 2013–2014, 90 KU classes from 26 distinct departments visited the Print Study Room, with nearly 1,500 KU students viewing works under curatorial supervision in this space. Over 30 KU courses benefited from almost 500 works placed on view for their specific instructional use in the Teaching Gallery, a flexible,
interactive, multipurpose teaching and study space. In addition to deepening and enhancing formal learning objectives, SMA organizes and collaborates with academic partners to support experiential learning, including certificate programs such as the Global Awareness Program and Arts Engagement. Other co-curricular and extra-curricular activities that take place in the galleries and the SMA auditorium range from discussions with artists while they create and install new work to international films to study nights, stress relief and writing tips in the galleries, and more. The spaces, collections, and staff of the SMA accommodate and support a wide range of instructional methods and learning affordances.

- The KU Natural History Museum and Biodiversity Institute is home to over 10.2 million specimens of plants and animals, ranging from prehistoric to living species, and microscopic to colossal. Programs at the museum have reached more than 20,000 participants since 2003. The Museum has a Student Board made up of KU students who can organize or curate an interdisciplinary exhibit to engage the public and host events for fellow students. The Museum also offers its exhibits, spaces and collections for activities related to KU classes and assignments and it is a working repository for active researchers. More than 100 research scientists and graduate students in the institute study the species, ecosystems, evolution and cultures of the planet. The facilities of the Biodiversity Institute include laboratories, student research areas and workspaces, and institute collections. The collections are housed in seven buildings across the KU campus. Additional facilities include the classrooms and laboratories affiliated with the Department of Ecology and Evolutionary Biology and the KU Field Station and Ecological Reserves.

- The Lied Center of Kansas. In addition to providing performance space for visiting artists, the Lied Center is also a center for learning. It provides many opportunities for students to learn transferable skills through Lied Center student employment positions (e.g., box office, front of house, marketing, education, and technical crews), performance opportunities with world-class artists, and in an advisory role through negotiations and interfacing with artist management and agents. An example is "Beyond the Stage: Master Class of KU Jazz Ensemble with Wynton Marsalis". During the 2014-2015 season, two student ensembles will be featured performing with world-class professional artists. The Lied Center also provides a platform for community learning. In 2013-14, the Lied Center hosted a series of events related to the environment and sustainability, including the residencies of Karole Armitage (Fables on Global Warming) and Marc Bamuthi Joseph (red, black & GREEN: a blues). These events and engagement activities were coordinated with the Office of First Year Experience. The Lied Center has a webcasting infrastructure to support student engagement and recruitment. This enables the School of Music to direct prospective students to watch a webcast of a major ensemble or the School of Engineering to notify prospective students to watch a particular keynote speaker. The technology also allows technical crew students to learn how to operate state of the art video equipment in a professional setting.

- Computer labs. There are more than 30 computer labs across the campus (including two at the Edwards campus) providing free access to computing services and equipment, linking students and instructors to the vast network of digital resources provided by the university.

- IT Support Services are available from campus or from anywhere via an internet connection. Most services are also available from a wide range of mobile devices, with specialized applications making it easy to take advantage of online opportunities.

- Faculty members use formal response systems, “clickers” connected to in-class networks to sample student understanding during a class period and many classes encourage students to interact with colleagues during class in solving problems, working on group projects, or finding answers to
challenges posed to the whole class. KU instruction is moving toward taking full advantage of the wide range of services, access, and software provided by IT.

- **Simulation Labs.** The simulation lab in the School of Nursing is home to six high fidelity simulators and an array of moderate and low fidelity simulators and miscellaneous body part task trainers. There is one virtual IV simulator. The lab has four bays simulating acute care patient rooms, one home health bay and one simulation room. There are also 9 fully equipped exam rooms for practicing physical assessment skills. Simulation has been fully integrated in the undergraduate nursing curriculum to bridge clinical and classroom learning. In three of four semesters, students participate in interprofessional simulations to learn teamwork and collaboration skills.

- **Clinical Practicum, Internship and Engagement Sites.** KU programs offer engaged learning opportunities to their students. In some cases the students are preparing helping professions, learning about counseling or audiology or treatments for childhood autism. Students are given the opportunity to work with community professionals and see how the skills and knowledge they learn in class inform the practice of their chosen profession. As an example, the School of Nursing maintains contracts with over 1,700 clinical facilities. These practice sites provide learning experiences for students at all levels and in all majors. Each fall and spring semester, clinical sites are identified for 208 undergraduate students. Students are supervised by clinical affiliate faculty and work closely with unit staff nurses. Over 100 graduate nursing students also work with community-based preceptors and assistance with these clinical placements is provided by the School. Hundreds of community preceptors help support student learning across multiple settings.

**3.D.5. The institution provides to students guidance in the effective use of research and information resources.**

The university is committed to educating students on the effective use of research and information resources. Guidance in this area is provided by a variety of offices and entities throughout the institution and permeates the undergraduate and graduate curricula. (See Criterion 3.B and 2.E for information on academic misconduct.) First-year seminar and University 101 courses include presentations on use of research and information resources.

- KU’s Center for Undergraduate Research organizes the Undergraduate Research Symposium, which has been conducted on campus for 17 years. In 2014 the event included over 300 students, faculty, and guests in attendance and over 120 research project presentations. In addition, many departments offer research methods courses (e.g., HIST 315, PSYC 310), and honors seminars include instruction in research methods.

- The KU Libraries’ strategic plan identifies as the first of four goals: “Integrate information literacy, research skills and information resources into the curriculum to enhance critical thinking, academic success and lifelong learning.” Strategies to advance this goal range from programming for first-year students to outreach for graduate students.
  - As part of the KU orientation course, University 101, librarians deliver course-integrated instruction sessions on information and technology literacy.
  - KU Libraries offer an eight-week course designed to teach students how to improve their research and information management skills. LA&S 292: Research Methods and Information Literacy helps students build a foundation in understanding information concepts that affect their ability to communicate as scholars. It also encourages
students to use critical thinking skills to identify, locate, analyze, and use information effectively.

- Within KU Libraries, members of the Research and Learning Division work closely with faculty to promote information literacy, emphasizing a broad range of skills and understandings that students should develop as they engage in the curriculum.
- Data from senior students indicate that students perceive the library’s resources and instruction to be helpful. In the 2014 Senior Survey, 90 percent of respondents rated information provided (both physical and electronic) in the library or through the KU Libraries website as helpful or very helpful. In addition, 75.5 percent rated instruction provided through classes and workshops taught by library staff in how to locate, evaluate, and use information or technology for research as helpful or very helpful.

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

Overview

Rock Chalk, Jayhawk! KU students and 338,000 alumni around the world share a common bond symbolized by this chant. That bond represents the sum total of the KU experience in and out of the classroom that results in one becoming a Jayhawk. This identity is forged while attending Traditions Night during orientation, learning in the classroom, talking out-of-class with professors, camping for seats at KU basketball games, serving in Student Senate, cooking meals in the scholarship halls, doing an honors project, adapting to living with a Costa Rican family while studying abroad, rebuilding tornado-damaged Greensburg, Kansas on alternative break, and finally “walking down the Hill” at Commencement. Building on the high-quality undergraduate and graduate academic programs, the co-curricular activities KU provides are the linchpin that prepares graduates for a successful life as leaders who can build healthy communities and make discoveries that change the world. In the focus group preparing for the Self-Study, Student Senate members identified these many opportunities as a key strength of KU. Results of the NSSE identify “supportive campus environment” as one of the benchmarks on which KU consistently does well. Responses to the regularly administered Senior Survey and the Graduate Student Satisfaction Survey suggest high degrees of satisfaction with the overall KU experience.

Narrative and Evidence

3.E.1. Co-curricular programs are suited to the institution’s mission and contribute to the educational experience of its students.

KU enhances the educational experience through a broad array of co-curricular offerings, ranging from programs like study abroad to student-run activities like the highly successful The Big Event each spring. KU offers a variety of service and outreach opportunities for students. These opportunities promote co-curricular learning while simultaneously connecting students to their academic goals and enhancing
retention. The institution provides academic, social, and career-focused opportunities for engagement and acts as a living-learning laboratory for students.

The KU Core specifically encourages students to engage in these activities, allowing undergraduate to fulfill learning outcomes through approved experiences or combinations of courses and experiences. Fifty-four percent of the seniors taking the 2013 NSSE indicated that KU had “quite a bit” or “very much” contributed to their knowledge, skills, and personal development in the area of being an informed and active citizen.

The enriched activities and the units that offer them are described below.

**Student Affairs**

The [Office of Student Affairs](#) coordinates and develops student services and programs that extend beyond the classroom; it serves as an advocate for student needs across the university community. Its mission is to engage the KU community in services and programs that complement academic goals and enhance quality of life. It has defined specific learning outcomes that map onto the KU Core learning outcomes. The office fulfills its mission through the offices described in [Criterion 1.A.2](#). Services that provide direct support to students are described in [Criterion 3.D.1](#).

Three examples are used to illustrate the contributions Student Affairs makes to an enriched educational environment that is supportive of the university’s mission.

**Student Involvement and Leadership Center**

The [Student Involvement and Leadership Center](#) (SILC) is responsible for coordinating registered university organizations and providing leadership education experiences for students. The center provides programs and services to specific target populations, including fraternity/sorority members, nontraditional students, and students of all gender identities, gender expressions, and sexual orientations. The center also:

- Registers more than 600 student organizations annually, providing evidence of the myriad opportunities available for students to get involved in the university community.
- Provides numerous programs to assist students develop leadership skills, including Ascend KU, Blueprints, Freshman Leadership Council, Sophomore Leadership Challenge and [LeaderShape](#) (see [Criterion 3.E.2](#)).
- Serves in an administrative oversight, coordination, and educational function for sororities and fraternities. Approximately 3,400 students (18 percent of the undergraduate student population) participate in 45 fraternities and sororities.
- Coordinates services for nontraditional students, broadly defined as students who commute more than 10 miles to the Lawrence campus, have any dependents, are veterans, or are three years older than peer classmates.
- Provides education and programming around issues of sexuality and gender diversity through the Center for Sexuality and Gender Diversity. In 2014, the university created the new position of assistant director of SILC/coordinator.
**Student Housing**

Student Housing provides a variety of types of on-campus living options for undergraduate and graduate students: traditional residence halls, scholarship halls, and apartment living for undergraduate students. In 2013–14, almost 5,000 students lived in university housing. Each year, over 3,000 first-year students live in on-campus housing. KU has 12 scholarship halls, six women’s halls, and six men’s halls. Scholarship halls are small residence halls that house 50 students each.

Student Housing’s mission is building learning-centered communities through individual support and respect. This mission is accomplished through developing engaging communities, vibrant physical spaces, and effective administration. The communities are staffed with seven master’s level complex directors, 21 graduate students in the higher education administration program, and 115 highly trained undergraduate staff members.

The intentionality of community development, alignment with the institutional mission, and academic partnerships are key reasons why students who live in residence halls are retained at higher rates than those who do not. Drawing from best practices, grounded research, and KU’s institutional mission, Student Housing complements Bold Aspirations and the KU Core by identifying specific learning outcomes related to academic success skills, healthy decisions surrounding alcohol and drugs, self-advocacy, awareness that one’s actions affect others, communication through conflict, the value of human diversity, and connection to the KU community and beyond. Each curriculum activity also has an assessment component. Activities are reviewed and modified each year based on assessment data. Student Housing is collaborating with the Office of First-Year Experience on specific curricula for first-year students.

Students living on-campus are retained at higher rates than those living off-campus. For 2010, 2011, and 2012, first-year retention rates for those living in student housing were 80 percent compared to approximately 77 percent for those living off campus.

**Student Senate**

Student Senate is the representative governing body for students on campus, comprised of 98 senators and 11 executives. Each year, this body allocates upwards of $24 million in student fees in ways that best serve students, in some cases funding major programming and support services such as the Union Programming Board and recreation, legal, and health services. Student Senate also represents the KU student voice within university, state, and national governance, working to address and develop policy in students’ best interests. A university policy established by Chancellor Laurence Chalmers in the late 1960s ensures that at least 20 percent of the membership of representative policy governance committee should be students, a practice that continues to this day. Notably, students are represented on key committees such as the Tuition Advisory Committee and Planning and Resources Committee. They are represented on search committees, the University Core Curriculum Committee, and administrator evaluation committees that provide important leadership opportunities for students. As a recent example, Student Senate conducted its own study of KU’s new admissions requirements on projected enrollment of students from underrepresented reports and established a committee to monitor the effects of the new policy.
The Office of the Vice Chancellor of Student Services at KUMC

This comprehensive set of offices and programs enhances the learning environment at the Medical Center. Student Services is comprised of the Office of Student Services, Student Health, Student Life, Records, Registration and Admissions, Financial Aid, Counseling and Educational Support, and the Kirmayer Fitness Center. The office works collaboratively with the Medical Center’s Academic Affairs departments and all areas of the university to create an integrated learning environment. Specifically, the Office of Student Life provides leadership, diversity, and wellness education for Medical Center students.

Undergraduate Studies

The Office of Undergraduate Studies includes units that enrich the co-curricular experiences of students.

Center for Civic and Social Responsibility

In addition to providing learning services through the Office of First-Year Experience and other programs (see Criterion 3.D.2), Undergraduate Studies oversees the Center for Civic and Social Responsibility that offers faculty members and students an opportunity to add a service learning component to any course offered at the university. In the 2013–14 academic year, 556 service learning certificates were conferred and approximately 4,000 students participated in service learning classes.

Honors Program

The mission of the University Honors Program is to provide enriched educational opportunities for the most academically talented, promising, and motivated undergraduate students at KU. These opportunities are provided primarily by special honors courses, classes, programs, and tutorials, and individual advising. The program offers students special sections of courses that are small in size, priority enrollment, specialized advising, and professional staff, and encourages experiential learning. In response to a request by the student members of the Tuition Advisory Committee, the honors program was expanded in 2013 from 200 students to 400 students.

Study Abroad (see also Criterion 1 and 3.B.4)

KU currently ranks 28th in the nation among public universities for undergraduate participation in study abroad (Open Doors Report on International Educational Exchange). The Office of Study Abroad helps to send KU undergraduates to 130 programs in 75 countries, with instruction taught in more than 20 languages.

Academic Co-Curricular Activities

- **Studio 804** is a not-for-profit 501(c)(3) corporation committed to the continued research and development of sustainable, affordable, and inventive building solutions. This exemplary program is a comprehensive education opportunity for graduate students entering the final year of the Master of Architecture program to pioneer new technologies and advanced construction techniques. Students have participated in four LEED Platinum projects completed to date.

- The **Juniper Gardens Children’s Project** began in the mid-1960s and allows students to participate in the improvement of area children’s developmental and educational experiences.
The Psychological Clinic serves as a training, teaching, and research facility, providing low-cost outpatient mental health services to KU, the Lawrence community, and the surrounding area for over 60 years.

Community Service – General

The university provides a number of community service opportunities to its students, faculty, and staff that offer outreach and engagement in the community. Collectively, over 3,000 students, faculty, and staff log over 15,000 hours of community service annually.

Examples of service activities and programs include:

- Community Resources Engaging in the Arts Through Education (CREATE) utilizes volunteers to provide services focused on art, theater, music, and dance for preschool-age children.
- Office of Student Life engages Medical Center students in personal and professional development through co-curricular programmatic opportunities on campus and in the community.
- The JayDoc Community Clinic in Wichita and the JayDoc Free Clinic in Kansas City are directed and operated by medical students, pre-medical students, and area physicians. They address barriers to health care access by providing free medical care to the uninsured and underinsured while giving medical and pre-medical students the opportunity to serve the community and gain valuable clinical experience. The Kansas City clinic serves about 2,000 patients each year.
- Law School Clinics give law students the opportunity to develop legal skills and legal professional values in actual practice settings through 12 clinics. The Legal Aid Clinic involves students in client representation from offices at the law school, with full-time faculty employed by the law school acting as supervisors. The externship programs allow students to work under the supervision of attorneys, judges, or legislators in the community. Each externship program also includes a classroom component taught by a KU law faculty member.
- The Jayhawk Health Initiative offers pre-med students the opportunity to travel to third-world countries to set up free medical clinics to assist underserved populations.
- Similarly Engineers without Borders allows students in the School of Engineering the chance to use their skills in assisting families across the United States.
- KU Advocacy Corps was created as part of Chancellor Gray-Little’s inaugural celebration and seeks to build connections and strengthen relationships between the university and the community organizations that serve Lawrence and Douglas County. The KU Advocacy Corps engages KU faculty, staff, and students in serving as advocates for local nonprofit organizations. Advocates act as a KU contact for an organization, leveraging resources, promoting the partner agency, and helping create connections with other members of the KU campus.

Community Service – Student-Run

- The Big Event connects the KU campus with the Lawrence community by recruiting thousands of student, faculty, and staff volunteers to work at hundreds of local job sites during one day of service. Big Event volunteers provide a helping hand to Lawrence residents by completing projects in their neighborhoods. In 2014, the Big Event recruited 3,000 student, faculty, and staff volunteers to work at 300 local job sites.
Even while the university is not in session, students are strongly encouraged to participate in one of the nation’s strongest Alternative Breaks programs, traveling across the nation to provide service, leadership, and engagement in communities of need. In 2013–14, over 500 students participated and logged in 10,078 hours of service.

The Center for Community Outreach empowers students through service experiences and collaborative partnerships to meaningfully serve our local and global communities as lifelong active, aware, and engaged citizens.

The Rock Chalk Revue is an annual variety show produced by KU students in Greek organizations, student housing, and other student organizations to benefit charitable organizations such as Big Brothers Big Sisters of Douglas County, KU Endowment’s Dream Maker Fund, and Douglas County United Way. Since 1991, Rock Chalk Revue has raised more than $1 million for the United Way.

Graduate Student Support Services

Graduate students are welcome and invited to take advantage of all of the above programs except those devoted to specific groups of students. Graduate students are represented on Student Senate. The Office of Graduate Studies provides links to many resources for graduate students.

3.E.2. The institution demonstrates any claims it makes about contributions to its students’ educational experience by virtue of aspects of its mission, such as research, community engagement, service learning, religious or spiritual purpose and economic development.

KU’s mission statement clearly establishes our contribution to students’ lives and educational experience:

- The university offers a high-quality education through a diverse array of programs, including preparation of health care professionals.
- The university is dedicated to preparing its students for lives of learning and for the challenges educated citizens will encounter in an increasingly complex and diverse global community.
- KU’s current adapted mission statement promises that the university will educate leaders.

Several sources of data demonstrate that KU fulfills the claims it makes about its contributions to students’ educational experience:

- The results of a focus group conducted with the full Student Senate (approximately 100 students).
- Data from larger-scale quantitative surveys, namely 2013 NSSE and the 2013 KU Senior Survey.
- Data from several assessment projects.

Overall Contributions

When asked to identify KU strengths, one student senator noted: “The tradition of being a Jayhawk — sense of community, environment, and tradition that comes with being a Jayhawk.” Another student expanded on this idea: “The culture here — you are part of the Jayhawk family both inside and outside class.” Another added, “With KU’s alumni network you can make an instant connection with people anywhere around the world.” In the words of one student, “KU will give you everything you need to
achieve your goals.” Students commented on the many unique communities such as scholarship halls, and how the Honors Program made it possible for students to be involved in different communities.

The quantitative data support these contentions. KU has administered the National Survey of Student Engagement (NSSE) every three years since 2001, most recently in spring 2013. The Supportive Campus Environment benchmark has consistently been the highest-rated benchmark for freshmen with a score of 58.4 in 2007 to a high of 59.9 in 2010. For seniors, the level of academic challenge was the highest (57.3 in 2010) with supportive campus environment a very close second (56.9).

Seniors rated “supportive campus environment” significantly higher than the AAUDE group. In fact, in 2013, KU senior scores on the following benchmarks were significantly higher than their AAUDE comparison group: higher-order learning, reflective and integrative learning, learning strategies, discussions with diverse others, student faculty interactions, and quality of interactions (with Student Affairs staff and other administrative staff).

The NSSE data suggest several conclusions: 1) KU students who are retained to their senior year are equal to or higher than AAUDE institutions on nearly all benchmarks, suggesting that KU adds significant value to the college experience for those who persist to graduation. For example, although only 5 percent of first-year students indicated involvement in faculty research, 33 percent of seniors indicated such involvement. Opportunities for discussions with diverse others frequently or very often is a particularly strong aspect of KU’s culture. 2) The NSSE data suggest that, when compared to the AAUDE comparison group, KU’s efforts to do a better job involving students in several high impact practices — research with faculty, learning communities and internships or field experiences — should bear fruit in future responses.

Ninety percent of respondents to the 2014 Senior Survey would definitely or probably attend KU again. Seventy-two percent of respondents to the 2013 Graduate and Professional Student Satisfaction Survey would select KU again, and 76 percent would recommend KU to a friend.

Quality and Range of Academic Programs and Research

Indicators that KU fulfills its commitment to offering a range of high-quality programs include:

- KU first-year students and seniors consistently score interactions with faculty at or above those of their AAUDE peer institutions.
- In 2005, 49.9 percent of those who responded to the Senior Survey indicated participating in undergraduate research outside of the classroom. By 2012 that percentage was 62.8, and in 2014 it was 56.8.
- Of those completing the 2013 NSSE, 48 percent of first-year students and 54 percent of seniors participated in service learning. Over half of seniors engaged in a field experience, and 19 percent studied abroad. Institutional data from the Office of Study Abroad indicate that approximately 25 percent of KU baccalaureate graduates studied abroad.
- KU seniors rated the overall quality of “instruction in my major field” as a 4, or satisfactory, on a 5-point scale. The Senior Survey indicated that 56.8 percent had participated in research outside of a classroom assignment, 49 percent reported working with faculty on activities other than coursework, and a full 65 percent had a culminating or capstone senior experience.
• Of doctoral and master’s students completing the GSSS, 69 percent rated the overall quality of their program as very good or excellent.

Community Engagement

A student senator noted that “KU provides a unique opportunity to work for Kansas but also have access to the world.” According to the Senior Survey, 65.8 percent of seniors in 2005 and 76.2 percent in 2014 had participated in any service learning/community service during their collegiate career. Among the 2013 seniors who completed the NSSE, 87 percent reported participating in at least one course that involved service learning and 66 percent reported participating in two or more such courses. Forty-one percent of seniors in 2005 reported having the opportunity to teach or tutor. In 2014 that percentage increased to 45.3 percent.

Educating Leaders

Three-quarters of respondents to the 2014 Senior Survey had actively participated in an organization or club, and 52.7 percent had held leadership positions — up from 47.3 percent in 2005. KU offers a tremendous number of leadership opportunities to students and an extensive number of leadership development programs, such as LeaderShape, which is highlighted below. This wide range of opportunities is not lost on student senators, who cited “student leadership and a chance to win national scholarships” as a KU strength.

Diversity

KU first-year students reported that they often or very often interacted with people who are different from them slightly less than their AAUDE comparison groups and on par with the entire NSSE population. Seniors were significantly more likely than AAUDE comparison group and the entire NSSE 2013 population to report frequent interactions with people different from them.

Services and Program Outcomes

Evidence that the provided services and programs contribute positively to students’ educational experience is varied and comes in many forms. Examples include:

LeaderShape

More than 700 students, faculty, and staff have graduated from or facilitated at LeaderShape, a highly interactive and energizing six-day leadership enhancement program. LeaderShape allows participants to experience teamwork, practice ethical decision-making, deal with change and chaos, clarify personal values, and celebrate and explore the values of others. The program, limited to about 60 participants annually, is held at an off-campus retreat.

In Spring 2014, the LeaderShape staff conducted a pre/post survey of those attending the program. Results indicated a positive increase in most of the identified learning outcomes, with the exception of
integrity and initiative. *LeaderShape* staff members use the results to revisit their curriculum and discuss how best to instill the message of “leading with integrity” and “taking initiative.” The group is also using the results to identify key times throughout the semester to follow up with graduates.

**SILC’s High Altitude Diversity Retreat**

A pre/post survey design was utilized at the Spring 2014 retreat to determine growth in the identified learning outcomes. Results indicated that students were more comfortable by the end of the training with having a conversation about diversity with other students and KU guests. The SILC staff are using the results to revamp the retreat slightly, including building in more time for students to talk about categories in which individuals could identify themselves as well as addressing “fear of perception” at the beginning of the retreat to help create an environment where anything could be said without judgment.

**Student Housing EBI Results**

Student Housing has participated in Educational Benchmarking, Inc. (EBI) assessments since 2011–12. Each fall, residential students receive a 105-question survey that assesses three major factors: learning, program effectiveness, and overall satisfaction. Survey participation has been strong (2011–12, 39 percent; 2012–13, 40 percent; 2013–14, 28 percent). The 2013–14 data show a score of 5.18 out of 5.50 on overall satisfaction, 4.5 out of 5.5 on overall learning, and 4.76 on overall program effectiveness.

Individual item scores allow Student Housing to identify areas of particular strength or weakness from the previous year and identify trends by looking across all administrations. For example, in 2013, students’ satisfaction with learning about diversity and social justice was significantly lower than the previous year and below the EBI-set goal of 5.5. EBI identifies strengths and weaknesses and makes recommendations for areas that need to be targeted for improvement, maintenance, or monitoring.

**Graduate Student Outcomes**

The 2013 Graduate Student Satisfaction Survey captures multiple measures of contributions of the educational environment to their success. A few selected results are reported here.

Master’s students:

- 97 percent rated the intellectual quality of the faculty as good to excellent.
- 91 percent rated the quality of graduate-level teaching as good to excellent.
- 91 percent rated the academic experience as good to excellent.
- 86 percent rated the quality of student life experience as good to excellent.
- 91 percent rated the quality of the overall experiences as good to excellent.

Doctoral students (includes all doctoral students at various points in their academic careers):

- 98 percent rated the intellectual quality of the faculty as good to excellent.
- 90 percent rated the quality of graduate-level teaching as good to excellent.
- 91 percent rated the academic experience as good to excellent.
- 86 percent rated the quality of student life experience as good to excellent.
92 percent rated the quality of the overall experiences as good to excellent.

Two areas in which students were somewhat more critical of KU were in the area of space and facilities: 79 percent of doctoral students and 81 percent of master’s students rated the program facilities as good to excellent. The second was in the area of financial support: 71 percent of both doctoral and master’s students thought the amount of financial aid was good to excellent. Other results show 71 percent of doctoral and 74 percent of master’s students rated assistance in finding employment as good to excellent, while 71 percent of doctoral students and 73 percent of master’s students would definitely or probably choose KU again.

For the student life experience, 86 percent of both doctoral and master’s students rated student life experience at KU good to excellent.

**Criterion Three Summary**

The evidence presented in Criterion Three demonstrates that KU has sufficient faculty, curriculum, and support services in place to fulfill its commitment of offering high-quality educational programs characteristic of a flagship research university. Quality begins with the faculty hiring process and extends to the course and curriculum approval process and then to periodic program review. Providing a high-quality liberal education to its students has been a cherished value throughout KU’s history. The KU Core is outcome-based, required of all KU undergraduates, and provides a well-rounded education that will benefit leaders in a rapidly changing society. The KU curriculum addresses the increasing multicultural and global nature of the society in which its students will live and work and is delivered by nationally recognized scholars who also are recognized for their excellent teaching. It ensures that its faculty has multiple professional development opportunities to enhance teaching and research skills. A trained and dedicated professional staff assist faculty in these efforts by offering the full range of services and programs expected at a comprehensive research university. As indicated by a variety of sources of evidence, KU demonstrates that it fulfills its claims of educating the whole student.

**Strengths**

- In keeping with its promise to the state, KU has over the last 10 years built on the achievements of previous generations to continually enhance the quality of its undergraduate educational experience. To this end it has dedicated significant resources to enhancing high-impact practices, such as undergraduate research, learning communities, participation in study abroad, and more proactive advising (e.g., adoption of an early warning system). It is currently engaged in a major course-redesign project.
- Implementation of the KU Core is the first major undergraduate curricular change in nearly 30 years. This is an important and notable change because it applies to all KU students — a first for KU in the modern era — because it is outcomes-based and because it allows for inclusion of approved experiential learning experiences. It is also notable because the KU Core required creation of a university-wide curriculum committee, again a first in recent history.
- Salary increases of just over 2 percent have been awarded in each of the last four years, following two years of no increases. Despite low (or no) salary increases since 2008, KU’s highly recognized faculty has remained remarkably stable with a relatively low turnover rate. Gains have been made in
the diversity of the faculty. The numbers of faculty members from underrepresented groups increased, and the data show that they also are earning tenure.

- In addition to excelling at research, KU faculty members care about teaching. When members of Faculty Senate were asked to identify KU’s strengths, they mentioned first KU’s emphasis on undergraduate teaching and current activities to further enhance teaching.

- Faculty and staff identify the KU Center for Research and KU’s other disciplinary and interdisciplinary research centers as a significant strength. Not only do the research centers assist faculty in securing and managing external funding, they also provide spaces in which faculty members from a wide range of disciplines come together to share cutting-edge scholarship.

- KU has made significant progress in recent years to increase the clarity and transparency of its multi-tiered promotion and tenure process by revising its guidelines. The COACHE data suggest this is one of the areas in which KU outperforms its comparison universities.

- KU seniors’ satisfaction with interactions with the Office of Student Affairs and other administrative staff is considerably higher than at other AAU Data Exchange institutions that participate in the National Survey of Student Engagement (NSSE).

- “Supportive campus environment” is a particularly strong characteristic of KU and has been KU’s highest-rated benchmark on the NSSE. KU student senators raved about the co-curricular activities available to them and appreciated that being a Jayhawk ties them to a global network of fellow graduates. The shared bond symbolized by “Rock Chalk Jayhawk” is as real in 2015 as it was in 2005.

Challenges

- Advancing into the world of online education is new to KU and not necessarily universally accepted. There are many concerns, ranging from how to maintain quality educational programs to how online education might damage the “KU brand.” Additionally, KU is entering the market as enrollment is plateauing. The efforts require innovation, careful monitoring, constant market analysis, and necessary adjustments to meet market demands.

- Adoption of the KU Core is merely the first step to achieving the Bold Aspirations goals for undergraduate education. Ensuring its full implementation represents a significant challenge that will require considerable attention. The same can be said for many of the other high-impact practices. Careful monitoring and assessment are needed to ensure that these programs achieve the goals KU is seeking to meet.

- Although the number and percentage of faculty members from historically underrepresented groups have increased, there is still work to be done in this area. The newly hired vice provost for equity and diversity is in the process of appointing a faculty fellow to help guide further efforts to increase faculty diversity and enhance programming to support a campus climate supportive of all students, faculty, and staff members.

- To fully achieve Goal 2 of Bold Aspirations for graduate study, efforts to recruit and retain graduate students will need continued attention and support. This includes funding as well as programs and services. Although all of KU’s student services are available to graduate students, they are frequently targeted more toward serving undergraduate students.

Future Directions

- In addition to future actions mentioned with respect to challenges in undergraduate education, KU recently entered national collaborative efforts to increase retention and timely graduation rates and
to enhance the nature and quality of its educational experience. Active, experiential learning is a theme running through the latter. These alliances include:

- **University Innovation Alliance** (UIA) a “consortium of large public universities committed to making high-quality college degrees accessible to a diverse body of students.” As a member of this collaborative, KU will continue to experiment with the UIA’s first project: the use of predictive modeling to inform educational practices, especially with respect to proactive advising targeted to “deciding students.”

- **Generation Study Abroad**, an initiative led by the Institute of International Education, involves more than 200 colleges and universities working to enhance the number of students studying abroad as well as the experience of those who do. KU’s “Mapping Study Abroad to the Major” project, announced in November 2014, seeks to increase the percentage of baccalaureate graduates studying abroad from about 22 percent to 30 percent. This will be done by integrating study abroad with the major and encouraging students to study abroad for longer periods while continuing to make progress toward a degree and not incurring additional costs.

- **Bay View Alliance and KU’s C21 Course Redesign Consortium**. As a member of the Bay View Alliance, a learning community of research universities interested in applying action research to improve teaching and learning methods, KU is engaged in course redesign. As the Self-Study has shown, early efforts have had promising results. Over the next several years, the university’s goal is to increase the number of courses redesigned to enhance student learning, with a goal of making engaged and active learning in and out of the classroom the norm at KU.

- **Work on Goal 2 of Bold Aspirations**, to “Prepare doctoral students as innovators and leaders who are ready to meet the demands of the academy and our global society,” is in progress. Graduate Studies is (1) establishing comparative data for setting standards for student progress and publishing key data in a consistent online format by doctoral programs and departments (and will soon include master’s programs), (2) developing and revising active recruitment plans to enhance unit-based recruiting efforts for high-quality applicants with renewed focus on recruitment of underrepresented students, and (3) examining models of funding to enhance support for doctoral graduate students.
Criterion Four. Teaching and Learning: Evaluation and Improvement

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

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

Overview

The University of Kansas exercises responsibility for the quality of its programs through regular program review, specialized accreditation of professional programs, and a series of policies that guide acceptance of transfer credit, prerequisites, and course rigor. It evaluates the success of its graduates using measures such as employment statistics, licensure pass rates, graduate school acceptance rates, and participation in programs such as the Peace Corps and Teach for America. Increasing sophistication and availability of centrally maintained data, such as that available from Professional Record Online (faculty vitae), Data Analytics, and the Administrative Information Management System are making program review more data-oriented. KU evaluates transfer credit and is participating in a Kansas Board of Regents (KBOR) Transfer and Articulation Council to facilitate transfer of approved courses from Kansas community colleges.

The responsibility for maintaining rigor of courses falls to the faculty in academic units and begins with the course approval process. All professional schools for which specialized accreditation exists are regularly and rigorously examined by their professional accrediting bodies and are fully accredited. KU uses a variety of sources to identify post-graduation outcomes and is constantly working to improve that information. Based on the College of Liberal Arts and Sciences Destination Survey, the College is implementing a new career component for bachelor of science graduates (see Criterion 4.B).

Narrative and Evidence

4.A.1. The institution maintains a practice of regular program reviews.

Program Review

As required by the Kansas Board of Regents, KU engages in a process of regular institutionally based program review. KU completed its most recent cycle of program reviews in years 2007 to 2013.

The overall objective of program review is to identify strengths and weaknesses of individual programs to guide improvements and planning based on KU’s strategic plan. KU’s program review is grounded in data collected annually that are provided to departments as the basis of their comprehensive departmental Self-Study, which is conducted once for each degree program within an eight-year cycle. The next review cycle, which is in the planning stages, will begin in 2015 and end in 2023.
Process
Program review is an ongoing multi-stage process. Program review is the responsibility of and is coordinated by the Office of the Provost and the senior vice provost for academic affairs.

- The regents provide a set of questions each program addresses, which for the last review cycle included: centrality of program to mission, strength of faculty, strength of curriculum and its impact on students, demonstrated need for the program and employer demand, department service to university, discipline and beyond, and program cost-effectiveness.
- The review process is multi-tiered, beginning with departments or schools (that are not departmentalized). Departments typically rate their programs on a scale of poor to exceptional. The dean reviews and rates each program. In the last cycle, the graduate dean in consultation with the Graduate Studies Executive Council also rated graduate program reviews. All reviews are forwarded to the Provost’s Office for a university committee review; the provost makes the final review and evaluation. Program ratings and comments are prepared for the regents, and comments and recommendations are communicated to the respective dean of the academic units. In some cases, follow-up responses were required.
- In preparation for program review, departments from the College of Liberal Arts and Sciences are evaluated by a team of external reviewers from their respective disciplines. The self-studies and results from that process are also used in the KBOR program review process. Likewise, nationally accredited professional programs are allowed to use data from recently completed self-studies to inform their self-studies for program review. The same process will be used in the next cycle in 2015. Programs in professional schools follow their discipline area professional accreditation cycles and use the accreditation Self-Study to inform the program review self-study.

The summary of program reviews, available in the resource room, that were submitted to the Board of Regents shows that all of the university’s programs are meeting their educational goals. Under the process, some may be slated for continued review if they are not meeting review criteria (e.g., stated minima criteria for student enrollment and graduates) or recommended for discontinuance if they do not meet expectations over a period of time. This is not a current issue at KU.

Outcomes
The Provost’s Office submitted the most recent program review results in 2013. Among the recommendations were that all schools and departments develop and implement plans to assess student learning outcomes. The review notes that some schools have made more progress than others in measuring learning outcomes, but KU officials anticipate that each school or department soon will be able to clearly articulate student learning outcomes, as well as the means by which each outcome will be achieved, measured, and improved upon.

Additional recent changes generated by program reviews are:

- KU completed a national search for a new director for Museum Studies and made changes to the curriculum in order to strengthen the core, based on review of the master of arts in Museum Studies. The faculty noted each of the museum tracks had weaker core content and little identity with the core of the program.
The Department of Civil, Environmental and Architectural Engineering shifted its graduate training in the area of water resources through the program in Environmental Engineering due to low enrollment in master’s programs in water resources.

The bachelor’s degree in sports science was split into two degrees: one in sport management and the other in exercise science. This split also addressed the problem of large enrollments and the need to better mentor the students.

Numerous graduate degrees in design were consolidated into a single master’s degree, with specific concentrations that allow students to specialize. Reviews had indicated that enrollment in a combination of master’s degrees was below KBOR student minima.

The School of Business has overhauled its MBA for working professionals and is developing plans for a dedicated online program based on revealed needs for more online courses. It recently launched an accounting master’s program for working professionals and has expanded efforts to increase research partnerships between faculty, students, and business.

The College of Liberal Arts and Sciences received permission from KBOR to create the School of Languages, Literatures and Cultures in Fall 2015 to strengthen and highlight KU’s offerings in 40 languages — the most in the Big XII. In 2009, the university created the Department of Global and International Studies to provide pedagogical oversight of less-commonly-taught languages, such as Arabic, Hindi, and Farsi.

**Evaluation of Program Review**

At the end of the most recent cycle, the provost’s review committee recommended the following changes to the process:

- In anticipation of the 2015–2023 program review cycle, a Program Review Working Group was formed to shape the new criteria. The working group converted the initial criteria that KBOR provided into guiding questions and created data points to allow departments to craft responses that demonstrate their effectiveness and productivity. The process will be fully online. Deans have provided feedback on the proposed process, which will be piloted with a few programs beginning winter 2015. The document outlining the process is available in the resource room.
- The format will facilitate use of self-studies and results of external review and professional accreditation.
- New sources of data will be provided to departments to use in the self-study process, including degree-level assessment data, data from the faculty productivity system (Professional Records Online), data on research productivity from Academic Analytics, and newly collected survey data.
- A rubric will be used at each review stage (department/school, dean, and Provost’s Office) in judging each of the main KBOR program review questions and the overall quality of the program.

**Program Review – KUMC**

*KU School of Medicine*

The School of Medicine conducts a separate program review, as part of its accreditation by the Liaison Committee on Medical Education.

The medical school’s Education Council is charged with reviewing all aspects of the curriculum, including programs. Systematic course review committees are regularly appointed to conduct an in-depth peer-review of each module/clerkship at least every four years. The Office of Medical Education prepares regular analyses of the program review results; surveys of students, graduates, and residency directors;
and other outcomes for the Education Council, phase oversight committees, and education administrators.

In addition, other components of medical educations courses undergo specific reviews. In particular, the clinical experience (number and types of patients seen) is monitored closely to ensure students receive appropriate training, and students must meet specific target goals set for each course. These analyses, along with cumulative data from internal routine course/clerkship evaluations, are major contributors to the ongoing process of curricular monitoring and improvement based on the objectives and competencies. The curricular database, JayDocs, facilitates the monitoring system.

School of Health Professions and School of Nursing
Each of the certificate, bachelor’s, master’s, and clinical doctorate programs undergoes an extensive self-study as well as an accreditation site review. If an accreditation organization makes major changes in the competencies, the department conducts a full review and revision of the curriculum.

4.A.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.

In accordance with KU’s tradition of shared governance, the evaluation of courses and course credit is a shared responsibility that begins with the course/program approval process.

- Faculty Senate Rules and Regulations, Article V, specifies that the faculty of each school and the College shall have authority to approve courses for credit and to make regulations regarding addition, alteration, and deletion of courses. All new courses approved for credit shall be reported to the senior vice provost for academic affairs and, in the case of undergraduate courses, the deans of the other undergraduate schools and the College.
- Each school maintains a curriculum committee to review course and new program requests.
- Deans have responsibility for administrative supervision of programs within their units, including confirmation that all university standards for graduation have been met in awarding degrees. Individual units/departments conduct graduation checks.
- University policies and procedures governing evaluation of student learning, including work produced as a result of classes and work characterized as experiential learning, are outlined in the University Senate Rules and Regulations, Article II, which states clearly that the evaluation of student performance is the responsibility and privilege of the faculty. If this responsibility is delegated to a teaching assistant or an assistant instructor, the faculty member or members in charge of the course retain the right to assign the final course grade.
- KU does not currently offer course credit for prior learning but is considering such a policy. KU allows units of the KU Core curriculum to be fulfilled through specific experiential learning activities, as approved by the University Core Curriculum Committee.
4.A.3. The institution has policies that assure the quality of the credit it accepts in transfer.

Undergraduate Coursework

KU accepts credit for undergraduate courses transferred from a regionally accredited institution. A student must make a C- or better for a course to transfer to KU. The admissions office is responsible for evaluating transcript credits, and individual units/departments evaluate coursework as well. The admissions website maintains a list of courses that fulfill KU Core units. The university publishes a list of these courses on the admissions website. Additionally, students who have passed the College Level Examination Program exams or advanced placement courses in high school may be eligible for KU credit. Students can take tests that may allow them general college credit for the humanities, history, and social sciences and specific subject areas, such as American government, languages, and economics.

One of the tactics in Bold Aspirations is strengthening partnerships with community colleges to facilitate a more streamlined student transfer. KU has reached out to community colleges in Kansas and the region, and taken a leadership role among Regents institutions in establishing the state’s first comprehensive transfer and degree completion policies.

- KBOR established the Transfer and Articulation Council in Fall 2011 to facilitate student transfer and degree completion. The council’s mission is to oversee a statewide process of articulating the outcomes of courses by faculty across the state to enter these courses into a seamless systemwide transfer matrix. All courses articulated and approved by discipline-based faculty groups and accepted by the Board of Regents will automatically transfer among all institutions in the state. In 2012, KBOR approved 17 courses; by 2014, there were 46 such courses approved.
- A student with an associate of arts degree from a Kansas community college will have satisfied Goals 1-3 of the KU Core, or the general education goals. Courses outside of the Kansas systemwide transfer matrix are considered individually.
- KU signed a reverse transfer agreement with Kansas City Kansas Community College and Metropolitan Community College to allow students who transfer to KU prior to receiving the associate’s degree to transfer credits back to the community college to be awarded the associate’s degree. In 2014, KBOR passed a systemwide reverse transfer policy that will allow reverse transfer back to any of the 19 Kansas community colleges.
- In September 2013, a team of advisors and program assistant to the senior vice provost visited every community college to discuss the KU Core and its implications for transferring to KU.

Graduate Coursework

The graduate transfer policy specifies that six hours of graduate credit taken at a regionally accredited graduate school may be transferred and applied to a KU master’s degree program. Only credit for courses in which the student received a B (3.0 on a 4.0 scale) or higher may be transferred. Faculty members in individual programs approve transfer credits. No credit is actually transferred toward the doctorate, but departments may take relevant prior graduate work into consideration.
4.A.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.

Assuring rigor in all aspects of KU’s academic programs rests in the hands of the faculty in the academic unit offering the degree program.

Course Prerequisites

Prerequisites are established through the curriculum approval process as outlined in Article V, Section 2 of the Faculty Senate Rules and Regulations. In the College of Liberal Arts and Sciences (CLAS), for example, a course is approved by the sponsoring department and then reviewed and approved by the CLAS Committee on Undergraduate Studies and Advising. In the School of Education, courses are approved first at the department level and then by the school’s Committee on Academic Policies and Curriculum. If a course is identified as requiring a prerequisite, students will receive notice they cannot enroll if they have not satisfied the prerequisite. If, however, the prerequisite is a recommendation, students may be directed to obtain professor approval to enroll.

Rigor of Courses

Rigor of courses is first established through the course approval process. Continuing assessment of quality rests with sponsoring departments, which ensure qualified faculty teach courses and evaluate student work to ensure students meet course and program learning outcomes. Additional assessment occurs in the faculty annual review process and in the evaluation of faculty members for promotion and tenure and post-tenure review.

Expectations for Student Learning

Responsibility for ensuring that expectations for student learning are met occurs at several levels:

- Qualified instructors are expected to lay out expectations for their courses in syllabi, construct learning activities, and assess the extent to which students meet course expectations.
- The University Core Curriculum Committee will periodically review all courses designated to meet KU Core learning outcomes by reviewing faculty assessments.
- Program/degree level outcomes assessment as outlined in Criterion 4.B.
- Program review as outlined in Criterion 4.A.

Access to Learning Resources

Assuring that students have access to learning resources is a shared responsibility (see Criterion 3.D). After initial course approval, the instructor has primary responsibility for informing students of and providing access to learning resources such as Blackboard, textbooks, and laboratory materials.
Faculty Qualifications

Each department/unit is responsible for assessing qualifications of individual faculty members. Departments hire tenure-track faculty with terminal degrees. In some departments and professional schools, a small number of programs hire a limited number of faculty members based on their significant professional and experiential preparation. For example, a world-renowned opera star was hired as a professor of voice and subsequently was named a university distinguished professor. In Fall 2013, 98 percent of the 1,068 tenured/tenure-track faculty had the terminal degree in their field. All faculty hold a degree at least one level above the courses they are teaching.

Dual or Concurrent Credit

KU does not offer dual credit courses taught by high school teachers. Dual credit courses taken by students through other institutions are reviewed as part of the transfer review process. In considering future dual credit courses, KU is ensuring rigor by working closely with area high schools on curriculum, pedagogical training, shared testing, and grading oversight.

4.A.5. The institution maintains specialized accreditation for its programs as appropriate to its educational purposes.

All professional schools for which national accreditation exists are fully accredited. Also, numerous certificates, fellowships, and residencies at the Medical School are accredited. The full listing is available in the resource room.

4.A.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 advanced degree programs, and participation rates in fellowships, internships, and special programs (e.g., Peace Corps and Americorps).

KU utilizes a variety of sources to obtain information on the success of its graduates. Career services are both centralized (University Career Center) and decentralized, with many schools having internal career centers. Nearly all schools and the College collect some data on graduates, but the amount, type, and frequency of data collection vary. KU has begun a formal tracking system for graduates, and standardized information will be available in the future from a centralized website.

KU is also exploring additional collection opportunities, including collaborative efforts with AAU peers. KU is engaged in extensive research and benchmarking efforts to identify best practices for tracking post-graduation outcomes among peer institutions. For example, KU uses the National Student Clearinghouse data to track undergraduates going on to further study.
Degree Recipients Employment Data: 2012–2014

- More than half of the respondents to the 2014 Senior Survey indicated that they had accepted a position (453 out of 786). Of those, 37.6 percent were employed in a for-profit corporation/company or group practice. Nearly eight percent had accepted employment in a government or public agency, and 7.2 percent in a nonprofit organization. Of the 786 respondents, 213 (27 percent) indicated they would be attending graduate school. Slightly more than a third of those responding to the question about location of employment (272/485) indicated they would be employed in Kansas, while 6 percent will be employed in Missouri, 14 percent in other states, and 4 percent outside of the United States.

- Of the 205 School of Education graduates who completed the school’s Destination Survey, 85.9 percent indicated they were employed in Kansas.

- Seventy-one percent of the 294 respondents to the Engineering Student Connection 2013 survey reported being employed, while 16 percent reported plans for further education.

- Post-graduation plans for 2013 graduates from the School of Journalism were: 81.2 percent employed full-time, 9.4 percent employed part-time, 4.7 percent internship, 2.4 percent graduate school, and 2.4 percent unemployed. Seventy-three percent reported being employed in the field of journalism.

- PharmD job-seeking graduates had a 100 percent employment rate and the average salary for May 2014 graduates was $118,000.

- Of the 203 master’s student respondents from the School of Social Welfare Destination Survey, 97 percent indicated they were employed as did 67 percent of the bachelor’s degree respondents. The vast majority had secured jobs in their field.

- The 2013 College of Liberal Arts and Sciences Destination Survey went to 1,777 graduates from May 2012–August 2013 and was supplemented by data on additional graduates found through the KU Alumni network on LinkedIn. Results were available for 725 CLAS undergraduates: 68.4 percent had accepted full-time employment, 21.7 percent had been admitted to graduate school, and nearly 7 percent indicated they were actively seeking employment. Of the respondents, the vast majority were employed in Kansas (44 percent) and Missouri (28.4 percent). The top two graduate school choices were law (25 students) and medicine (18).

- In the School of Medicine, approximately 100 percent of graduates are employed in residency positions after graduating. For the School of Nursing, placement rates are equally as high, with 98 to 100 percent of Bachelor of Science in Nursing graduates employed in the nursing field at graduation or within six months of graduation.

- More than 90 percent of all KUMC graduates are employed in their field of study within six months of graduation. Ninety-five percent of all students graduating from the School of Health Professions are employed in their field of study within six months of graduation or have gone on to further their education.

- Three-quarters of the 1,095 graduating doctoral students who responded to the item about employment plans on the Survey of Earned Doctorates or the KU Doctoral Completion Survey between 2008 and 2013 had definite or fairly definite plans for employment or further training. Of this group, 47 percent had firm plans for employment and an additional 8 percent were negotiating employment. One-fifth had firm plans for postdoctoral research or further training, while 24 percent reported seeking employment but not having firm plans. A new exchange of the Doctoral Completion Survey data with AAU institutions will allow KU to compare its results to its peers.
KU’s Honors Program developed a system for tracking its graduates’ success after leaving KU through an online survey administered in 2009 and 2010. In 2009, 83 of 160 graduates (52 percent) responded, and in 2010, 93 of 152 graduates (61 percent) responded. The vast majority were planning to continue their education, while 23 percent in 2009 and 34 percent in 2010 reported being employed.

Licensure Pass Rates

- School of Pharmacy: Of 105 students who took the 2013 North American Pharmacy Licensure Exam, 98 percent passed. Of 185 students who took the Multistate Pharmacy Jurisprudence Exam, 98.3% passed.
- School of Medicine: Students taking the 2014 United States Medical Licensing Examination had a 96.0 percent pass rate for Step 1 and a 94 percent pass rate for Step 2.
- School of Law: 96.0 percent of law graduates taking the Kansas Bar Exam for the first time in July 2013 and 91.6 percent of those taking it for the first time in July 2012 were successful.
- School of Social Welfare: Pass rates for the 2012 Association of Social Work Board were 95 percent for bachelor of social work, 92 percent for master of social work, and 93 percent for master of social work clinical.
- School of Education: 2013 PRAXIS II pass rates were between 98 percent and 100 percent for teacher candidates at the initial and advanced program levels.
- The Physical Therapy Program reports a first-time pass rate of 100 percent on the Commission on Accreditation in Physical Therapy exam.

Nationally Competitive Awards and Fellowships

From 2003–04 to 2013–14, KU graduates have successfully competed for prestigious post-graduation fellowships and scholarships. Some examples are included here:

- Two students have been named Rhodes Scholars. Overall, KU ranks 11th among public research universities for the total number of its graduates receiving this award (26).
- Twenty-three students have received Barry M. Goldwater Scholarships.
- Seventy-two students have received Fulbright grants.
- Two students received Harry S. Truman Scholarships.
- Two students received the International Sculpture Center Outstanding Achievement in Contemporary Sculpture Award.
- Sixty-seven students have received National Science Foundation Graduate Fellowships.
Service Organization Placement

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Since FY 2010 the number of KU students entering the Peace Corps has steadily declined, reflective of a national trend.

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

Overview

As noted in Criterion Three, KU’s undergraduate general education requirements have long included learning. The KU Core altered the existing model by establishing a university-wide curriculum built around meeting learning outcomes tied to six goals. Learning goals are also in place for the schools and College and for majors.

Assessment processes have been generally established university-wide but are more fully developed in some areas than in others. Building on the assessment process employed in the previous general education requirement and the Documenting Learning Outcomes Project led by the Center for Teaching Excellence from 2007 to 2010, KU has developed considerable expertise that has informed the development of assessment for the KU Core and the structure and process for assessing programs. To facilitate and oversee assessment, KU has hired an assessment specialist, created the University Academic Assessment Committee, and created an electronic assessment management system.

KU has made recent strides in assessing co-curricular programs as well. All co-curricular programs in the Office of Undergraduate Studies implement regular evaluation of programs. The Division of Student Affairs has employed a full-time assessment coordinator, identified learning goals that map onto the KU Core, and implemented assessment processes.
Narrative and Evidence

To capture more fully KU’s multifaceted assessment activities, subcomponents 4.B.1, 4.B.2, and 4.B.3 will be considered together for each level of assessment.

4.B.1 The institution has clearly stated goals for student learning and effective processes for assessment of student learning and achievement of learning goals.

4.B.2. The institution assesses achievement of the learning outcomes that it claims for its curricular and co-curricular programs.

4.B.3. The institution uses the information gained from assessment to improve student learning.

KU’s mission statement states the university “is committed to offering the highest quality undergraduate, graduate, and professional programs.” To guarantee that commitment, KU has a history of assessing student learning and achievement, and evaluating the quality and efficiency of its programs and assessment system. The university accomplishes assessment through a set of processes that allow stakeholders to gather data and evidence, analyze the findings, identify what to do with the results, and design strategic initiatives for improvement as needed. KU has a well-developed culture of continuous improvement at the institutional level evidenced by a process for developing strategic goals, defining metrics to measure progress, and carefully analyzing data to benchmark progress in meeting goals. KU is accountable and transparent in sharing information on its progress with the university community, KBOR, and the public.

There are five major, interrelated pillars of the university’s assessment program, and each pillar includes carefully designed assessment activities and processes:

- General education assessment, now known as assessment of learner outcomes in the KU Core.
- Assessment of established KBOR proficiencies.
- Program- and degree-level assessment.
- Graduate-level assessment.
- Co-curricular assessment.

The university’s assessment environment is outlined in the sections below.

General Education Assessment

A timeline of major events is provided in an attempt to (1) describe how KU has approached assessment in relation to the major transition to the KU Core (see Criterion 3), including how lessons learned led to development of the KU Core, and (2) provide a context for how KU plans to implement its assessment of general education moving forward.

Phase I. 1987–2012

Goals. KU identified 11 general education goals in 1987 and revised those goals down to six in 2001. The six goals represented common undergraduate expectations for a KU graduate across all academic units and formed the basis for general education assessment until 2012:
• Goal 1: Enhance the skills and knowledge needed to research, organize, evaluate, and apply new information, and develop a spirit of critical inquiry and intellectual integrity.
• Goal 2: Acquire knowledge in the fine arts, the humanities, and the social, natural, and mathematical sciences and be able to integrate that knowledge across disciplines.
• Goal 3: Improve the core skills of reading, writing, and numeracy, and enhance communication by clear, effective use of language.
• Goal 4: Understand and appreciate the development, culture, and diversity of the United States and of other societies and nations.
• Goal 5: Become aware of contemporary issues in society, technology, and the natural world and appreciate their complexity of cause and consequences.
• Goal 6: Practice an ethic of self-discipline, social responsibility, and citizenship on a local, national, and international level.

Process. Assessment of general education outcomes was accomplished through an annual, portfolio-driven process centered around the six goals.

• Annually a sample of approximately 120 fourth-year students (including students from one division of the College, e.g., humanities, and several professional schools) were invited to participate. Completing an entire cycle took three years.
• Individual, structured interviews with students served as the centerpiece of the portfolio process. Teams of three faculty members conducted the interviews and provided independent assessments of the degree to which an interviewee met each goal. Each year approximately 60 faculty members from across the campus participated.
• The entire portfolio for each participating student contained ratings from each faculty member on student’s attainment; a student self-assessment of degree of attainment; a goal attainment survey on which students rated the importance of 35 KU institutional goals and their rating of KU’s success in meeting those goals; and an academic transcript without grades or standardized test scores.
• The last set of interview data was collected in 2012.

Results and Use. Results of the faculty ratings were compiled for the professional schools or divisions within the College and distributed to their respective deans. The results were available on the Office of Institutional Research and Planning website.

• On average, students were rated on each goal between 3 and 4 on a 5-point scale, with 1 indicating little to no attainment and 5 indicating outstanding attainment. Consistently, critical inquiry and ability to integrate knowledge received the lowest ratings, although they were in the 2.9–3.5 range. Students’ core skills and social responsibility consistently received the highest ratings (3.5–4.1).
• Deans received means and ranges of scores for their students on each goal. Faculty who participated in the interview process reported making changes in their individual courses.
• Use of both specific outcome data as well as assessment of the interview process was key to informing the current outcomes-based KU Core. In particular, the consistently lower scores in critical thinking and integration of knowledge provided input into the development of the KU Core, including, for example, encouraging capstone courses to help students integrate knowledge.
**Transition Period: 2007–2012**

In 2007, the university began to experiment with different strategies for outcomes assessment. Two distinct needs drove this experimentation:

- In evaluating its own assessment program, the university determined that while the data from the interviews were valuable to individual faculty member participants, they were not being widely used by faculty and departments to inform curricular and programmatic decision-making.
- As a participating member of the Voluntary System of Accountability, KU experimented with the Collegiate Learning Assessment (CLA), the ETS Proficiency Profiles, and the Association of American Colleges and Universities (AAC&U) value rubrics. The Voluntary System of Accountability sees the use of the AAC&U rubrics as an exemplary example of program assessment.

The nationally standardized Collegiate Learning Assessment (CLA) was piloted with 400–500 students in 2008–09. Two complementary projects collected samples of course-embedded student writing. Faculty members and graduate teaching assistants evaluated critical thinking, communicating, and problem-solving using local and nationally derived rubrics. Those portfolios were also evaluated for course-based content mastery. In some cases, the same students were evaluated by both the CLA and by portfolio evaluation; this comparison within a course and for the same students helped identify which measures were most useful and most meaningful to faculty members, students, and academic leaders. The data were not shared widely with the campus community because the reports were determined to not be useful to faculty as a means of making changes to practice. Use of the CLA has been discontinued because the value rubrics are more meaningful.

**Phase II: The KU Core and General Education Assessment (2009–present)**

**Goals.** Students entering in Fall 2013 and going forward will satisfy the new university-wide KU Core. Unlike the previous goals, the KU Core goals and outcomes are tied to specifically approved courses and experiences and apply to all KU undergraduates. Each goal includes one or two specific learning outcomes.

**General Education**

- Goal 1: Build core skills of critical thinking and quantitative literacy.
- Goal 2: Strengthen written and oral communication.
- Goal 3: Develop a background of knowledge across fundamental areas of study.

**Advanced Education**

- Goal 4: Respect human diversity and expand cultural understanding and global awareness.
- Goal 5: Practice social responsibility and demonstrate ethical behavior.
- Goal 6: Gain the ability to integrate knowledge and think creatively.

**Process.** Because the first four-year class of KU Core students will graduate in 2017, the assessment process is a work in progress. The University Core Curriculum Committee is implementing a manageable and sustainable assessment system that will allow it to know whether and to what extent students are meeting each goal and learning outcome of the KU Core. Aspects of the proposed assessment plan include:
Each goal/learning outcome has a sample rubric that could be used to evaluate the evidence from each course related to the learning outcomes, or instructors could develop their own method of data collection related to the learning outcomes. Departments will aggregate rubric data or other assessment data and use results to support continuous improvement of courses. Departments will then complete the assessment form to provide the University Core Curriculum Committee with an aggregate of the assessment data as well as information about how students met the learning outcome(s) and improvements made to courses or plans for future improvements. The University Core Curriculum Committee will evaluate the assessment reports on each course in the KU Core to ensure that the course meets the stated outcomes. Assessment of the KU Core will begin with a pilot in 2014–2015 to test the plan and will be fully implemented by 2015–16.

Assessment of KBOR Proficiencies

In 2010, KBOR mandated, as part of Foresight 2020, that all students leaving Kansas universities be proficient in the following three areas (referred to from here on as the Regents proficiencies) with reporting to begin in spring 2014:

- Mathematics/quantitative/analytical reasoning.
- Written and oral communication.
- Critical thinking and problem solving.

Because assessment of general education outcomes was in transition at KU, separate assessment processes were initiated to comply with the regents mandate. Going forward, KU will fold assessment of the regents proficiencies into the regular general education/KU Core assessment process. The following instruments were used to assess student learning in regents proficiencies:

- The most recent administration of the KU Senior Survey asked students the extent to which KU had contributed to attainment of the general education goals.
- The ETS Proficiency Profile was administered, as a pilot test and to establish a baseline of basic skill attainment, to the sample of fourth-year students (about 100) who participated in the 2012 general education interviews. First- and second-year students (about 200) in a large-section class were asked to complete the Proficiency Profile. The continued use of the Proficiency Profile is questionable as first- and second-year students may not have completed their math-related requirements. Student motivation to do well on a national test not related to their grades remains a continuing problem.
- The National Survey of Student Engagement (NSSE) has been administered at KU every three years since 2001; the 2013 administration of the survey was reported.
- The American Association of Colleges and Universities (AAC&U) value rubrics or their departmentally designed equivalents were used to assess written communication.
- A course-embedded assessment evaluated oral proficiency in COMS 130, Speaker-Audience Communication.
- A pilot study of first-year seminar courses explored ways of assessing critical thinking skills using AAC&U value rubrics.
Program- and Degree-Level Assessment

In past decades, all undergraduate programs were required to assess major areas of study. Each program had a plan on file with the Provost’s Office that 1) identified program outcomes, 2) identified at least one internal or direct measure (e.g., capstone projects), and 3) reported one indirect measure (e.g., alumni survey, advisory board review). Then, as now, professional accrediting bodies controlled assessment in professional programs.

Documenting Learning Success Unit-Level Initiative: 2007–2011

- In 2006, Provost Richard Lariviere charged the Center for Teaching Excellence to lead the Documenting Learning Success (DLS) initiative, a project designed to help volunteer undergraduate and graduate programs develop state-of-the-art outcomes assessment. The overall goal was to enhance program/degree-level assessment. In total, 17 undergraduate and 13 graduate programs participated.
- By 2010, all 30 programs had identified committed leadership and learning goals. Nearly all participants had identified rubrics, mapped goals onto their curricula, and collected samples of student work. Fewer had evaluated student work and half reported using data to improve learning.
- While the DLS was useful for the participating programs, the extent of the assessment activities related to the initiative could not be applied to other departments university-wide. KU used the accumulated expertise on assessment in those projects to develop the current campus-wide assessment program.
- The DLS informed strategic planning that began under Chancellor Gray-Little, who arrived in 2009, and Provost Jeffrey Vitter, who arrived in 2010, to set the assessment strategies that are part of Bold Aspirations.

Degree- and Program-Level Assessment: 2012–Present

In 2012–2013, the Provost’s Office focused its attention on assessment of the major (program/degree-level assessment):

- In Fall 2013, each degree program was asked to develop an assessment plan that included learning outcomes and measures. Professionally accredited programs were required to submit a link to the assessment section of their most current Self-Study. To assist with this effort, noted assessment expert Barbara Walvoord visited campus to conduct workshops with departmental representatives. Seventy-five units attended the workshops.
- Over three-fourths of programs submitted plans by December 31, 2013.
- In a process specified by the University Academic Assessment Committee (established in 2013 and discussed below), units will implement their assessment plans and make an assessment progress report by mid-November each year. Units must conduct data collection on at least one student learning outcome each year and must collect data on all learning outcomes at least once in an eight-year cycle.
- Although units may not make curricular changes based on one year’s worth of data, they are expected to document their use of assessment results for program improvement at least every three years.
A review of a sample of 20 percent of the submitted plans was conducted in June 2014 by applying the KU assessment plan rubric developed for programs/degrees by the Academic Assessment Committee.

- The majority of sampled plans have articulated program-specific, measurable, and appropriate learning outcomes.
- The majority of sampled plans utilize course-embedded assessment methods, such as course assignments.
- The process of assessment (responsibility, timelines, and mechanisms to “close the loop”) is clearly defined.
- The most significant problem noted was a lack of alignment between measures and assessed learning outcomes. A few plans rely significantly on only one source of data.
- The university assessment specialist is using the results of this analysis to inform workshop planning and training for the Fall 2014 semester. Specifically, seminars will be organized to facilitate sharing and discussion on how to design proper assignments or measures to assess similar learning outcomes in various disciplines, how the results can be used, and what types of data facilitate evidence-based decision-making. A yearlong assessment institute for departments will focus on continuous and intensive consultation and peer support. The assessment specialist will meet with individual departments to facilitate their assessment design and implementation process.

Examples of Curricular Improvement

**Example 1: Bachelor of Science Program in Chemistry**

*Assessment.* Faculty and student feedback on a two-semester introductory chemistry course (CHEM 130, General Chemistry I and CHEM 135, General Chemistry II) suggested that the size of the class (more than 900-student enrollment each semester) makes it challenging to engage students and enforce interactions among students. Comparison to similar courses at peer institutions also confirmed that those two KU courses are too large for effective instruction. The review revealed several other issues, such as order of content, a confusing course numbering system, the need for physical chemistry to be a prerequisite for more advanced courses, and the need for an assessment of laboratory writing skills.

*Actions.* In 2011–12, the faculty made several changes based on their review. They split the one-credit junior/senior seminar course into two half-credit courses: CHEM 180, Seminar I (intended for freshmen and sophomores) and CHEM 695, Seminar II (intended for juniors and seniors). They revised the course numbering sequence, strengthened prerequisite requirements, and began a formal assessment of student writing.

**Example 2: Bachelor of Arts in Political Science**

*Assessment.* Assessment of student learning outcomes in the majors indicated that the program was not providing students with a good grasp of expected learning outcomes in their courses. Students also reported that they had a hard time choosing courses that they could use and excel at based on their professional and intellectual interest. Faculty worked on incorporating more information on expected skills and learning outcomes.

*Actions.* The faculty (1) worked to provide students with more targeted information on all the major’s course options and applicability for their future career; (2) streamlined the organization of major and other course offerings, providing students with suggested groups of courses that benefit and appeal to the student’s major plan and professional goals; and (3) developed a process for ongoing assessment,
including asking for two volunteers each year to help assess learning outcomes by reading/assessing student work (usually a final paper). The department discusses the results during a faculty meeting.

**Example 3: Bachelor’s Degree in Health, Sport, and Exercise Science**

*Assessment.* The faculty measured cumulative student learning in the undergraduate program by requiring that each student score 70 percent on a 100-question exam. Exam questions are randomly generated from a pool of 300 questions that faculty members submit. During their first semester, students complete internships. Supervisors evaluate their work and send those results to faculty. The faculty meets annually in October to review collect exam results, evaluate students’ strengths and weaknesses, and recommend changes in the curriculum. Through this process, the faculty learned that students were deficient in functional anatomy and biochemistry skills.

*Actions.* The department revised its curriculum to include a functional anatomy class (HSES 369) and an exercise biochemistry class (HSES 474).

**Example 4: Master of Arts in Religious Studies**

*Assessment.* The faculty analyzed student portfolios to determine if students met learning outcomes. In 2012, the faculty found that there was inconsistency in exam performance, particularly in the areas of the professional essay and bibliography.

*Actions.* Faculty decided to provide additional bibliography training for students and require students to meet with advisors at the beginning of their third year of coursework to help them better prepare their portfolios.

**Examples of Assessment for Course Improvement**

**Example 1: Bachelor of Science in Biology**

*Assessment.* Course-embedded assessment revealed areas for improvement among students: engagement in large lecture classes, grasp of integrated concepts, and understanding of expectations throughout the curriculum.

*Actions.* Course redesign was implemented in BIOL 152 during the Spring 2013 semester. The department successfully competed for CLAS funding to hire a teaching postdoctoral fellow to assist faculty members in course redesign and help analyze the effects of changes. Additional changes included development of a course redesign plan for introductory courses (BIOL 100/101, 150/151, 153) and genetics (BIOL 350/360), and improved communication between course instructors.

**Examples of Using Assessment Data to Improve the Assessment Process**

**Example 1: Bachelor of Arts in Dance**

*Assessment.* Feedback gleaned from a departmental open forum process revealed that students wanted more meaningful (preferably verbal) feedback at midyear, rather than the written feedback they received at the end of the year. Consultations with juniors and seniors revealed that the expectations of the written component of the senior projects were vague and the criteria for evaluation were unclear, although advisors provide written guidelines to students.

*Actions.* Based on student feedback during the open forum, faculty decided to improve the evaluation of Outcome 1: Achieve an intermediate level of technical skill in at least one major area of dance technique, by replacing the annual audition-based evaluations at the end of the academic year with midyear “speedback” sessions, a format that uses the “speed dating” model of short, intense conversations that rotate between students and faculty members. The faculty also created a structure for the
sophomore review — a portfolio-based assessment of academic, artistic, and technical progress — using overall and major grade-point average, a student self-evaluation, and a written faculty evaluation tool. The “speedback” sessions and sophomore review were implemented in Spring 2014.

**Example 2: Master of Arts in Classics**

Assessment. Faculty observed that the program is designed to be completed in four semesters, but the majority of students who choose the thesis option for the degree required four semesters plus one summer. The reason for the frequency of summer completions was the typical burden of work in the fourth semester: teaching, studying for comprehensive exams, taking two semesters of Greek and Latin, and finishing the thesis.

Actions. Aggressive advising by the director of graduate studies has been provided to help student complete their program on time. Students now tend to take their comprehensive exams at beginning of spring term, take only one research seminar in their final semester (which is made possible by taking an extra graduate-level class in the first three semesters), and begin researching their thesis topic the summer before their final year. Since 2011–2012, the tendency of student filing in summer has been reversed: In Spring 2012, four theses were completed with only one in the summer. In Spring 2013, all students (five) filed their theses in the fourth semester.

**Doctoral Outcomes Assessment**

The 2005 accreditation team noted that assessment of graduate programs was in its infancy and needed further development. To that end:

- In Spring 2011, Graduate Studies required each department offering a doctoral degree to submit a plan and a rubric for assessing doctoral dissertations, the ultimate capstone experience of the research doctoral degree. Rubrics were to be comparable across programs, based on the written dissertation only, and completed by each committee member electronically prior to the dissertation defense.
- Going forward, assessment of doctoral programs will be folded into the general program/degree-level assessment activities of the university, overseen by the University Assessment Committee.
- Since 2005 KU has administered a self-assessment survey of graduate students (master’s and doctoral). The Graduate Student Satisfaction Survey, given to all graduate students every three to four years, asks them to assess their educational experiences. A component of the survey focuses on doctoral completion. Departments and their respective deans are provided with individual detailed results the semester following the survey. In the next round of program review, beginning in 2015, results will be included in the departmental data provided, and departments will be expected to use these data in formulating their responses where appropriate.

**Examples of Doctoral Outcome Use**

**Example 1: School of Public Affairs**

Assessment. The School of Public Affairs determined that its doctoral students needed additional training in classroom management and assessment tools based on the annual student self-assessment report.

Actions. The school worked with the Center for Online and Distance Learning to provide additional training for students.
Example 2: Ph.D. in History
Assessment. The submission and analysis of previous and existing dissertation assessment instruments was irregular but has helped in identifying some valuable trends. History doctoral students performed variably in their written work and the oral defense. History faculty as a whole needed to discuss the purpose, goals, and outcomes of assessment to better reflect student needs.
Actions. The department recognized a need to develop a standardized, formal procedure for completion and collation of assessment questionnaires after each oral defense, to discuss results of assessments in meetings of the Graduate Committee and department as a whole, and to develop a standardized, formal procedure for surveying Ph.D. degree recipients to determine the success of the program in training them to meet departmental expectations.

Example 3: Ph.D. in Mechanical Engineering
Assessment. Based on graduate surveys and faculty discussion, the faculty identified three main areas to address. First was lack of a broad range of graduate classes. Second, development of professional contacts outside the program was rated more negative than positive. Finally, program space and facilities were rated fair to good.
Actions. With the addition of at least four faculty members, the number of graduate course offerings will increase, although this will take time. Additionally, the department is working with other departments to improve offerings. As the graduate program grows with the new faculty, an emphasis will be placed on sending students to professional conferences to present their work and interact with other professionals. As new facilities are completed through the Building on Excellence Initiative, new labs will be available for graduate research.

Assessment Planning and Development

The senior vice provost for academic affairs has established a structure, outlined in the diagram below, with clearly identified leadership to oversee the day-to-day development and implementation of an effective academic assessment plan suitable to KU’s mission.

An assessment specialist was hired in Spring 2013 to provide leadership and coordinate assessment. The assessment specialist is embedded in the well-established and highly regarded Center for Teaching Excellence. To support assessment activities, dedicated assessment funds and resources have been allocated. An annual base budget ($30,000) has been added to the Center of Teaching Excellence, primarily to hire two graduate assessment assistants to support department assessment activities, assessment training programs, assessment materials and references for faculty and departments, and professional development for assessment staff. Additionally, $400 is given to each department annually to support department-level assessment efforts. In the summer of 2013, KU contracted with Campus Labs to provide the electronic repository and management system for degree/program assessment. All department undergraduate, master’s, and doctoral assessment plans have been entered into the system.

In 2013, the University Academic Assessment Committee was established and members appointed. Membership consists of representatives of each school and the College. The committee has been charged by the Office of the Provost to provide guidelines, support, and feedback on the assessment of student learning and the use of assessment results to improve student learning.
Assessment at the Medical Center Campus

KU’s School of Medicine has clearly stated goals for student learning. These graduation competencies are:

- **Patient care.** Students must demonstrate knowledge, skills, attitudes, and behaviors to enable them, under supervision, to demonstrate clinical capabilities, including assessing patients with urgent, acute, and chronic health problems; develop a diagnosis; select and interpret diagnostic tests; and assess and address disease prevention and health promotion strategies.

- **Medical knowledge.** Students must use sound scientific principles to explain normal and abnormal human function at the molecular, biochemical, cellular, organ system, and societal level. This includes assessment of scientific information in order to support clinical decisions.

- **Practice-based learning/improvement.** Students must show critical and analytic thinking, awareness of the limitations of their knowledge and skills, and commitment to continuous learning. This includes their abilities to accept and provide constructive feedback; to critically reflect on patient care activities, using analysis of their experiences to improve performance; and to refine diagnoses, patient management, and prognoses as conditions evolve.

- **Interpersonal and communication skills.** Students must be able to communicate effectively with patients, as well as their families, other health professionals, and colleagues. Students demonstrate this by creating a clinical encounter that is culturally appropriate, providing a verbal summary of patient situation to a faculty member, and maintaining confidential patient records.

- **Professionalism.** Students must demonstrate altruism, accountability, excellence, and respect for others. This includes being sensitive and responding to patients from diverse backgrounds and recognizing self-limitations, attitudes, and behaviors that might affective their performance as physicians.
Systems-based practice. Students must learn to function within teams and organizations. They must be able to describe health systems that affect patient well-being, assess causes of medical errors, and respond to threats to patient safety.

A variety of qualitative and quantitative assessment methods, ranging from classical written examinations to complex simulations, are used for School of Medicine and School of Nursing courses and clerkships.

Departments in the School of Health Professions have an assessment plan for each of their programs. Many of the departments conduct comprehensive examinations at the end of their coursework that provide detailed assessment of the learning outcomes. In addition, graduates must take national licensure examinations to obtain licensure in these professional programs, and that data are used to assess student outcomes. Based on the results of these various comprehensive examinations, the departments’ curriculum committees identify areas for improvement in the academic and clinical coursework.

Assessment in Co-Curricular Programs

KU recognizes not all learning takes place in the classroom. In addition to institutional efforts to evaluate student learning, specific programs at KU have evaluated how their programs and practices affect student learning. (Some of the results of assessment of co-curricular programs are reported in Criterion 3.E.2). In this section, three examples representing systems at different development levels are used to demonstrate the range of assessment in co-curricular programming at KU: First-Year Experience, University Career Center, and Student Affairs. The University Advising Center has hired an assessment and data analytics specialist to assess the center’s effectiveness and integrate analytic tools into advising.

Example 1: First-Year Experience

*Common Book.* Implemented in Fall 2012, the Common Book is in its third year. A survey conducted at the end of the Fall 2012 semester with new students and 20 faculty members who reported integrating the book into their course materials indicated that:

- Of the 217 student respondents, 28 percent read the majority or all of the Common Book and 36 percent read some of it.
- Of the respondents, 48 percent participated in one Common Book activity and 42 percent used the book in a class.
- Students had concerns about the book selected.
- Among surveyed faculty members, 95 percent thought Common Book was a good idea and 76 percent thought the book’s content was relevant to course material.
- Some faculty members did not think students were engaged in, ready, or willing to discuss the book.

Based on feedback, the Office of First-Year Experience and Common Book Committee agreed to provide greater incentives and support for students to read the Common Book over the summer and to expand use of Common Book in more first-year courses.
First-Year Seminars. Assessment of First-Year Seminars occurs at two levels: program-level assessment of common learning outcomes and at the specific course level. Program-level assessment employs AAC&U value rubrics to assess student work. In Fall 2012, 83 percent of scores on written communication and 80 percent of scores on critical thinking were at or above the basic competence level. Students were also asked to assess their skill development in several areas such as writing, ability to analyze and synthesize information, and library skills, and to assess the extent to which they had used acquired skills in other courses. Additional analysis of specific skill domains was performed and reported in “Assessment of other undergraduate programs: First Year Seminars.” First-Year Seminar instructors also engage in course-level assessments and use data gleaned from them to improve courses for subsequent offerings. For example, several faculty members made modifications to further support students’ abilities to critically evaluate evidence. In Fall 2013, assessment results were shared with participating faculty members at an assessment mini-conference as a basis for future program development.

KU Orientation Course (PRE/UNIV 101). PRE 101 (renamed UNIV 101 in 2014) has existed for years and has been routinely evaluated through the regular course evaluation process administered through the Department of Educational Psychology and Research. Nearly 35 percent of new students take this course in the fall semester. In addition to regular course evaluations, the Office of First-Year Experience administered pre-and post-surveys to students enrolled in Fall 2013. Two hundred thirty-three (33 percent response rate) completed the pre-survey and 173 (25 percent) completed the post-survey. Selected results indicated: More than two-thirds moderately to strongly agreed that the course helped them address concerns they had about college; over 60 percent of students reported that the course enhanced their understanding of academic and wellness resources; nearly 70 percent disagreed that the course helped them better appreciate the Common Book; 45 percent said the course did not help them improve reading skills; and 50 percent indicated that the course did little or nothing to improve their writing skills.

In response to the feedback, the Office of First-Year Experience changed the structure and timing of some required assignments; changed supports for students reading the Common Book before the start of the semester, including a new reader’s guide and increased social media support; and developed a syllabus of ideas so instructors can choose from a variety of possible experiences and assignments that fulfill course learning outcomes.

Example 2: University Career Center engages in several assessment projects.

- Using the question “How does career services directly and indirectly impact student retention and graduation rates?” the University Career Center (UCC) designed a longitudinal study to explore relationships between career development outcomes and institutional integration.
- The study found that career coaching interventions that increase career decision self-efficacy and vocational identity may positively affect persistence and confidence to graduate. In response to the data, UCC implemented a career coaching model.
- UCC surveys students after appointments with career coaches. Resulting data are used with career coaches on individual professional improvement. Data are used to compare results of how graduate student career coaches compare to full-time professionals to ensure that students are receiving a standard level of service.
• The UCC’s study and use of the data were nationally recognized by the National Association of Colleges and Employers in June 2013.
• Based on destination reports showing that students graduating with a bachelor’s degree in general studies are more likely to enter the workforce directly after graduation, UCC is working on a proposal for the College of Liberal Arts and Sciences to include a career component for students pursuing that degree.

*Example 3: Student Affairs*
Student Affairs (SA) has long assessed student programs and now has a coordinated assessment effort of its programs, with the goal of aligning learning outcomes with *Bold Aspirations* and the KU Core Curriculum. Student Affairs encompasses 12 university departments, including Counseling and Psychological Services, Student Housing, Student Health Services, and the Student Involvement and Leadership Center.

In 2013–14, Student Affairs made significant strides in making meaningful use of assessment data. An assessment and research specialist was hired in August 2013, and the division committed to standards from the Council for the Advancement of Standards in Higher Education as the divisional learning outcomes. Student Affairs also developed a strategic plan to be revisited every five years. Each department within Student Affairs must identify learning and development outcomes that satisfy at least one Student Affairs goal. The division’s goals, adopted from goals recommended by the Council for the Advancement of Standards in Higher Education, mirror the six goals of the KU Core Curriculum and include:

• Knowledge acquisition, defined as students’ ability to understand, connect, and integrate information from a broad range of disciplines, and measured through students’ ability to solve problems.
• Cognitive complexity, defined as the ability to engage in critical, reflective thinking, effective reasoning, and creativity, and measured through students’ ability to analyze information.
• Intrapersonal development, defined as students’ ability to define their own belief systems and measured through their ability to reason ethically.
• Interpersonal development, defined as their ability to work effectively with others and measured through their ability to work in teams and in leadership roles.
• Humanitarian and civic engagement, defined as concern for the welfare of others and measured by participation in volunteer activities and other forms of civic engagement.
• Practical competence, defined as the ability to set goals and measured by the ability to manage personal finances, manage time, and accept responsibility for actions.

All assessment and research efforts from 2013 forward within the division are developed and directly linked to its adopted strategic plan, which has been linked to the KU Core. The results of every project undertaken within Student Affairs are written in a one-page format and made available to the public. (Additional assessment efforts reported in Criterion 3.E)
4.B.4 The institution’s processes and methodologies to assess student learning reflect good practice, including the substantial participation of faculty and other instructional staff members.

KU has employed several assessment strategies that reflect good practice. As program/degree-level assessment becomes more institutionalized and the assessment plan for the KU Core is developed and implemented, it is expected that the majority of programs will implement best practices.

Direct involvement of faculty:

- KU’s rejection of the use of standardized tests as the cornerstone of its assessment program necessitates that faculty members are intimately involved in assessment activities. The responsibility of the assessment specialist is to provide methodological assistance and support.
- Faculty members chose (or designed) rubrics used to assess written communication and participated in assessment of written products.
- The University Academic Assessment Committee and the University Core Curriculum Committee are faculty committees that will oversee assessment of degree programs and of the KU Core.

Use of rubrics to assess embedded student work:

- National emphasis on use of embedded assessment and creation of the Association of American Colleges & Universities (AAC&U) value rubrics informed a move away from the interview method for assessing general education, informed the 2006–09 Documenting Learning Outcomes effort, influenced KU’s approach to assessing the regents’ mandated outcomes, and will shape development of an effective plan for assessing KU Core outcomes.
- Rubrics were the core method used in the pilot of critical thinking assessment in First-Year Seminars and assessment of written and oral communication.
- KU’s work in this area is used by the Association of Public and Land-grant Universities as a good example of how to use AAC&U rubrics to assess written and oral communication.
- The past and current directors of the Center for Teaching Excellence are recognized nationally for their work using rubrics as indicated by participation in several grants.

Use of multiple sources of data reflects KU’s understanding of learning as a multifaceted, complex process.

- Assessment of Regents proficiencies employed multiple sources of data: rubrics, NSSE, Senior Survey, ETS Proficiency Profile, and other data when available.
- Departments are encouraged to use both direct and indirect methods of assessment.

Asking meaningful questions enhances use of assessment results because it focuses on questions that faculty value.

- For program/degree-level assessment, departments are encouraged to focus assessment efforts around meaningful questions and data that are manageable.
Involvement of faculty from across campus has improved the outcomes assessment processes.

- The Documenting Learning Success project involved diverse departments from across campus and created numerous opportunities to share assessment experiences and learn from each other.
- Workshops on assessment of written communication provided insight about how faculty members learn about and conduct outcomes assessment.
- The University Academic Assessment Committee includes faculty members from all academic units.
- KU understands that effective outcomes assessment is continual and not episodic. For that reason, the university has hired an assessment specialist, created the University Academic Assessment Committee, implemented training sessions, created an electronic space for departments to record their assessment work, and identified an annual reporting schedule.

Assessment of the Process and Areas for improvement

KU has carried out many independent assessment activities over the past 10 years, coordinated and led by different units on campus. These efforts occurred within a strong culture of collection and use of data for decision-making at the central administration level. Integration of a culture of assessment at the academic unit level has been more varied and challenging, with some units and assessment processes being more advanced than others. Consistent implementation and use of assessment data remain a challenge, as does coordination of various assessment efforts. The establishment of a structure to provide guidance is critical to building a culture of assessment and maximizing the use of results to improve teaching and learning. Although effective assessment is best carried out at the departmental/program level, a centralized presence is essential to maintain the necessary focus and assistance.

The doctoral assessment process reflects good practice in that it involves use of rubrics. However, the process was administratively driven and did not give programs much flexibility in using methods they defined as useful or in how and when rubrics would be completed. Moreover, given some technological glitches that prevented many faculty members from receiving electronic evaluation forms, it is not clear whether all programs are complying. As KU approaches four years of data collection and doctoral outcomes assessment transitions to become a component of program/degree assessment, it is a good time to evaluate the process and ensure it provides useful information for program improvement.

Core Component 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.

Overview
The goal of improving retention, persistence, and graduation rates has driven much of the university's investment in student programing since 2005. Efforts have been hampered by relatively low admissions standards, so KU moved to put new standards in place effective Fall 2016. Chancellor Gray-Little has set ambitious one-year retention (90 percent) and six-year graduation goals (70 percent). Over the last 10
years, KU has vastly increased the amount and type of data it uses to understand the factors that impact retention and timely progression to degree at all levels. Data are widely and continually analyzed through specially charged task forces and regularly occurring structures, such as the Student Research Finding Summit and Enrollment Management.

Such analysis has resulted in a host of changes from procedural (e.g., common course withdrawal dates) to major (e.g., the KU Core, which dramatically reduces the number of required general education hours). KBOR has identified courses that facilitate transfer from Kansas community colleges. Considerable investment is being made in first-year experiences known to positively affect retention and graduation rates. In 2014, KU unveiled a comprehensive strategic plan for student success.

Narrative and Evidence

In order to convey KU’s actions in relation to retention, persistence and graduation, all aspects of 4.C. will be considered together and the section organized by undergraduates and then graduates.

4.C.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.

4.C.2. The institution collects and analyzes information on student retention, persistence and completion of its programs.

4.C.3. The institution uses information on student retention, persistence, and completion of programs to make improvements as warranted by the data.

4.C.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 definition 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.)

Undergraduates

Goals for retention, progression, and graduation

As part of Bold Aspirations, KU aims to improve retention, persistence, and graduation rates. In 2011, KU reported its first-year retention rate as 79 percent. In the same year, Chancellor Gray-Little reported to the Kansas Board of Regents that the university had set a goal of increasing the retention rate to 90 percent by 2022. In the same report, the chancellor shared that KU’s six-year graduation rate was 61 percent and that the goal is to increase it to 70 percent.

- KU has been tracking retention/graduation statistics since the 1980s, long before doing so was required by the National Center for Education Statistics. Historically the four-year graduation rate has been 25 percent.
- In Fall 1995, KU changed from a flat tuition rate to an hourly rate. This began a small but steady increase in the four-year graduation rate as students became more aware of the cost of enrolling in classes and not completing them. Then-Chancellor Robert Hemenway was concerned about timely
graduation and established the Graduate in Four Task Force but did not set formal retention and graduation rate goals.

- The Foresight 2020 strategic plan approved in September 2010 by the regents set a goal of a 10 percent increase in retention and graduation rates by 2020 for all public universities in the state.

Collecting and Analyzing the Data

- The Office of Institutional Research and Planning (OIRP) collects data on student retention, persistence, and completion. Only full-time freshmen (those enrolled in at least 12 hours during their initial fall semester) are included in the retention and graduation reports. Data are publicly available on the OIRP website.
- Since 2006, KU’s freshmen retention rates have remained steady or increased slightly. The table below shows that since 2006, KU’s four-year graduation rates have increased to 37 percent. The 2009 class had an all-time-high four-year graduation rate of 37.4 percent. Six-year graduation rates also increased by almost 5 percentage points.

<table>
<thead>
<tr>
<th>Fall Semester</th>
<th>Entering Freshmen</th>
<th>Retained After 1 Year</th>
<th>Graduated After 4 Years</th>
<th>Graduated After 6 Years</th>
</tr>
</thead>
<tbody>
<tr>
<td>1996</td>
<td>3,546</td>
<td>77.8%</td>
<td>26.1%</td>
<td>56.7%</td>
</tr>
<tr>
<td>1997</td>
<td>3,808</td>
<td>77.6%</td>
<td>28.7%</td>
<td>58.1%</td>
</tr>
<tr>
<td>1998</td>
<td>3,696</td>
<td>77.9%</td>
<td>26.4%</td>
<td>57.5%</td>
</tr>
<tr>
<td>1999</td>
<td>3,783</td>
<td>80.3%</td>
<td>30.6%</td>
<td>59.4%</td>
</tr>
<tr>
<td>2000</td>
<td>4,117</td>
<td>78.1%</td>
<td>31.1%</td>
<td>59.1%</td>
</tr>
<tr>
<td>2001</td>
<td>4,023</td>
<td>81.0%</td>
<td>31.5%</td>
<td>59.8%</td>
</tr>
<tr>
<td>2002</td>
<td>4,011</td>
<td>81.8%</td>
<td>30.6%</td>
<td>59.8%</td>
</tr>
<tr>
<td>2003</td>
<td>3,971</td>
<td>82.7%</td>
<td>31.8%</td>
<td>60.9%</td>
</tr>
<tr>
<td>2004</td>
<td>4,182</td>
<td>82.3%</td>
<td>32.2%</td>
<td>61.1%</td>
</tr>
<tr>
<td>2005</td>
<td>4,106</td>
<td>80.6%</td>
<td>32.4%</td>
<td>60.8%</td>
</tr>
<tr>
<td>2006</td>
<td>4,091</td>
<td>79.3%</td>
<td>36.7%</td>
<td>64.1%</td>
</tr>
<tr>
<td>2007</td>
<td>4,028</td>
<td>79.7%</td>
<td>35.8%</td>
<td>61.6%</td>
</tr>
<tr>
<td>2008</td>
<td>4,436</td>
<td>77.8%</td>
<td>37.2%</td>
<td></td>
</tr>
<tr>
<td>2009</td>
<td>3,894</td>
<td>79.3%</td>
<td>37.4%</td>
<td></td>
</tr>
<tr>
<td>2010</td>
<td>3,490</td>
<td>79.9%</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2011</td>
<td>3,493</td>
<td>79.2%</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2012</td>
<td>3,651</td>
<td>79.9%</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2013</td>
<td>3,898</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Retention and graduation rates of underrepresented minorities (American Indian/Alaskan Native, Black, Hispanic, Native Hawaiian/Pacific Islander, and Multiple Ethnicities) lag the university overall rates and vary more from year to year.

<table>
<thead>
<tr>
<th>Fall Semester</th>
<th>Entering Freshmen, Underrepresented Minorities</th>
<th>Retained After 1 Year</th>
<th>Graduated After 4 Years</th>
<th>Graduated After 6 Years</th>
</tr>
</thead>
<tbody>
<tr>
<td>1996</td>
<td>227</td>
<td>69.6%</td>
<td>11.9%</td>
<td>42.3%</td>
</tr>
<tr>
<td>1997</td>
<td>244</td>
<td>72.5%</td>
<td>14.3%</td>
<td>43.4%</td>
</tr>
<tr>
<td>1998</td>
<td>235</td>
<td>66.4%</td>
<td>16.6%</td>
<td>40.0%</td>
</tr>
<tr>
<td>1999</td>
<td>236</td>
<td>67.4%</td>
<td>18.2%</td>
<td>45.3%</td>
</tr>
<tr>
<td>2000</td>
<td>234</td>
<td>72.2%</td>
<td>20.5%</td>
<td>47.4%</td>
</tr>
<tr>
<td>2001</td>
<td>266</td>
<td>78.6%</td>
<td>22.9%</td>
<td>51.5%</td>
</tr>
<tr>
<td>2002</td>
<td>303</td>
<td>78.9%</td>
<td>24.4%</td>
<td>50.8%</td>
</tr>
<tr>
<td>2003</td>
<td>316</td>
<td>73.1%</td>
<td>17.7%</td>
<td>44.0%</td>
</tr>
<tr>
<td>2004</td>
<td>382</td>
<td>79.6%</td>
<td>21.7%</td>
<td>52.4%</td>
</tr>
<tr>
<td>2005</td>
<td>362</td>
<td>74.9%</td>
<td>18.5%</td>
<td>45.3%</td>
</tr>
<tr>
<td>2006</td>
<td>325</td>
<td>67.7%</td>
<td>24.9%</td>
<td>51.1%</td>
</tr>
<tr>
<td>2007</td>
<td>314</td>
<td>68.8%</td>
<td>19.7%</td>
<td>47.1%</td>
</tr>
<tr>
<td>2008</td>
<td>414</td>
<td>67.1%</td>
<td>26.6%</td>
<td></td>
</tr>
<tr>
<td>2009</td>
<td>386</td>
<td>74.4%</td>
<td>26.4%</td>
<td></td>
</tr>
<tr>
<td>2010</td>
<td>465</td>
<td>72.3%</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2011</td>
<td>563</td>
<td>68.9%</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2012</td>
<td>647</td>
<td>68.8%</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2013</td>
<td>706</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

There is a direct correlation between test score (a proxy for college readiness) and retention/graduation rates for the various groups. In the most recent five years:

- Students with an ACT/converted SAT of over 30 are retained on average at 91 percent after the first year and 81 percent graduate after six years.
- Students with an ACT/converted SAT of 24–27 are retained on average at 81 percent after the first year and 64 percent graduate after six years.
- Students with an ACT/converted SAT of 17–20 are retained on average at 67 percent after the first year and 49 percent graduate after six years.

Graduation rates for student-athletes are calculated according to NCAA standards using the Graduation Success Rate (GSR) that includes athletes who are awarded scholarships during their initial year at KU. Included are first-time freshmen, January freshmen, and transfer athletes. Any
scholarship athlete who transfers out or no longer competes at the collegiate level and is in good academic standing (meaning eligible to compete) is excluded from the calculation. The NCAA also requires reporting of an Academic Progress Rate (APR). The APR is based on metrics that take into account each student-athlete’s academic standing and retention on the team. KU’s success with scholarship athletes is notable as illustrated by KU being the top team in the 2014 NCAA basketball tournament in terms of graduation success rate and APR. The men’s basketball team had a graduation success rate of 100% and a perfect APR score (1,000).

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Baseball</td>
<td>952</td>
<td>70.4%</td>
</tr>
<tr>
<td>Football</td>
<td>959</td>
<td>76.1%</td>
</tr>
<tr>
<td>Men’s Basketball</td>
<td>1000</td>
<td>100.0%</td>
</tr>
<tr>
<td>Men’s Cross Country &amp; Track</td>
<td></td>
<td>83.3%</td>
</tr>
<tr>
<td>Men’s Cross Country</td>
<td>984</td>
<td></td>
</tr>
<tr>
<td>Men’s Track, Indoor</td>
<td>954</td>
<td></td>
</tr>
<tr>
<td>Men’s Track, Outdoor</td>
<td>950</td>
<td></td>
</tr>
<tr>
<td>Men’s Golf</td>
<td>979</td>
<td>100.0%</td>
</tr>
<tr>
<td>Women’s Basketball</td>
<td>969</td>
<td>85.7%</td>
</tr>
<tr>
<td>Women’s Cross Country &amp; Track</td>
<td></td>
<td>91.7%</td>
</tr>
<tr>
<td>Women’s Cross Country</td>
<td>994</td>
<td></td>
</tr>
<tr>
<td>Women’s Track, Indoor</td>
<td>967</td>
<td></td>
</tr>
<tr>
<td>Women’s Track, Outdoor</td>
<td>967</td>
<td></td>
</tr>
<tr>
<td>Women’s Golf</td>
<td>980</td>
<td>100.0%</td>
</tr>
<tr>
<td>Women’s Rowing</td>
<td>984</td>
<td>90.2%</td>
</tr>
<tr>
<td>Women’s Soccer</td>
<td>965</td>
<td>95.7%</td>
</tr>
<tr>
<td>Women’s Softball</td>
<td>985</td>
<td>100.0%</td>
</tr>
<tr>
<td>Women’s Swimming</td>
<td>970</td>
<td>77.8%</td>
</tr>
<tr>
<td>Women’s Tennis</td>
<td>977</td>
<td>87.5%</td>
</tr>
<tr>
<td>Women’s Volleyball</td>
<td>1000</td>
<td>75.0%</td>
</tr>
<tr>
<td>-- All Student Athletes --</td>
<td></td>
<td>84.8%</td>
</tr>
</tbody>
</table>

- In November 2011, OIRP developed a comprehensive model of pre-entry characteristics affecting retention. The model showed that for first-time entering students, high school GPA was most significant in predicting retention and graduation. Based on this model, several
changes were made to recruiting strategies, including changing criteria for university scholarships to give more weight to high school performance than to test scores.

- In January 2012, university administration began utilizing ability score groupings based on high school GPA and test scores to probe the relationship between preparation and performance at the university. These groupings provide new ways of looking at issues related retention and graduation and evaluating how students with a variety of ability levels can be best encouraged to succeed.
- In Spring 2011, several studies considering the performance of students in their first semester and first year were undertaken: placement and performance in first math course; evaluation of courses with high rates of unsuccessful outcomes for first-year students; and examination of the relationship between first-year retention and performance in the first year.
  - For example, KU offers one remedial course, MATH 002, *Intermediate Algebra*. Approximately 17 percent of new freshmen in the most recent five cohorts were required to complete the course, and their DFW rates (grades of D or F and W for withdrawals) average 38 percent. The number of students who need and enroll in remedial math during their initial year at KU has a notable impact on retention and graduation rates. Based on the most recent three cohorts, the one-year retention rate for MATH 002 students is 64 percent. For Fall 2004–Fall 2007 cohorts of MATH 002 enrollees, the six-year graduation rate averages 46 percent.
- On a regular basis, OIRP requests and evaluates data from the National Student Clearinghouse for students who left KU. Subsequent enrollment at other institutions by students who leave KU are examined and shared internally. Programs with significant attrition to specific schools are alerted, and competitor schools and programs are assessed in an effort to identify strengths at other institutions or weaknesses at KU.

**Using Information to Make Improvements**

Several key initiatives have occurred over the past 10 years and are described chronologically:

**Graduate in Four Task Force: 2005**

The *Graduate in Four* (GIF) task force report identified strategies to improve retention. In 2005, KU’s four-year graduation rate was 29 percent, and its six-year graduation rate was 58 percent.

Several initiatives launched by the GIF project have had visible impacts. For example, the College of Liberal Arts and Sciences adopted a policy requiring declaration of a major no later than completion of 60 credit hours or the end of the first semester of the junior year. **Enrollment holds** may be place on students who do not declare a major in a timely fashion. The percent of upperclassmen with declared majors has improved steadily.

<table>
<thead>
<tr>
<th>Upperclassmen with Declared Majors</th>
<th>Fall 2005</th>
<th>Fall 2006</th>
<th>Fall 2007</th>
<th>Fall 2008</th>
<th>Fall 2009</th>
<th>Fall 2010</th>
<th>Fall 2011</th>
<th>Fall 2012</th>
<th>Fall 2013</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>87.8%</td>
<td>87.1%</td>
<td>89.5%</td>
<td>90.6%</td>
<td>90.0%</td>
<td>90.7%</td>
<td>90.2%</td>
<td>90.4%</td>
<td>90.8%</td>
</tr>
</tbody>
</table>

Faculty and staff analyzed and changed their internal messaging to communicate that students need to take more than 12 hours per semester in order to graduate in a timely manner. Materials were redesigned to emphasize a 15-hour credit load, and advisors were told to be sure students enrolled in 15
credit hours. The First-Year Experience message to students is that student perform and learn better when they enroll in 15 to 17 credit hours each semester.

Following the GIF recommendations, KU undertook a significant effort to move all of its catalog materials online, consolidating information about program admissions, degree requirements, and courses. For many degree programs, materials in the online catalog help students map out the coursework to complete their degree program in four years. As an example, a degree plan for the bachelor of science in journalism is available. The next iteration of the online catalog will include four-year degree plans for all undergraduate degrees. Such maps will help students compare major requirements and plan their progress toward a degree.

*The Student Research Findings Summit: Fall 2010*

Started in Fall 2010, this Student Research Findings Summit is convened four to six times per year. The attendees include analysts and practitioners — those who summarize and review the data and those who use it — representing Academic Affairs, Student Affairs, Undergraduate Studies, International Programs, Enrollment Management, Financial Aid and Scholarships, Institutional Research and Planning, and Administration and Finance. Summit meetings serve as a forum for research and analysis sharing and discussion, with particular focus on how to make findings actionable. Additionally, summit participants assess the impact of ongoing initiatives, such as Graduate in Four recommendations. Summit participation continues to grow, and through these discussions participants helped develop an online tool for undergrad advisors, used first by the University Advising Center, with academic units following. The tool provides advisors with at-a-glance summary information about students who may be at risk based on factors identified in various studies or reviewed in the summit.

*Enrollment Management: Fall 2010*

Beginning in Fall 2010, KU recognized the need to take a more intentional and purposeful approach to managing its enrollment. The university established an Office of Enrollment Management charged with integrating and aligning previously disparate enrollment services units. Significant investments were made centrally, as well as through additional support received from the KU Endowment Association, KU Athletics, and KU Alumni Association, to establish the necessary systems, structures, and technologies to elevate and enhance the university’s market position and market profile.

Influenced by William Sedlacek’s work on the use of noncognitive variables in admission and retention, KU is moving toward adopting a more holistic approach to admissions. The Office of Enrollment Management will continue to collaborate with other units on campus (Undergraduate Studies, TRIO, Student Affairs, Multicultural Student Services) to develop a more intentional and purposeful first-year experience designed to better link and align recruitment and retention initiatives and coordinate the student life cycle.

*Bold Aspirations: October 2011*

Informed by the work of the chancellor’s 2010 Graduation and Retention Task Force, Goal 1 of the strategic plan is dedicated to undergraduate education. As described in *Criterion Three*, this resulted in creation of the KU Core, launched in Fall 2013 for all undergraduates, and establishment of the Office of First-Year Experience and new first-year programs.
KU adjusted its advising model, giving more responsibility to professional advisors, and implemented several other institutional changes in advising. Data from the 2014 Senior Survey indicate that graduating seniors are giving slightly higher marks to advising today than a decade ago.

**MySuccess: July 2013**
KU implemented MySuccess, an academic early warning system that keeps students and their advisors informed of their classroom progress. Students receive “flags” to alert them that they need to change their study habits or “kudos” that they are doing well. Faculty can send messages to students, and advisors can track their contact with students to create a holistic picture of student progress. MySuccess allows students to learn about resources that can help them and allows them to quickly make appointments with advisors.

**New Admissions Standards: Spring 2012**
As noted in the 2005 HLC consultant’s advancement report, KU was encouraged to consider more selective admissions standards. With permission from the Kansas Board of Regents, selective admissions standards will be implemented with the entering class of Fall 2016. KU anticipates improvement in retention and graduation data as a result of more selective admissions that target students better prepared to pursue college work.

**Progression and Graduation: Strategic Plan for Student Success: 2014**
In Fall 2014 the university unveiled a comprehensive Progression and Graduation: Strategic Plan for Student Success. Highlighting strides already made to meet the Bold Aspirations strategies, the plan emphasizes improvements that must be made to affect retention, progression, and graduation. The plan recommends a number of changes to energize the undergraduate learning experience, including:

- Course redesign. The provost’s Course Redesign Task Force has established six recommendations to build on KU’s existing success in course redesign, providing the foundation for moving forward.
- Intersession courses. Winter and spring intersession courses that help students make good progress toward a degree are being expanded. During winter 2014, the School of Journalism launched an online “minimester” to help students meet graduation requirements faster. Courses included Visual Storytelling and Multimedia Web Development.
- Co-curricular and degree maps. Expanding on the existing degree plans included in the university catalog, the Office of Undergraduate Studies is leading a co-curricular and degree mapping project to produce degree maps for every major that integrate the KU Core, degree requirements, and major requirements. These maps will provide clear pathways toward degree completion and allow students to explore and compare major requirements easily and transparently. This activity is currently in progress for Fall 2015.
- Individual plan for success. Beginning in Fall 2013, students admitted conditionally are provided an individual plan for success that emphasizes advising, focuses on the transition to college through an orientation seminar, and provides additional academic support. KU will also make greater use of predictive analytic tools to improve advising as well as removal of policy and procedural barriers to student progress (e.g., overuse of enrollment holds).
First-Year Programs
Several programs play an important role in KU’s efforts to increase retention and timely graduation rates (see Criterion 3).

- Hawk Link is an academic retention-based program designed to assist students of color and/or first-generation college students in navigating their first year at KU. UNIV 101 includes specific Hawk Link sections. First-time freshman participation in Hawk Link was 109 in 2011, 99 in 2012, and 125 in 2013. For Fall 2012, the retention rate for Hawk Link students was 63.6 percent, while the retention rate for first-generation students was 70 percent and for underrepresented minority students was 73 percent. For first-generation underrepresented minority students, the rate was 57 percent.
- The Transitions program assists second-year Hawk Link students. Students are exposed to resources within the KU community through specialized programming focused on self-exploration and career development.
- Students Obtaining Academic Resources (SOAR) assists and motivates first-year Hawk Link students in adjusting and succeeding at KU. Participants meet weekly with SOAR counselors to answer any questions they may have about KU and Lawrence. In addition, the SOAR counselor serves as the student’s tutor and is able to help them in their entry-level classes. The SOAR program also includes study workshops, social events, as well as a weeklong “study zone” during finals week.
- UNIV 101 is an orientation seminar that helps students make a smooth transition to KU and provides an important foundation to their academic studies. Each section of the two-credit-hour seminar is small, enrolling a maximum of 19 students.

First-Year Seminars
First-Year Seminars are small, discussion-based courses designed to introduce freshmen to intellectual discovery at KU. The Office of First-Year Experience compares the GPA, credit-hour completion, and retention data for students enrolled and not enrolled in First-Year Seminar courses, whose incoming profiles are similar. Data from the first few semesters suggest that First-Year Seminars have the potential to positively affect retention rates. Students who enrolled in a First-Year Seminar in Fall 2012 had higher grade-point averages in Fall 2012, Spring 2013, and Fall 2013 than students who were not enrolled in a First-Year Seminar.

Learning Communities
Learning Communities are being reimagined at KU with implementation of Goal 1 of Bold Aspirations. A yearlong pilot during the 2012–13 academic year found that learning communities could be beneficial in student retention. Results of the pilot suggested that learning communities contributed positively to willingness to participate in class discussion, self-confidence when interacting with instructors and peers, and interactions with faculty outside the classroom. Results were less positive when it came to contributing to formation of study groups, making connections between courses, relating the residential experience to the learning community course, and being influenced by the peer mentor. The Office of First-Year Experience used this information to improve 2013 learning communities’ pilot programs.

Experiential Learning
Bold Aspirations and the KU Core prioritize experiential learning experiences as a means of improving student engagement and ultimately retention, persistence, and graduation rates. Engaged learning experiences, which have been recognized as high-impact practices, include study abroad, service learning, and undergraduate research as described in other sections. In addition, KU has established
Certificate programs to reflect deeper involvement in arts engagement, global awareness, leadership studies, research experience, service learning, book arts, and entrepreneurship.

Graduate Students

Bold Aspirations includes a goal to reduce the time to degree for any doctoral program with an average above seven years. However, the university is aware that when the number of doctoral graduates in a department is small in a given year, the mean is easily affected by outliers, so the median time to degree is now tracked rather than the mean.

The overall time to degree has ranged from a median of 6.9 in 2004–05 to 5.9 in 2012–13 but varies significantly by doctoral program. In managing time to degree, departments have examined where in the curriculum students may take extra time to complete. For example, the American Studies doctoral program determined that the sequence of course requirements held students back. As a result, the department changed the course requirements to help students progress more quickly. Students also were taking extra time after completing the comprehensive examination, and in 2010 the department instituted expectations for students to progress through the dissertation to completion. The Department of Sociology developed a portfolio approach to pre-doctoral preparation to help students make timely progress to the dissertation stage.

Criterion Four Summary

Through the preceding narrative, KU demonstrates that it assumes responsibility for the quality of its programs. It maintains a well-developed process of regular program review and has policies and processes for reviewing transfer credits and rigor of its own courses. All professional programs for which specialized accreditation is expected are accredited. While KU collects some data on success of recent graduates, the university plans to collect more and to centralize access to those data. KU has been assessing learning outcomes since 1989 through multiple processes for general education, the major, regents proficiencies, and at the doctoral level. While general education assessment has endured, other efforts have not been coordinated nor sustained. To consolidate and enhance the assessment efforts as a system, the provost has invested resources to create a consistent, effective university-wide assessment infrastructure. This includes hiring an assessment specialist. Over the past 10 to 20 years, KU has developed considerable expertise in designing and conducting effective outcomes assessment. With this base of expertise, the assessment infrastructure will move toward institutionalization of an assessment culture of continuous improvement. The evidence presented also demonstrates that KU has persistently collected and analyzed data and implemented changes to its practices to improve student retention. The challenge of improving retention and timely graduation rates in a virtually open access institution has proven to be a difficult problem to solve regardless of attention paid to it. KU anticipates that soon-to-be raised admission standards will result in higher retention and graduation rates.

Strengths

- KU has a reasonable and effective system of program review that responds both to the needs of the regents as well as the university. The process results in changes such as creation of the School of Languages, Literature and Culture.
• Through assessment projects, such as the degree-level assessment, general education assessment, and regents proficiency assessment, KU has developed considerable expertise in how to conduct effective assessment using embedded assignments and AAC&U rubrics.
• The current administration has devoted resources (e.g., hiring an assessment specialist) to develop and implement of a university-wide assessment system that will generate useful data to inform decisions about the teaching and learning process.

Challenges

• Although KU has employed an effective system of assessing general education outcomes since 1989, assessment in the major is in a more formative stage. Consistent attention is needed from central administration to ensure that assessment in the major at both the graduate and undergraduate levels becomes institutionalized as part of the academic culture.
• Assessment of general education represents a challenge of a different sort in that it involves a large number of courses to be assessed to ensure they are meeting the goals of the KU Core curriculum. The challenge here is to develop an assessment system that is consistent, informative, and manageable.
• Persistent efforts must continue to ensure that assessment of co-curricular and support programs continues to advance.
• KU has numerous programs intended to improve retention. The Self-Study process revealed that there is limited evidence of the success of some of these programs, though several are in their infancy and their impact may not be evident for several more years. Retention programs must be based on research, continually evaluated, and modified (or even deleted) to ensure that KU is doing its best to increase retention and graduation rates.

Future Directions

Two areas are of particular focus for the future. The first is outcomes assessment and the second revolves around retention efforts.
• The Office of the Provost has devoted resources to bringing central oversight and support to outcomes assessment activities. Going forward, the focus is inculcating a culture of assessment campus-wide and “closing the loop” or ensuring that assessment data are used to improve teaching and learning.
• Although KU has been focused on improving retention since at least 2000, it will continue to invest in this effort. This includes gathering and assessing data on the effectiveness of existing activities and experimenting, with assistance of collaborators such as the UIA, to come up with new ways to improve retention. While the university expands these programs, it also must ensure that minority, low-income, and first-generation students participate in these activities and that their participation leads to positive outcomes. KU will collect, analyze, and use data to understand these experiences and to inform decisions to improve classroom experiences for these students. All of these efforts will help KU reach its goal of 90 percent first-year retention and 70 percent six-year graduation rate.
• KU will monitor the impact of new admissions requirements taking effect in 2016 on admissions as well as on retention.
Criterion Five. Resources, Planning, and Institutional Effectiveness

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

Core Component 5.A
The institution’s resource base supports its current educational programs and its plans for maintaining and strengthening their quality in the future.

Overview

Uncertain state revenues — caused first by declining state revenues and then by large tax cuts — have forced the University of Kansas to increasingly diversify its resource base in order to maintain the high level of excellence expected by citizens of the state and to achieve goals set forth in strategic planning documents for the Lawrence and Medical Center campuses. As with most state-funded universities, students are bearing a greater portion of the burden through increased tuition.

Likewise, research expenditures have increased significantly. KU has engaged in several critical activities to enhance and broaden its resource base to support teaching, learning, and research. Some of these activities include Changing for Excellence, a campus-wide initiative to identify efficiencies in administrative functions, and partnerships with private partners such as Everspring to develop high-quality online programs and Shorelight Education to increase international student enrollment, in addition to a renewed investment in enrollment management.

The successful KU Endowment, the first of its kind among public institutions, completed a capital campaign in 2004 and is in the midst of another capital campaign. The university has nearly met the established goal of $1.2 billion almost two years before the campaign’s end.

Comprehensive strategic planning and the budgeting process ensure that resources are used to achieve the university’s goals. Despite challenging economic times, KU has maintained a highly qualified faculty and staff; used its planning efforts to guide additional investment in faculty and staff resources; and made necessary advances in technology infrastructure. Campus Master Plans for the Medical Center and Lawrence prioritize and guide future investments in facilities.
Narrative and Evidence

5.A.1. The institution has the fiscal and human resources and physical and technological infrastructure sufficient to support its operations wherever and however programs are delivered.

5.A.2. The institution’s resource allocation process ensures that its educational purposes are not adversely affected by elective resource allocations to other areas or disbursement of revenue to a superordinate entity.

5.A.3. The goals incorporated into mission statements or elaborations of mission statements are realistic in light of the institution’s organization, resources, and opportunities.

5.A.4. The institution’s staff in all areas are appropriately qualified and trained.

Challenging Economic Times

Decreasing state support for higher education in Kansas is not a new phenomenon, but has accelerated in the past 10 years. This has resulted in a different mix in funding sources, shifting much of the cost of education to tuition. Inflation-adjusted (Higher Education Price Index) state general fund expenditures for the Lawrence campus have declined nearly every year since fiscal year 2000. The recession of 2007 to 2009 and tax cuts implemented by the Kansas Legislature beginning in 2012 have put further strains on higher education financing.

While the state has not allocated any sustained general support increases in recent years, it has provided important targeted budget increases:

- Expanding the engineering program in 2011 and funding the expansion in the amount of $3.5 million per year starting in FY 2013 for the next 10 years.
- Funding for 12 Foundation Distinguished Professors in 2012 with $3 million annually beginning in FY 2013.
- $25 million state-financed bonds issued in FY 2015 for the Medical Education Building at the Kansas City campus.

As the most recent recession eased, the Kansas Legislature adopted substantial income tax cuts with the expectation that cutting taxes would spur economic growth, but to date the cuts have caused a precipitous decline in state revenues. If revenues continue to diminish, the ability of the state to meet its commitments to public higher education will be seriously challenged.

In August 2014, Standard & Poor’s lowered the state’s bond rating to AA from AA+, citing a lack of “structural balance between revenues and expenditures.” Earlier, in May 2014, Moody’s downgraded KU to Aa2 from Aa1 based on “pressures related to the state’s budgetary challenges, as well as declining enrollment.” This could mean that borrowing money in the future will be more expensive for the university.
The relationship between state funding and tuition is evident in the makeup of KU-Lawrence’s total general use expenditures, which have continued to increase to meet the demands of better serving students; maintain excellent faculty, research, and facilities; and align with the Higher Education Price Index and other operating costs.

Lawrence campus:

- In FY 2004, total general use expenditures were $251.8 million, of which state general fund was 52 percent and tuition was 48 percent.
- In FY 2014, total general use expenditures were $401.4 million, of which state general fund was 34 percent and tuition was 66 percent.
- From FY 2004 to FY 2014, the percent of educational costs funded by tuition increased from 42 percent to 60 percent for resident undergraduate students and from 131 percent to 157 percent for nonresident undergraduate students indicating that nonresident students pay more than the cost of their education. In FY 2014, the cost to educate an undergraduate student was $13,962. Resident undergraduate tuition for the academic year was $8,396. Nonresident undergraduate tuition was $21,875.
- In constant dollars, general use funding per full-time equivalent (FTE) student was $14,468 in FY 2004 and $17,979 in FY 2014.
Table 1 shows historical data on tuition and state funding per FTE student:

Table 1

<table>
<thead>
<tr>
<th>Operating Expenditures per Fall FTE Student</th>
<th>Tuition and State Appropriations</th>
</tr>
</thead>
<tbody>
<tr>
<td>(Amounts are shown in FY 2014 inflation-adjusted dollars)</td>
<td>University of Kansas - Lawrence Campus</td>
</tr>
</tbody>
</table>

![Graph showing historical data on tuition and state funding per FTE student.](Image)

- Inflation-Adjusted State Appropriations per Fall FTE Student, FY 2014 = 100%
- Inflation-Adjusted Tuition per Fall FTE Student, FY 2014 = 100%
Table 2 shows historical data on the percent of general use educational costs paid by tuition. General use funds includes state appropriations and tuition.

### Table 2

<table>
<thead>
<tr>
<th>Academic Year (Two Semesters)</th>
<th>2004</th>
<th>2005</th>
<th>2006</th>
<th>2007</th>
<th>2008</th>
<th>2009</th>
<th>2010</th>
<th>2011</th>
<th>2012</th>
<th>2013</th>
<th>2014</th>
</tr>
</thead>
<tbody>
<tr>
<td>UG Resident</td>
<td>41.9%</td>
<td>44.6%</td>
<td>48.0%</td>
<td>52.4%</td>
<td>51.5%</td>
<td>54.0%</td>
<td>56.9%</td>
<td>59.8%</td>
<td>58.4%</td>
<td>59.1%</td>
<td>60.1%</td>
</tr>
<tr>
<td>UG Nonresident</td>
<td>130.8%</td>
<td>130.0%</td>
<td>132.0%</td>
<td>137.5%</td>
<td>135.2%</td>
<td>141.9%</td>
<td>149.5%</td>
<td>151.4%</td>
<td>149.6%</td>
<td>153.9%</td>
<td>156.7%</td>
</tr>
<tr>
<td>GU Educational Costs*</td>
<td>$8,410</td>
<td>$9,324</td>
<td>$10,058</td>
<td>$10,530</td>
<td>$11,352</td>
<td>$11,470</td>
<td>$11,542</td>
<td>$11,990</td>
<td>$13,033</td>
<td>$13,542</td>
<td>$13,962</td>
</tr>
</tbody>
</table>

#### Standard Tuition Rates

<table>
<thead>
<tr>
<th></th>
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<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>UG Resident Tuition</td>
<td>$3,527</td>
<td>$4,163</td>
<td>$4,824</td>
<td>$5,513</td>
<td>$5,844</td>
<td>$6,195</td>
<td>$6,567</td>
<td>$7,167</td>
<td>$7,611</td>
<td>$8,000</td>
<td>$8,396</td>
</tr>
<tr>
<td>UG Nonresident Tuition</td>
<td>$11,003</td>
<td>$12,117</td>
<td>$13,277</td>
<td>$14,483</td>
<td>$15,351</td>
<td>$16,272</td>
<td>$17,250</td>
<td>$18,150</td>
<td>$19,500</td>
<td>$20,843</td>
<td>$21,875</td>
</tr>
</tbody>
</table>

* General use funds include state appropriations and tuition.

### Tuition

The university maintains control of tuition revenue collected from students.

Historically, tuition at KU has been low compared to other AAU public institutions. In FY 2004, KU ranked 22nd of 34 public AAU institutions on resident undergraduate tuition. Even with recent increases in tuition, KU still ranked 22nd in FY 2014. Among a comparison group of public Midwest institutions, KU ranked fourth of 11 in FY 2004 on resident undergraduate tuition and fees and now ranks second. The Tuition Advisory Committee stays aware of and continues to consider KU’s relative positioning on tuition.

The five-year tuition enhancement plan concluded in FY 2007. By the end of the plan, the university had increased tuition revenues by $50 million annually. Proposals for each of the five years were developed on the recommendation of the Ad Hoc Committee on University Funding, composed of students, faculty, and staff and had strong student support. Tuition enhancement funded 100 new faculty positions, increased faculty salaries by 9 percent, added over 45 FTE staff positions, raised unclassified staff salaries by 6 percent, increased graduate teaching assistant salaries by 30 percent, expanded graduate research assistant tuition, and created 50 GTA/lecturer positions. The plan also set aside additional funding for need-based financial aid.

KU implemented an annual tuition review process at the conclusion of the five-year tuition enhancement plan. Since 2007, a Tuition Advisory Committee (TAC) convenes each spring semester to make a recommendation to the chancellor on tuition for the upcoming academic year. The TAC is composed of students, faculty, deans, and administrators along with staff support. The Lawrence
campus students are recommended by the president of the student body. The faculty are recommended by faculty governance. The TAC meets multiple times during the spring to discuss a number of topics related to the next academic year’s tuition proposal.

The committee considers current revenues from tuition, projected revenues, enrollment projections, and the cost of university operations, including increases to the cost of employee benefits and utilities and increases in the Higher Education Price Index. After also considering key university initiatives for the upcoming year, the committee formulates a document specifying proposed tuition and fees rates and setting priorities for use for the following academic year. After approval by the chancellor, the proposal is considered by the Kansas Board of Regents (KBOR), which takes final action on the proposal in June of each year.

Student members annually play a significant role on the TAC in shaping the proposal and determining priorities for use. For example, on the FY 2015 Tuition Advisory Committee, the student members focused on balancing academic needs and affordability. Graduate student support and additional funding for retaining talented faculty were high priorities. The university’s strategic plan, *Bold Aspirations*, helped frame the discussion and set priorities.

**Changing for Excellence**

The chancellor launched *Changing for Excellence* in April 2011 to review administrative processes and procedures. KU selected the Huron Consulting Group to partner on the review of the Lawrence and Medical Center campuses. For six months in 2011, the entire university worked to identify areas of opportunity for efficiencies and cost savings. Huron then helped develop the specifications for each proposed initiative and implementation plans. Potential initiatives were jointly developed for both campuses and in some cases jointly implemented, such as the procurement and sourcing initiative, libraries, and human resources. In other cases, the initiatives were only implemented on the Lawrence campus, such as all funds budgeting, shared service centers, and facilities management.

Through the 10 initiatives covering administrative functions, libraries, research, and enrollment management, KU operations have seen dramatic changes. Naturally, there has been trepidation during implementation. Satisfaction with two of the most significant cultural changes, though, has been notable.

- Regular climate surveys of facilities staff who have merged into a single unit after years of operating separately show increases in job satisfaction and customer satisfaction.
- KU’s implementation of Shared Service Centers — reorganizing human resource, finance, and research administrative transaction functions into service clusters — has increased the level of service to departments and reduced errors in transactions. KU’s transition model has avoided the campus protests experienced at peer institutions.
- By having specially trained staff focused on executing a specific set of tasks rather than having one staff member perform all tasks (e.g., searches, budget, travel), the Shared Service Centers have achieved good results. After an initial transition period, department chairs and the staff in units being served report satisfaction with the new model. Data from a 2014 implementation follow-up study in the College of Liberal Arts and Sciences illustrate:
  - Satisfaction is typically lowest upon initiation and increases over time.
On a scale of 1 = very dissatisfied and 5 = very satisfied, mean satisfaction scores for chairs generally ranged from 3 to 4, typically increasing over time.

Department chairs were most satisfied with timely purchasing, travel processing, entering staff time and leave, face-to-face meeting time with staff, and staff knowledge.

Chairs were least satisfied with graduate teaching assistant and graduate research assistant appointment processes and tracking of their funding.

Surveyed Shared Service Center staff members were uniformly positive about most aspects of work. The points of greatest dissatisfaction had to do with workload distribution and lack of sufficient staff, with approximately one-quarter to one-third of respondents disagreeing work was distributed fairly or that the unit had sufficient staff.

Savings achieved through Changing for Excellence have been reinvested in the strategic plan. For example, in FY 2014 approximately $465,000 was allocated to the Office of First-Year Experience for programming and staff and over $700,000 for Enrollment Management. Since FY 2012, close to $5 million has been awarded as seed funding for faculty research. Changing for Excellence funds are being used to augment a $3 million annual state appropriation as part of KU’s Foundation Distinguished Professor initiative. Additionally, 22 new faculty positions were allocated to strengthen academic programs and the four strategic initiatives. The new Earth, Energy and Environment Center will launch the first phase of the major Innovation Way project, a key part of the Campus Master Plan. This complex will provide important infrastructure for teaching labs, research infrastructure, and student learning spaces.

Enrollment Management

Both Bold Aspirations and Changing for Excellence call for enhancement of KU’s recruitment efforts in order to strengthen the academic community and stabilize tuition revenue, which take on greater importance due to declining state support. A strategic focus helps KU enroll students who have the academic background needed to succeed at a research university.

As noted in Criterion Three, recent matriculation of fewer students at the undergraduate level was caused, in part, by shifting demographics. Kansas experienced several years of declining numbers of high school graduates, who make up approximately two-thirds of KU’s first-time freshmen. In addition, concerns about higher education costs during the recession pushed some students to begin their studies at community colleges.

In 2010, KU created the Office of Enrollment Management. The office, led by the vice provost for enrollment management, is comprised of four departments: Office of Admissions, Financial Aid and Scholarships, University Registrar, and Student Information Systems. Utilizing a series of highly integrated information systems and a robust reporting environment, the Office of Enrollment Management provides ongoing analysis of the characteristics and behaviors of current, prospective, and former students. This analysis helps KU improve and enhance its market position and prominence and achieve goals related to student quantity, quality, access, and success.

Due in part to these strategies, the incoming freshman class grew from 3,580 in Fall 2011 to 3,771 in Fall 2012. In Fall 2013 the freshman class increased again to 4,000 and had the highest average ACT in KU’s history, 25.3. The Fall 2013 entering freshman class also was the most ethnically diverse in KU’s history.
University of Kansas Endowment

KU Endowment was established in 1891 as America’s first foundation for a public university. It is an independent, nonprofit, 501(c)(3) tax-exempt organization and is KU’s official fundraising foundation. The mission of the KU Endowment is to “partner with donors in providing philanthropic support to build a greater University of Kansas.”

In July 2008, KU Endowment launched Far Above: The Campaign for Kansas with a goal of $1.2 billion. Already near this goal, Far Above is scheduled to conclude in June 2016.

In FY 2013, KU Endowment provided $119.4 million of support to the university: $38 million in program and educational support, $34.6 million in faculty support, $17.3 million in facilities support, and $29.5 million in student support (excluding loans). The market value of KU Endowment’s total assets as of June 2013 was $1.72 billion.

Research

KU Center for Research Inc. is a not-for-profit, 501(c)(3) tax-exempt research foundation on the Lawrence campus that operates under the administrative jurisdiction of Office of Research. The center negotiates contracts, provides proposal and post-award services, administers compliance oversight, manages and constructs research facilities, and handles financial services, including investment of corporation resources. Its counterpart at the Medical Center campus is the Research Institute Inc.

Expenditures for research have seen steady growth at the university, even during the recession and sequestration. From FY 2003 to FY 2013, total research and development expenditures rose 62.0 percent, from $184.3 million to $298.5 million. Federally financed research and development expenditures rose 75.9 percent, from $98.9 million to $174.0 million.

Table 3

<table>
<thead>
<tr>
<th>Federally Financed Research &amp; Development Expenditures</th>
<th>University of Kansas</th>
<th>Lawrence and Medical Center Campuses</th>
</tr>
</thead>
<tbody>
<tr>
<td>Federally Financed R&amp;D Research (in thousands)</td>
<td>$98,918</td>
<td>$109,641</td>
</tr>
<tr>
<td>Total R&amp;D Research (in thousands)</td>
<td>$184,287</td>
<td>$194,440</td>
</tr>
</tbody>
</table>
In 2011, the chancellor set a goal of increasing federal research expenditures to $175 million, which would place KU seventh among its identified strategic peers. In the first three years of *Bold Aspirations*, KU has made significant progress toward that goal and will adjust the aspiration.

The Lawrence campus model for the management of research overhead sends 4 percent to 6 percent of the overhead to the research center or principal investigator and 10 percent to the principal investigator’s college, school, or research center based on the PI’s appointment. The balance is used to support the research infrastructure through the research corporation.

### Other Revenue Sources

KU is developing initiatives and partnerships that will introduce new revenue streams and help the university further its goals set forth in *Bold Aspirations*.

- As noted in [Criterion 1.A.2](#), KU’s partnership with Everspring will bring 15 School of Education master’s degree programs online in the next three years. Everspring provides technology support for instructional design, offers marketing and enrollment services, prepares orientation materials for students and faculty in online venues, maintains 24/7 technology call services, pre-screens applications according to KU’s admissions requirements, and provides customer relationship management services and a technology platform for mobile learning. KU faculty members provide curriculum design, subject matter material, and information for all courses, and determine admission standards and admit students. In April 2013, the Higher Learning Commission determined that the partnership with Everspring did not need to go through its Substantive Change process.

- As noted in [Criterion 1.A.2](#), the university has partnered with Shorelight Education to create the KU Academic Accelerator Program (KUAAP) with the goal of doubling international student enrollment. Shorelight will provide international recruitment and assist KU in providing a 12-month pathway program for English instruction and American academic acculturation. Shorelight has the ability to recruit in locations that would be beyond the means of the university to reach. Upon successful completion of the KUAAP, students can continue their coursework at KU with sophomore status. In February 2014, the Higher Learning Commission determined that the partnership with Shorelight Education did not need to go through its Substantive Change process.

### Human Resources

The university understands that faculty and staff are its most valuable resources. KU has a stable employee base and continues to invest in sufficient faculty and staff to support its operations. KU is committed to ensuring that it has outstanding faculty and staff.

Goal 5 of *Bold Aspirations* has four strategies focused on fostering an excellent and diverse faculty and staff: (1) enhance the recruitment process for excellence in hiring, (2) develop and retain talent and leadership, (3) be accountable (faculty and staff evaluation), and (4) enhance the diversity of faculty, staff, and the student body.
Faculty/Staff Characteristics

- The number of faculty has generally been stable (as discussed in Criterion 3.C.1), with strategic investments leading to growth in recent years. In FY 2004 there were 954 full-time faculty (excluding lecturers) on the Lawrence campus. In FY 2014 there were 1,020. Part of the notable tuition enhancement increase in the mid-2000s was specifically targeted to increase the number of tenured/tenure-track faculty. Resignations and terminations of faculty historically have been very low. The turnover rate is typically less than 3 percent.
- With nearly 3,300 nonfaculty staff, the Lawrence campus would rank as a top-10 state of Kansas employer in staff alone, ahead of such notable companies as Koch Industries, General Motors, and Bombardier.

Recruitment and Qualifications

- All staff and faculty job postings are required to have position descriptions that identify required qualifications that candidates must meet in order to be hired. The hiring manager or search committee must ensure that the candidate offered the position meets all required qualifications and has the appropriate skills, knowledge, and experiences for the position.
- In 2009, the university introduced Hiring for Excellence search strategies to increase the diversity of candidate pools and ensure that KU hires faculty members who will succeed. The program has increased the likelihood of a successful and diverse search outcome by including telephone interviews before selection of applicants for on-campus interviews. For instance, as of June 2014, the program had expanded searches in the College of Liberal Arts and Sciences by 14 additional candidates from historically underrepresented groups, and of these six have been hired.

Compensation

- Compared to Midwest peer group of institutions, KU faculty compensation typically has been 98 percent to 100 percent of the comparison group weighted average.
- The last pay increase funded by the state was a 1.5 percent increase in FY 2009. After no increases in FY 2010 or FY 2011, student members of the Tuition Advisory Committee recommended tuition increases to provide faculty and staff salary increases of at least 2 percent in FY 2012, FY 2013, FY 2014, and FY 2015.
- Far Above: The Campaign for Kansas calls for $300 million in support of recruiting and retaining the most distinguished faculty and providing the physical and financial resources they need to succeed.
- During FY 2006, university classified employees left the state civil service system and were recategorized as University Support Staff. This change affected 1,411 employees on the Lawrence campus. This year the five other Regents institutions also made this change.
- In 2012, the university approved a voluntary separation incentive program for 106 of its retirement-eligible faculty and staff. Savings generated was invested in Bold Aspirations.
- In 2013 the university contracted with a professional services consulting firm to gather data on nonfaculty staff positions in a Classification and Market Study. Two of the study’s goals were to develop an equitable, consistent, and competitive classification and compensation plan and to achieve a competitive pay relationship with the market.
  - As of August 2014, 31 percent of 2,100 reviewed positions have received increases to put them closer to market rates.
As part of the market classification study, University Support Staff who are not part of a collective bargaining unit were given the option to switch to Unclassified Professional Staff positions. As of June, 2014, nearly 60 percent of eligible University Support Staff chose to have their positions converted to Unclassified Professional Staff positions.

Training and Evaluation
Faculty and staff qualifications and training have been addressed in relation to several criteria:

- **Criterion 2.A**: KU provides training programs to employees and supervisors to assure understanding of best management practices.
- **Criterion 3.A.1**: Curriculum oversight at KU is a faculty-led function.
- **Criterion 3.B.5**: Faculty and student contributions to scholarship and creative activity.
- **Criterion 3.C.2**: All instructors are appropriately credentialed.
- **Criterion 3.C.3**: All instructors are evaluated regularly.
- **Criterion 3.C.4**: Processes are in place and resources are available for ensuring currency in disciplines and teaching roles.
- **Criterion 3.C.6**: Staff members providing student support are appropriately qualified and supported in professional development.

Staff are required to undergo an annual review of strength and opportunities for growth with a self-evaluation and manager-evaluation section. KU has recently purchased and will be implementing a new competency-based performance management and learning management system to facilitate staff development and performance review. KU is also in the process of implementing a post-tenure review process.

Staff and faculty are offered a variety of opt-in and required training to further their professional development and/or to comply with regulations. Courses offered by Human Resources, Information Technology, KU Libraries, Environmental Health and Safety, and other departments range from one-hour to multi-day sessions. Participation in these programs requires supervisory approval but does not require the use of paid leave time to attend.

- The **Staff Leadership and Development Council** coordinates and expands access to professional development opportunities for staff at KU Lawrence and Edwards campuses, aligning such opportunities with KU’s mission.
- The Lawrence campus Department of **Human Resource Management** offers several management and leadership workshops and professional skills programs for faculty and staff.
- The Jayhawk Way program on the Medical Center campus provides leadership training for faculty and staff. The program helps participants improve goal-setting and professional and personal communication and relationships.
- The **Staff Fellows Program** is a yearlong program jointly sponsored by the Office of the Provost and the Department of Human Resource Management. It awards a small cohort of 8-10 fellows with mentoring opportunities alongside senior administrators, leadership training, skill development, and an expanded perspective of campus and university initiatives.
- The **Senior Administrative Fellows Program** allows selected faculty to explore senior administration without having to take time away from teaching, service, or research.
The Faculty Mentoring Program at the Medical Center campus helps faculty advance in their career with the help of a collaborative mentoring program.

The Faculty Leadership Academy is a joint effort of the School of Medicine and KU Hospital to help improve the management and leadership skills of physician and basic science faculty members. Academy attendees appreciate it as a career- and skill-enhancing program.

The School of Nursing offers a dedicated staff mentoring program through its Faculty and Staff Enhancement Program that consists of formal group and/or individual mentoring sessions over a six-month period. The sessions address core knowledge sets related to successfully completing operational functions, specialized skill training, and personal goal development.

Training related to specific job duties is offered, and sometimes required, for faculty and staff. This includes training related to FERPA, HIPAA, human subjects, animal subjects, hazardous waste handling and disposal, ADA, risk management, sexual harassment, and compliance.

KU Information Technology offers free training sessions throughout the year to help faculty, staff, and students use a variety of software packages more effectively.

Human Resources offers regular training for the users of the HR/pay system and for staff involved in the hiring process.

KU Procurement Services offers a variety of training opportunities for faculty and staff who use its purchasing systems.

KU's current tuition assistance policy allows full-time and part-time (working 50 percent or more) faculty and staff without a doctorate to take one course per term (up to five credits hours). They may receive up to 15 credit hours per year by taking a five-credit-hour course in each of the fall, spring, and summer semesters. During the past five years, faculty and staff enrolled in an average 350–400 courses per year with an estimated cost of $300,000 per year.

University Senate created a Tuition Assistance Task Force in 2011–12 charged to investigate an expansion of the tuition assistance program to be comparable to that of Kansas State University. The Task Force made the following recommendations aligned with Goal 5 of Bold Aspirations and to be funded using Changing for Excellence dollars. Acting on the recommendations appears unlikely in the current fiscal climate.

- Expand tuition assistance to cover faculty, staff, and their dependents, spouses, and domestic partners.
- Match Kansas State University in providing seven credits per semester without expense. This would be comparable to KSU, Indiana University and University of Missouri. MU.
- All full-time and part-time employees who have at least six months of service would be eligible.

Physical Infrastructure

Lawrence Campus
The main campus in Lawrence occupies approximately 1,000 acres atop Mount Oread, known informally as the Hill. The Lawrence campus has over 200 buildings. Ten of KU’s 13 schools are based here, as are internationally recognized museums, libraries, research centers, and laboratories. The Lawrence campus
also governs additional locations in several Kansas cities including Garden City, Fort Hays, Kansas City, Fort Leavenworth, and Topeka.

- The Lawrence campus includes 4.8 million square feet of nonresidential space and 1 million square feet of residential space.
- Classroom facilities account for approximately 6 percent of the assignable nonresidential square feet and teaching labs account for over 9 percent.
- Since 2005 over $478 million in capital improvements have been completed on the Lawrence and Edwards campuses.

In 2012–2013, the university developed a comprehensive Campus Master Plan for the Lawrence and Edwards campuses to guide investment in the physical campuses from 2014–2024. The plan was developed over a 13-month period with broad campus involvement. The end result is a document that includes extensive analyses and reports on space and classroom utilization, historic patterns and resources, land use, program accommodation, sustainability, and coordination with the local community. The master plan is designed to be revisited in the future and adjusted as needed. The plan physically embodies KU’s strategic plan, Bold Aspirations, through emphasis on three broad physical concepts: student success and campus life; academic communities; and sustainable land use and growth patterns.

Findings from master plan process include:

- At current enrollment and activity, KU needs an additional 133,000 square feet of assignable space.
- The areas of greatest current need are laboratory and research office, student center, and class laboratory.
- Space needs will increase by 690,000 assignable square feet when projected enrollments reach 26,300 students. Of that total, 400,000 square feet are needed for research space.
- The current estimate for deferred maintenance is over $300 million. Mission-critical facilities, such as science facilities, are essential in the near future.
- In Fall 2012, 236 classrooms analyzed averaged 29 hours of scheduled classes per week with 55 percent of student stations occupied. This is under the expected range of 35–40 hours per week with 65–70 percent occupancy of student spaces. The pressure on classroom space during peak hours points to a need to use classrooms more efficiently and to spread the use throughout the weekday.
- Classrooms average 18 square feet per student station. Today’s focus on student-centered, project-based learning requires approximately 22 assignable square feet per student station.
- Laboratories analyzed average 18 weekly room hours of use. Student stations occupancy averages 53 percent.

The Campus Master Plan defines three districts on the Lawrence campus. The North District includes most of the academic and administrative buildings in what has traditionally been referred to as the main campus. The Central District includes the School of Engineering buildings, the School of Music building, the recreation center, Student Health Services, and residential buildings. The West District includes the area traditionally referred to as west campus. The Lawrence campus is in a transformative period. The current core of campus is nearly built out. Urban systems such as parking, building density, imperviousness, and service capabilities are strained. Available land for infill projects in the North
District is extremely limited. Given space needs for growing academic programs and research facilities, a shift to “new ground” for academic uses is needed. The Central and West districts could provide the necessary land area. Underutilized land at Stouffer Place Apartments provides an ideal location to handle academic and research growth.

The changing learning modalities in higher education force rethinking of physical learning spaces. Reinvigorating the undergraduate experience and expanding graduate research are KU mandates moving forward. New facilities should be required to have collaborative spaces that go beyond functional need and incorporate progressive teaching models.

The long-range land use plan and master plan program provide a flexible framework for campus growth that supports near-term decision making and enables a long-term vision. The 2014—2024 Campus Master Plan principles and drivers, through their implementation, will make the most of existing resources while effectively developing new resources through entrepreneurial thinking. The master plan supports **Bold Aspirations**.
Edwards Campus
The Edwards Campus has grown from one 55,000-square-foot building to four buildings totaling 238,000 square feet on 30 acres. Edwards has a projected 40 percent enrollment growth in the 10-year planning horizon. Three main classroom/office buildings anchor the campus: Regents Center, Regnier Hall, and the Business, Engineering, Science, and Technology Building. Highlights of the Edwards’ physical plant include:

- Business, Engineering, Science and Technology (BEST) Building. New in 2012, this 75,000-square-foot facility accommodates undergraduate and graduate degree programs in business, engineering, science, and technology. In addition to classrooms, computer labs, offices, and lecture halls, the complex includes a conference center. The complex consists of 17 classrooms ranging from small seminar rooms to a 100-seat tiered classroom, four teaching computer labs, and one open computing lab. The complex meets LEED certification. Electrical lighting use has been reduced by 30 percent due to the building’s orientation and special features. Energy consumption in BEST will be about 60 percent lower than similar buildings.
- Regnier Hall has 82,000 square feet of instructional and office space, containing 21 classrooms, a 240-seat auditorium, and 45 offices. It is home to the Hartley Audiology Center, Confucius Institute, and Kansas Center for Autism Research and Training.
- Regents Center contains 14,500 square feet of classroom and office space, the Edwards Campus library, Continuing Education, and advisor and student break spaces.
- Edwards Campus Conference Center is a 4,000-square-foot center that seats up to 400.
- Edwards has 1,000 parking spaces to accommodate its primarily adult, commuter student base.

Medical Center Campus
The School of Medicine, officially opened in 1905, and the Medical Center sit on 41 acres at 39th and Rainbow Boulevard in Kansas City. The Medical Center also includes locations in Wichita and Salina. Since 2005, nearly $154 million has been invested in Medical Center maintenance and infrastructure improvements.

The Medical Center engaged in a master planning process in 2010–12. The Facilities Master Plan outlines the facilities needed to support 21st century educational methods and practices and to accommodate expansion of KU Hospital and university research programs.

Findings from the planning process include:

- Of current space, 48 percent was rated marginal to inadequate.
- An additional 159,000 net assignable square feet of space (254,400 gross square feet), beyond the completion of a new Medical Education Building, may be needed within the next 10 years. This does not include parking or the relocation of existing research animal space currently in marginal facilities, which would require an additional 85,600 gross square feet.
- Based on growth projections, the Medical Center will have shortages in classroom, research, office and parking within next 10 years.
- Clinical faculty growth will require about 200 new offices over the next 10–15 years.
- An average 45 percent utilization of existing classrooms (60 percent is expected) indicates excess capacity. However, many of these classrooms are in substandard buildings that will be taken out of
service. New, modern facilities will allow repurposing or destruction of severely outdated or poorly located classroom space.

- The new Medical Education Building will contain 16,285 square feet for a 28 percent gain in total classroom space.
- Moderate growth in research may add up to 127 new principal investigator teams by 2021. Based on 1,500 square feet per team, this may create a need for an additional 121,500–156,000 of assignable square feet of research space.

As part of KU’s Health Education Initiative to train more doctors for Kansas and to offer its medical students a 21st curriculum, a new Health Education Building would be needed. The report proposes an enrollment increase from the current 175 to 225 students per class. In 2014, the Liaison Committee on Medical Education reaccredited the Medical School for the next eight years but listed the training facility as a matter of concern on which progress must be made by August 2015.

A $25 million lead gift from the Hall Family Foundation is a catalyst for the Medical Center to move forward on plans to construct a $75 million Health Education Building. A 2014 bill signed by the governor includes $25 million in State General Fund-backed bonding authority for the proposed building.

**Information Technology – Lawrence Campus**

KU Information Technology strives to be a true strategic partner with the customers it serves in providing a broad range of customer-focused solutions and campus technical infrastructure. Major IT projects and initiatives support *Bold Aspirations* and *Changing for Excellence*. Notable investment projects include:

*Oracle/PeopleSoft*

- During the last 10 years KU has upgraded its Oracle/PeopleSoft enterprise, administrative, and business systems, intentionally eliminating as many modifications to the software as possible by adapting business processes to the software. This allows for ease in maintaining systems on the latest releases of the software and enhances the ability to add new functionality when it becomes available. KU also consolidated and standardized the use and purchasing of software, eliminating many individual unit solutions. The university now offers a centrally maintained content management system, document imaging and management system, enterprise software licenses for commonly used software, as well as discounted software for faculty and staff personal use.

*Major Human Resources/Pay Upgrade*

- The human resources pay system captures all of the personnel, benefits, payroll, job, position, funding, time and leave data, and related transactions. The Lawrence and Medical Center campuses upgraded to Human Capital Management version 9.1, a web-based environment.

*Fiber Upgrades*

- The KU Dark Fiber project was the final step in providing enhanced internet availability to campus resources to assist in obtaining additional grants and revenues for KU.
• KU IT partnered with Johnson County Community College and the City of Overland Park to provide a new fiber uplink to the Edwards Campus.
• In cooperation with the City of Lawrence, KU extended fiber throughout the city, providing access to some of KU's outlying facilities.

Additional Indoor Wireless Access Points

• KU IT has added more than 2,000 wireless access points to the network since 2010, so that 38 classroom buildings on campus have ubiquitous wireless coverage.

Multiple 10GB Internet Connections

• KU IT has partnered with departments on campus to provide 10GB science and research connectivity to Malott, Haworth, Eaton, and Nichols halls and Higuchi Biosciences Center.

Research Computing Data Center Expansion

• KU IT worked with the Office of Research to create a Center for Advanced Computing, which will provide high-performance computing resources. The facility is a partnership among the Office of Research, the Information and Telecommunication Technology Center, and KU IT.

Research File Storage

• This project was established to replace and expand current research storage for research service.

Classroom Technology

• Central classrooms have all been mediated, e.g., equipped with video, audio, internet, etc., while others are now capable of lecture capture, and many others are active learning classrooms.

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

The university's fiscal year runs from July 1 to June 30 of the following year. KU receives funding from a variety of sources. For the fiscal year ending June 30, 2013, for all campuses combined the annual revenue was $1.19 billion. Grants and contracts of $288.5 million made up just under a quarter of KU's overall revenue. Tuition and fees were the second largest source of revenue, accounting for $262.5 million, followed by state appropriations at $247.4 million.

Through the resource planning process, KU administration ensures that the university's prioritized investments continue to progress toward the goals within Bold Aspirations. The budget is central to KU's ability to achieve and advance the mission of the university. University administrators monitor state revenues and plan for potential state general fund increases or reductions throughout the year. The Lawrence and Medical Center budgets are developed through similar processes, following guidance from university administration. Throughout the year, the chancellor and the chief business and financial planning officer (CBFPO) meet with executive vice chancellor/provost and the vice provost for
administration and finance to review the status of the campus budgets. The processes described below culminate with review of and approval of the budgets by the CBFPO and the chancellor.

**Lawrence Campus Process**

Resource planning begins in the fall and continues throughout the year. In the fall, the vice provost for administration and finance meets with each dean, vice provost and major unit director to discuss how the prior year ended and current priorities for resources for the fiscal year and beyond.

Each spring, the provost requests a formal budget and planning report submittal from each major unit. The provost and the vice provost for administration and finance conduct budget and resource planning meetings throughout the spring with each dean, vice provost, and major unit director to discuss priorities, planning, budget, and staffing. A member of the governance committee on Planning and Resources also attends each meeting and reports back to the University Senate. In addition, the Tuition Advisory Committee meets throughout the spring to outline and recommend priorities for KU’s tuition proposal to the Board of Regents.

The provost has monthly meetings throughout the year for the deans and another for the deans and vice provosts to discuss topics related to university priorities, budget, and planning. During FY 2014, the Lawrence campus shifted from an incremental to an all funds budget process.

- Under the incremental process, budgets were based on the previous year’s allocation and did not take into account changes in enrollment or funding for strategic priorities. Funding for all units was increased or decreased by the same percentage.
- The all funds budget approach has goals designed to encompass the budgeting of all sources of funding, to inform budget development with cost drivers and quality metrics to enable comprehensive budget understanding and budget transparency for all stakeholders, and to create budgetary incentives to grow enrollment and sponsored research and to reward accountability.

Funding for strategic priorities outlined in *Bold Aspirations* is the primary focus of this new model. Redesigning the budget process allows KU leadership to identify funds that can be spent strategically and enables conversations between schools and the College that focus on all sources of funds.

Annual operating budgets are developed at a detailed level and are tracked centrally and at the departmental level during the year.

- Each unit is responsible for budgeting and managing all funds available to the unit.
- BudCast is a reporting system that tracks all budgets, expenditures, and projections for all funds, including sponsored projects and endowment funds. BudCast reports are accessible online by unit heads and unit budget managers.
- Budget managers meet monthly with the comptroller and budget office staff to talk about routine processes, how the budget call process will work for the next year, and possible enhancements or reductions for the following year. The budget office strives to keep the units informed so that there are no budgetary surprises.
- Units are expected to reconcile their accounts monthly and manage their funds to meet the goals of their units and the university. The budget director and comptroller provide oversight.
The university prepares a consolidated annual financial report after the close of each fiscal year. The university does not have its own audit but is part of the State of Kansas audit.

**Medical Center Campus Process**

At the Medical Center, resource planning occurs throughout the year. The executive vice chancellor’s leadership team, which includes deans and vice chancellors for administration, finance, and research, meets regularly to discuss topics related to university priorities, budget, and planning.

Each spring, finance officers in the School of Medicine, School of Nursing, and School of Health Professions begin considering funding requests from department chairs and program leaders for the next fiscal year. These finance officers meet with the director of each major unit to discuss priorities, planning, budget, and staffing. Finance officers elevate requests for new funding as necessary, so that the executive vice chancellor’s team can systematically evaluate and prioritize requests.

In addition, the Tuition Advisory Committee meets during the spring to outline and recommend priorities for the tuition proposal to the Board of Regents. The membership of the Tuition Advisory Committee consists of students, faculty, and administrators.

Throughout the year, the chancellor and the chief business and financial planning officer (CBFPO) meet with the executive vice chancellor and the campus financial officer to review the status of the campus budgets. The processes described below culminate with review of and approval by the CBFPO and the chancellor.

**Core Component 5.B**

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

**Overview**

As shown in [Criterion 2.C](#), the Board of Regents is knowledgeable about KU and provides effective oversight of the institution. Shared governance has been a cherished value since the late 1960s when Chancellor Clarke Wescoe approved creation of University Senate and in the early 1970s when Chancellor Laurance Chalmers agreed that students should constitute 20 percent of the membership on policymaking committees. Shared governance is enacted through regular administrative meetings, governance bodies, and provost’s committees and task forces. On the Lawrence campus, Student Senate is particularly influential, distributing approximately $20 million in student fee revenues annually. Additionally, KU’s unique University Senate involves students, faculty, and staff in academic and other policy decisions that affect the entire university. Each campus also has a faculty senate. On the Lawrence campus, Unclassified Professional Staff and University Support Staff each have their own senates. Rapid and significant change in recent years has resulted in some concerns about the extent to which constituent input is valued. The chancellor and provost have enacted strategies to respond to these concerns.
Narrative and Evidence

5.B.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.

The nine-member Board of Regents is the governing board of the state’s six universities and the statewide coordinating board for the state’s 32 public higher education institutions. The board’s organization and operations and the oversight it provides are described fully in Criterion 2.C.

- The board’s structure and reporting mechanisms ensure that it is knowledgeable about KU and its needs. Through its decision-making structures, reporting requirements, and evaluation of the chancellor, the board provides institutional oversight. The corresponding KU administrator/representative participates in regular, at least monthly, regents council meetings.
- The board performs its business during monthly meetings, attended by the chancellor, executive vice chancellor, and provost from the Lawrence campus, and the executive vice chancellor from the Medical Center campus, as well as other administrators.

5.B.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.

5.B.3. Administration, faculty, staff, and students are involved in setting academic requirements, policy, and processes through effective structures for contribution and collaborative effort.

The university has policies, procedures, and practices in place to enhance communication across constituencies and engage them in university governance. The governance system ensures broad participation by faculty, staff, and students in setting academic requirements, policy, and processes; and, in the case of Student Senate, for allocating approximately $20 million annually in student fees. The presidents of the Lawrence and Medical Center faculty senates sit on the KBOR Council of Faculty Senate Presidents. Participation and communication occur at many levels:

- Administrative meetings such as the Chancellor’s Policy Group and the provost’s regular meetings with deans.
- University governance.
- Provost’s committees.
- Provost’s task forces.

Key Administrative Meetings

The chancellor meets weekly with each executive vice chancellor and monthly with the following groups: Board of Regents, athletic director, faculty athletic representative, Chancellor’s Cabinet, and the president and vice president of KU Endowment. She meets once per semester with presidents of the Faculty Senate, University Senate, Unclassified Senate, and University Support Staff Senate. Additionally, she chairs the KU Center for Research Board and the Athletic Board, which meets once per semester. The chancellor and provost meet regularly during the academic year with the student body president.
and vice president. The chancellor attends University Senate and Faculty Senate meetings when her schedule permits.

The provost and executive vice chancellor meets monthly with the following groups: Board of Regents; Regents Council of Chief Academic Officers (more frequently as needed); deans individually and as a group; presidents of the Faculty Senate, University Senate, Unclassified Senate, and University Support Staff Senate; and with his leadership council consisting of deans and vice provosts. He also meets weekly with vice provosts and attends University Senate and Faculty Senate meetings when his schedule permits.

The executive vice chancellor of the Medical Center meets monthly with: Board of Regents, Regents Council of Chief Academic Officers, Chancellor’s Cabinet, deans, School of Medicine basic science department chairs, and the Medical Center Faculty Assembly. He meets with the School of Medicine’s clinical department chairs three times per semester and quarterly with the Medical Center Student Governing Council.

University Governance

Overview of the KU Lawrence/Edwards Governance System
KU has a long history of shared governance and is the only institution in the Big XII with a University Senate. The University Senate consists of representatives from four constituent senates: Faculty Senate, Student Senate, Unclassified Senate, and University Support Staff Senate.

According to the University Senate Rules and Regulations, each has a different role, but no senate is subordinate to another. Each has its own executive committee that sets charges and agendas for full senate meetings and appoints standing committee members. University Governance is supported by an office with two full-time employees, an administrator, and an administrative associate.

Governance bodies develop, amend, and monitor university policies in a variety of areas. Although governance plays a vital role in the development and implementation of university policy, the ultimate legal authority to decide rests with the chancellor. The University Senate is unique to the extent that students, faculty, and staff participate in decision making.

University Senate Rules and Regulations specify that students must fill 20 percent of the seats on policy-making committees at the university and academic unit-level. Although outnumbered on University Senate, students have a particularly powerful voice that is valued and ultimately influential. A particularly good example of this is the student role on the Planning and Resources Committee. KU governance operates on a committee system that refers issues to one of several standing committees of the University Senate (nine committees) or Faculty Senate (six committees). Charges to all committees are listed on Governance’s website. Governance is also directly responsible for the Judicial Board.

### Overview of Senates, Their Membership and Functions

<table>
<thead>
<tr>
<th>Senate</th>
<th>Membership</th>
<th>Functions</th>
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<tbody>
<tr>
<td>University Senate</td>
<td>13 students reps from Student Senate, 6 reps from University Support Staff Senate, 6 reps from Unclassified Senate, 39 faculty members who also serve on Faculty Senate.</td>
<td>Recommends rules and regulations and policies affecting faculty, students and staff. Examples include the Academic Calendar, academic policies and procedures such as the Course Repeat Policy.</td>
</tr>
<tr>
<td>Faculty Senate</td>
<td>39 faculty members elected at-large. Each academic unit must be represented.</td>
<td>Recommends rules, regulations and policy on behalf of faculty. Recommends nominees for University Committees.</td>
</tr>
<tr>
<td>Unclassified Senate</td>
<td>51 senators from a cross campus.</td>
<td>Advocates for employee recognition and workplace improvements. Manages a staff professional development fund.</td>
</tr>
<tr>
<td>University Support Staff Senate</td>
<td>13 senators.</td>
<td>Advocates for employee recognition and workplace improvements. (As part of the Classification and Market Study, USS positions are being phased out. The future of the Unclassified Senate and USS is being determined).</td>
</tr>
<tr>
<td>Student Senate</td>
<td>Approximately 98 senators and 11 executive officer positions.</td>
<td>Primary advocate for students on campus. Allocates $24 million in student fees. Student Senate also represents the KU student voice within University, state, and national governance.</td>
</tr>
</tbody>
</table>
The Documents of Governance

The structure, functions, and rules of governance are formalized in the following documents: University Senate Code (CODE), University Senate Rules and Regulations (USRR), and Faculty Senate Rules and Regulations (FSRR). Copies of these documents are available in the Policy Library.

- The CODE details the organization, structure, responsibilities, and membership of governance committees and boards, and describes amendment procedures.
- The USRR establishes and describes the procedures governing university-wide policies on academic schedules, academic work and evaluation, graduation and degrees, publications, conflict resolution, financial exigency, and program discontinuance.
- The FSRR establishes and describes the procedures governing university-wide policies on admission, placement examinations, resident and nonresident study, academic work, promotion and tenure standards and procedures, sabbatical leave procedures, confidentiality of official faculty personnel records, and classified research.

Formal action to amend any part of these documents requires University Senate Executive Committee/Faculty Senate Executive Committee review and approval, notification to the University Community with an opportunity for comment, University/Faculty Senate review and approval, and final approval by the chancellor.

University/Provost Standing Committees

In addition to governance committees, KU has a number of representative standing committees that are overseen and managed by the Provost’s Office, in consultation with governance leaders.

- The University Committee on Promotion and Tenure (UCPT) is the university-wide review committee that evaluates and recommends candidates for promotion and tenure to the chancellor. It includes 10 faculty members plus the provost. The Faculty Senate has a representative on UCPT. Members are appointed by the provost in consultation with Faculty Senate. See Criterion 3.C.3 for more information.
- The University Committee on Sabbatical Leaves (UCSL) is the university-level review committee for all sabbatical leave proposals that come forward from academic units. The committee consists of nine faculty members appointed by the provost in consultation with the Faculty Senate Executive Committee and is chaired by the provost. The provost only votes in cases of ties. See Criterion 3.C.4 for more information.
- The University Committee on Distinguished Professorships (UCDP) is a committee of six faculty members nominated by the Faculty Senate Executive Committee and five named or distinguished professor selected from nominations made by the Council of Named and Distinguished Professors. Members are appointed by the provost with recommendations from Faculty Senate Executive Committee.
- The University Core Curriculum Committee (UCCC) was established in 2013 to develop, sustain, and oversee the KU Core curriculum. The committee includes one tenured or tenure-track faculty member from each of the five divisions of the College of Liberal Arts and Sciences and one from each of the professional schools with undergraduate programs. Three students serve as voting members on policy matters.
- The University Academic Assessment Committee, also recently established by the Provost’s Office, currently has 16 members, one from each school and division in the College plus a representative from the Edwards Campus and the KU Libraries. Its function is to provide guidelines, support, and
feedback on the assessment of student learning and the use of assessment results to improve student learning. See Criterion 4.B.

- The Tuition Advisory Committee consists of the provost/executive vice chancellor, deans (rotating), vice provost for administration and finance, university director for institutional research and planning, a governance representative, faculty, and students. Its purpose is to recommend to the chancellor tuition increases for the upcoming academic year.

- The Executive Council of Graduate Faculty reports to the dean of graduate studies. It approves new graduate programs and certificates and determines policies governing graduate education. The membership of the Executive Council is representative of the graduate faculty on KU’s Lawrence campus. One member from each of the professional schools and one from each of the five divisions of the College are appointed to staggered three-year terms, with nomination and selection within the representative’s school/College.

**Representation on Major Task Forces/Work Groups**

Frequently the chancellor and provost take on large tasks for which wide representation from the campus is needed. When such needs arise, the provost typically seeks nominations from the appropriate governance body as well as from deans and other leaders. Examples of such task forces include:

- Task Force on Retention and Graduation.
- Strategic Planning Steering Committee and committees for each major goal.
- Post-Tenure Review Committee.
- Social Media Procedure Committee.

**School/College and Affiliate Governance**

Participation does not just occur at the university level. Each school/College has bylaws and an established structure and processes for including faculty, staff, and students in decision making. Individual schools and the College have internal processes and committees that support the role of faculty in reviewing and establishing school specific curriculum, expectations for student performance, personnel committees that review faculty members for promotion and tenure and sabbatical leaves, and qualifications of instructional staff.

Additionally, each affiliate — Center for Research Inc., KU Endowment, Kansas Athletics Inc., KU Alumni Association, and KU Memorial Unions — has its own governing board and bylaws.

**Medical Center Governance**

The Medical Center campus has a governance system separate from that on the Lawrence campus. The charter, a description of the governmental organization, and the bylaws are available in the Medical Center Handbook for Faculty and Other Unclassified Staff.

The Faculty Assembly is a joint body consisting of faculty from the Medical Center. The assembly is concerned with the definition of educational goals, objectives, programs, and policies of the Medical Center, as well as the planning and development of faculty and support for research, and provides advice to the administration on these matters.
It is composed of the following subdivisions: the medical faculty including the Wichita campus, the nursing faculty, the health professions faculty, and the faculty of the Department of Pharmacy Practice. Each school has its own faculty organization with appropriate standing committees. The Faculty Assembly meets at least twice each year, and the presiding officer for the Faculty Assembly is the chair of the Faculty Assembly Steering Committee.

Standing committees for the Faculty Assembly include those for election, research, inter-campus liaison, resource planning and new programs, library, faculty concerns and policies, appeals, and informatics.

Faculty and staff working in the hospital or clinics are governed by the Medical Staff Bylaws, Patient’s Bill of Rights, and the Hospital Ethics Handbook, which are available in the Office of the Chief of Staff of KU Hospital, and by the *Human Resources Policy and Procedures Handbook*, which is available in the Hospital Authority Human Resources Office.

**Student Governing Council** is the primary student governing body at the Medical Center. Representatives for graduate, undergraduate, and medical students from the Schools of Health Professions, Medicine, and Nursing comprise the council.

**Graduate Student Council** is the primary governing body for graduate students at the Medical Center. Graduate students from the Schools of Health Professions, Medicine, and Nursing comprise this council.

**Working with Governance**

KU has robust processes in place to allow for shared governance and input into various initiatives and decisions, but members of constituent senates who participated in focus groups for the Self-Study expressed some concern that central decision-makers don’t seem to listen to or value their input despite the multiple forums provided for them. Results of the 2011 COACHE (Collaborative on Academic Careers in Higher Education) survey of faculty provide some support for this view. Satisfaction with senior leadership was slightly above average.

Significant change at KU has happened very rapidly in the last five years. Implementation of some of the *Changing for Excellence* recommendations, and of technology systems changes in particular, has been difficult. There have been some concerns about using external partners to put academic programs online and to recruit international students. Raises have occurred each of the last four years but were preceded by two years of no increases. Declining resources call for more inclusive but centralized planning and rapid decision making. When faculty and staff are called to align with centralized processes quickly, they experience a loss of autonomy. Some dissatisfaction is to be expected as a result. That said, attention to employee morale and involvement in decisions drive many of the efforts to achieve the aspirations set forth in Goal 5 of the strategic plan, namely, *Recruit, value, develop, and retain an excellent and diverse faculty and staff*, and the overall goals of *Bold Aspirations*. The Provost’s Office is engaging in the following activities to advance these concerns:

- Provost Jeffrey Vitter and his leadership team of deans and key vice provosts jointly meet every other week, often in a discussion and brainstorming format. The larger leadership team holds semiannual planning retreats.
- Every other week, Provost Vitter sends to all faculty, staff, and students *Provost eNews* that typically deal with aspects of the strategic plan and the resulting changes and opportunities.
• The provost and/or chancellor regularly attend University Senate and Faculty Senate meetings and meet regularly with the student leadership. In addition, Provost Vitter meets regularly with the faculty and staff leadership. During Chancellor Gray-Little’s visit to a University Senate meeting at the end of the spring semester, she was invited to answer questions on a number of topics.

• Each year, Provost Vitter visits nearly every academic department in a faculty meeting setting to have an open discussion led by the faculty, and he has similar meetings regularly with staff units.

• Vice Provost for Administration and Finance Diane Goddard has conducted several employee climate surveys over the last three years to monitor staff satisfaction and morale in those units who have experienced the most change. Those results show increasingly positive trends.

• The provost did an extensive 360 degree review of his own performance and provides regular updates on progress of recommendations.

• Provost Vitter has convened four ongoing advisory groups — two of faculty members, one of unclassified staff and one of university support staff members.

• A climate survey is being developed to be administered during FY 2015 with the intent to be conducted on a regular cycle of every two to three years. KU has participated in the Collaborative of Academic Careers in Higher Education (COACHE) surveys for three cycles (2005, 2008, 2011) that provides some perspectives on campus climate but is limited to only faculty. A broader survey of all faculty and staff is being planned.

**Core Component 5.C**
The institution engages in systematic and integrated planning.

**Overview**

Since 2000, KU has engaged in three, inclusive comprehensive planning exercises. The most recent were initiated under Chancellor Gray-Little, Provost Vitter, and former Medical Center Executive Vice Chancellor Barbara Atkinson and resulted in **Bold Aspirations**, the plan for the Lawrence and Edwards campuses and the Medical Center Strategic Plan. Both comprehensive plans focus on education, research, human resources, diversity, and using the university’s resources for public impact. Strategic plans are integrated with the comprehensive campus master plans. Resource allocation decisions are tightly coupled to plans. For example, assessment of data around courses resulting in high rates of grades of D, F, and W led to investment in the **MySuccess** early warning system and programs such as First-Year Seminars and course redesign. New faculty positions typically align with one of the university’s strategic research initiative themes. The administration holds itself to transparency in attaining these goals by annually publishing progress.

**Narrative and Evidence**

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

As described earlier, the budget process provides a mechanism to link funding to desired outcomes for student learning, operational effectiveness, and other strategic planning initiatives.

Examples of specific decisions related to **Bold Aspirations** include:
• **Goal 1 — Energizing the Educational Environment**
  - The university has reorganized existing resources and added other resources, which have been allocated to enhance undergraduate education.
  - Funding has gone to develop undergraduate research, experiential learning, first-year seminars, learning communities, and a Common Book program to engage students in the intellectual activities of the university when they first arrive on campus.

• **Goal 2 — Elevating Doctoral Education**
  - Tripled the amount of funding for doctoral fellowships disbursed across campus from the dean of Graduate Studies.
  - Twelve newly created Chancellor’s Doctoral Fellowships will help recruit and support doctoral students at the university with a stipend of $25,000 per year in addition to tuition and fees.

• **Goal 3 — Driving Discovery and Innovation**
  - The Research Investment Council, funded by Changing for Excellence, funds research initiatives related to the four strategic themes through a competitive two-level grant program. Level I awards support large requests (up to $300,000) for multidisciplinary proposals. Level II awards are targeted to small requests (under $50,000) to support preparation of proposals with application deadlines in the near future.

• **Goal 4 — Engaging Scholarship for Public Impact**
  - KU Innovation and Collaboration (KUIC) is a 501(c)(3) with a 13-member board chaired by the provost. KUIC partners with corporations and brings KU innovation to the marketplace for the benefit of society and the university.
  - The Experiential Learning Collaborative brings together staff from the Center for Civic and Social Responsibility, Center for Undergraduate Research, International Programs, Student Involvement and Leadership Center, Office of First-Year Experience, Study Abroad, and University Career Center to develop, expand, and promote experiential learning on the campus.

• **Goal 5 — Developing Excellence in People**
  - In order to attract and retain excellent faculty and staff, the university recognizes that it must offer competitive salaries. Because the last state salary increase was in FY 2009, pay raises over the last five years have been centrally funded.
  - Savings from Changing for Excellence have been invested in attracting Foundation Distinguished Professors and recruiting top faculty through the Bold Aspirations Visitor and Lecture Series.

• **Goal 6 — Developing Infrastructure and Resources**
  - KU’s 2014–2024 Campus Master Plan includes extensive analysis and reports on space and classroom utilization, historic patterns and resources, land use, program accommodation, sustainability, and coordination with the local community. It is designed to be a living plan and will be revisited in the future and adjusted as needed.
  - KU works to acquire funding from the state and from private sources to improve the physical infrastructure of the campus. For example, the new $70.5 million School of Business building, to be completed in 2016, is being funded primarily through private support.
5.C.2. The institution links its processes for assessment of student learning, evaluation of operations, planning, and budgeting.

Systematic program review for academic units at KU, as described in more detail in Criterion 4.A, informs planning and budgeting decisions. As required by the regents, all academic degree programs are reviewed every eight years. Departments are asked to reflect on data about their department, programs, and degrees. The dean of the program’s school, the graduate dean, the senior vice provost, and a faculty representative review the department’s response. The review is designed to help set priorities for the program and may be used by the dean to set budgetary priorities. For example, the last round of program review indicated that the Museum Studies program, while strong, did not have a core identity and suggested a central set of courses and activities that bring all students together. In response, the College of Liberal Arts and Sciences ran an external search for a new director for the program with the mission to create a central core for the program, which has now been accomplished. An additional example is the creation of the School for Language, Literature, and Cultures (to be launched Fall 2015) within the College of Liberal Arts and Sciences. The school will provide infrastructure, support, and stability for smaller language programs while maintaining the ability to continue teaching over 40 languages on campus.

In order to support KU’s retention initiatives, the university has established first-year seminars, a Common Book program, the experiential learning collaborative, an office for undergraduate research, additional focus on study abroad, internship opportunities, and other student-focused retention programs. Programs are assessed routinely and expanded and modified as needed based on that assessment.

Both the Campus Master Plan and the report from the provost’s Task Force on Course Redesign call for flexible space and appropriate facilities for faculty and students to be responsive to student learning. KU will expand on the construction of relevant learning environments, including new math classrooms in Strong Hall, renovated classroom space in Stauffer-Flint and Wescoe Halls, and learning community space in the libraries. In addition, new buildings for the School of Business and School of Engineering and the new Earth, Energy and Environment Center will primarily feature active learning classrooms, including lecture halls. The Task Force on Course Redesign also targets courses with high rates of grades of D or F or withdrawals for redesign.

The 2005 Graduate in Four task force made numerous recommendations (see Criterion 4.C) following a review of student performance measures, such as minimum credit hour enrollment, withdrawals, and application for degree.

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

In the 2010–2011 academic year, the campus and Lawrence community engaged in a strategic planning process to create a five-year plan that would transform the university at all levels to meet state demand for a world-class research university. This effort resulted in Bold Aspirations.

The strategic plan steering committee, co-chaired by the provost and a distinguished professor, first convened in October 2010. The 50-plus members of the committee began with a frank, data-driven analysis of KU’s strengths, weaknesses, opportunities, and threats that created an immediate sense of
urgency and excitement. Direct comparisons were made between KU and its peer universities and fellow members in the Association of American Universities in areas such as federal research expenditures, faculty awards, first-year retention, six-year graduation rates, and graduate research support. As the steering committee proceeded, it formulated six key goals based upon its discussions and the data presented. Goals 1–4 focused on undergraduate education, doctoral education, research, and engaged scholarship. Goals 5 and 6 — revolving around developing people and resources — served as enabling goals.

For the important work of developing the strategies and action steps for achieving the first four goals, the steering committee formed four cross-campus work groups:

1. Energizing the (Undergraduate) Educational Environment (EEE).
2. Elevating Doctoral Education (EDE).
3. Driving Discovery and Innovation (DDI).
4. Engaging Scholarship for Public Impact (ESPI).

A distinguishing feature of KU’s strategic planning effort was its level of transparency. At the start of the process, the steering committee publicized to the KU community — for the first time in the university’s history — the comparative statistics and assessment from its first meeting. The four work groups would take additional steps to ensure campus engagement.

Another key aspect of the planning process was the level of involvement. Focus groups were held with hundreds of faculty, staff, students, alumni, and external partners. Campus-wide town hall meetings, also viewable on the web, provided regular opportunities for input and updates. There were opportunities for faculty members to get personally involved. For example, departments prioritized the educational goals for the KU Core undergraduate curriculum in departmental faculty meetings, and those discussions — along with other focus groups involving faculty, students, and alumni — led to the resulting consensus. Another example is the proposal process for the strategic initiative themes, described below.

One unique aspect of Bold Aspirations is a focus on big, bold research initiatives that harness KU expertise and address some of the world’s compelling grand challenges. The DDI work group launched a process in Fall 2010 to identify campus-wide research priorities that build upon KU’s intellectual strengths, tap into additional funding resources, and make the world a better place. The resulting priorities became KU’s four strategic initiative themes:

1. Sustaining the Planet, Powering the World.
3. Building Communities, Expanding Opportunities.
4. Harnessing Information, Multiplying Knowledge.

The priorities were developed following a campus-wide call for strategic research proposals with clear criteria and vetting process. The resulting conversations and collaborations by faculty, staff, and students across campus were energizing. To help inform those conversations, the College and every school, as well as several research centers, publicized a list of their areas of emphasis and expertise.
A total of 104 strategic research proposals were posted publicly for review and comment. Over 900 individuals took part as authors, on average each participating in 2.5 proposals. National experts, a panel of KU faculty, and deans of the schools and the College reviewed the proposals and combined the most promising ones into the four themes that form the four strategic initiatives.

*Bold Aspirations* launched in October 2011 following this vigorous campus-wide strategic planning effort that began in 2010. Over 160 individuals — representing thought leaders from faculty, staff, students, alumni, and the surrounding community — took part in the steering committee, its four work groups, or the four strategic initiative summit planning groups. Other planning activities involve internal and external constituents.

- Many KU academic, student support, and research units have advisory boards that include current faculty and staff, students, alumni, and industry leaders.
- KU’s external constituent groups include alumni, state policymakers, local government officials, business groups, citizens, and external grant funding agencies. Outreach occurs with each of these groups. The Alumni Association and KU Endowment leverage a well-organized and structured alumni membership group, and public affairs staff and legislative liaisons meet regularly with state and federal officials to share priorities and perceived opportunities. The chancellor, executive vice chancellors, provost, vice provosts, and deans assume responsibility for outreach to these constituents.
- The KU 2014–2024 Campus Master Plan involved hundreds of individuals in focus groups, interviews, and charrettes. Several campus and Lawrence community open forums were held.
- In 2011 the Medical Center developed its [Facilities Master Plan](#) over a six-month period through an interactive process with participation from the administration, facilities, utilities, parking, and transportation work groups, and representatives from research, School of Medicine, School of Nursing, and School of Health Professions.

5.C.4. The institution plans on the basis of a sound understanding of its current capacity. Institutional plans anticipate the possible impact of fluctuations in the institution’s sources of revenue, such as enrollment, the economy, and state support.

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

In the quickly evolving higher education environment, it is imperative for KU to find ways to retain a competitive advantage. State support for higher education has declined over the past decade. The federal research budget has been strong but is now declining slightly. Tuition cannot be increased enough to cover shortfalls from state budget cuts and declines in the number of Kansas students.

Leadership at KU has moved aggressively over the last decade to manage the impact of these fluctuations. The university heavily lobbied the Legislature so that programs important to the state (School of Pharmacy and School of Engineering) would receive strategic investments to allow enrollment growth to provide an increased number of engineers and pharmacists for Kansas.

Enrollment management, while still focused on recruiting talented students from within the state, has strategically increased investments to increase out-of-state and international enrollment, resulting in a
change of enrollment mix from a longtime 70 percent in-state/30 percent out-of-state student mix to a current 65 percent/35 percent mix. In addition, the creation of the Center for Online and Distance Learning and a partnership with Everspring are increasing the numbers of students taking online courses and enrolling in online degree programs. The KU Academic Accelerator Program’s goal is to double international student enrollment.

Beginning in Fall 2010, significant investments were made centrally, as well as through additional support received from KU Endowment, KU Athletics and KU Alumni Association, to establish the necessary systems, structures, and technologies to elevate and enhance the university’s market position and market profile.

Through the additional investment and greater alignment of marketing, recruiting, financing, and academic support services functions, the university has developed and implemented a comprehensive and data-oriented recruitment campaign to systematically and strategically identify and cultivate relationships with students and their families. As early as sixth grade, potential students are input into a customer relationship management system, which manages communications and touchpoints with students and their families, from the time of initial inquiry through their first day of class. KU has implemented a variety of tactics and strategies (direct mail, e-recruitment, on/off-campus programming, adoption of territory management approach) to increase inquiry and application volume. In cooperation with academic units, financial aid has been realigned to support the achievement of new student enrollment goals.

These efforts have been recognized as “best practice” approaches to enrollment management. KU staff have been frequent presenters at regional, state, and national conferences on a variety of enrollment management topics including search, customer relationship management, use of data and data visualization tools, and minority recruitment. First-year enrollment has increased each of the past three years, and overall enrollment increased in Fall 2014. The university is monitoring growth carefully, as leaders are aware that exceeding approximately 30,000 students will require growth in physical infrastructure.

Research funding from federal and state agencies, foundations, and companies is particularly sensitive to economy-driven fluctuations. The annual research strategic plan is produced with these potential fluctuations in mind and reflects the best available information and current thinking of senior leadership. Estimates of future resources are based on conservative principles using appropriate models.

In response to the federal sequester in early 2013 that triggered automatic federal budget cuts, the Office of Research took the following steps:

- Created a website prior to the sequester’s start that provided as much background information as possible, including information generated by AAU, news releases and statements from Congress and the White House, and third-party summaries of probable impacts. The site was maintained for several months.
- Sent memos to the KU research community as implementation of the budget sequester approached and once it took effect.
• Formed a diverse working group (human resources, research, finance) that met regularly to identify likely consequences and prepare actions to meet them. One outcome of the working group was the development of a revised KU policy concerning Furlough and Temporary Salary Reduction.

• Committed to hold graduate students funded by at-risk grants harmless at least through the end of the Spring 2013 semester.

**Bold Aspirations** recognized the need to increase corporate- and foundation-sponsored research and faculty and staff entrepreneurship at KU, which led to the hiring of an associate vice chancellor for innovation and entrepreneurship and the creation of KU Innovation and Collaboration. Between FY 2011 and FY 2013, licensing revenue at KU increased by a multiple of four, licensing agreements increased by 15 percent, patent issues increased by 131 percent, and industry-sponsored research increased by 40 percent.

A change in information technology structure led to the hiring of a chief information officer with strong technical and IT management skills and strategic investment in technology infrastructure over the last five years. IT has created a high-speed computing facility to meet the emerging data needs of researchers, implemented imaging and document management software to eliminate paper, and upgraded all enterprise systems. As part of **Changing for Excellence**, KU is centralizing all IT support staff to provide for shared standards and consistent customer service, centralizing and virtualizing most servers on campus, and increasing use of multifunction devices for better office support.

Relief from some state regulations has given KU increased flexibility to respond to changing dynamics. KU was the first regents institution to move employees away from the state’s civil service system and create University Support Staff. KU also gained purchasing autonomy to negotiate contracts as well as develop a sophisticated strategic sourcing function. These changes, made almost 10 years ago, have provided tremendous flexibility as state resources have declined.

**Core Component 5.D**
The institution works systematically to improve its performance.

**Overview**

Since 1972, when the Office of Research and Planning was established, KU has built a rich tradition of collecting, analyzing, and using data about all aspects of its performance to improve institutional effectiveness. Databases such as the Departmental Executive Management Information System and the Academic Information Management System provided information for academic department and program decisions. More recently, the Office of Enrollment Management and units dedicated to improving student retention and graduation rates started using sophisticated data analytics tools to improve student recruitment, retention, and progression. **Bold Aspirations** and **Changing for Excellence** were informed by data and are scrupulous in collecting and reporting data about progress toward goal or project completion.
Narrative and Evidence


5.D.2. The institution learns from its operational experience and applies that learning to improve its institutional effectiveness, capabilities, and sustainability, overall and in its component parts.

KU understands the importance of developing and documenting the performance in its operations. KU strives to present that information in a transparent manner and use the information to make progress on achieving its institutional goals.

- Kansas is one of the nearly three-quarters of all states to utilize a form of performance-based budgeting for higher education. Each year KU reports to the Board of Regents on its progress on several key performance indicators. Current performance indicators include number of certificates and degrees awarded; first- to second-year retention rates; percent of certificates and degrees awarded in STEM fields; federally financed research and development expenditures; ranking among public institutions; commercialization and entrepreneurship; level of philanthropic support; and number of experiential learning certificates.
- The Board of Regents requires program reviews of all degree programs every eight years, as described in Criterion 4.A.
- Each year the chancellor releases an annual report on progress made toward advancing the goals of Bold Aspirations. The report highlights accomplishments and outlines next steps. The chancellor also prepares an annual update for the Board of Regents. Performance metrics for each of the goals are available on the provost’s website.
- The Medical Center Strategic Plan Progress Report also is available annually.
- The Departmental Executive Management Information System (DEMIS) is a password-protected web-based planning and management information system sponsored by the Office of Institutional Research and Planning. DEMIS provides operational and analytical data and reports including academic, human resources, financials, space usage, student administration, financial aid, and enrollment management. The Academic Information Management System (AIMS), within DEMIS, provides academic units with data about enrollments, credit hour production, teaching loads, and comparison data with AAU peers to be used to inform program review. AIMS is regularly used to inform academic unit decision making.
- The Office of Enrollment Management, University Advising, and various academic units use visual analytics dashboards created with Tableau software to track student enrollment and performance. These dashboards allow the units to “slice and dice” the information dynamically while seeing the data presented in graphical (or geographical) formats. The Office of Enrollment Management uses the data to target recruiting efforts. The Advising Center uses these data in several ways. It provides advisors with robust information to use in advising sessions with all students, but particularly those who are more at risk of dropping out or not succeeding. These data also can be used to help students make informed major choices.
- The university participates in the AAU Data Exchange (AAUDE). Each year KU submits data to share with other AAUDE institutions. Examples of exchange items include faculty and administrative salaries; doctoral and undergraduate time to degree; retention rates; tuition and fees; and doctoral exit survey results. AAUDE maintains a data warehouse of the exchanged items. With these data, KU can compare its progress on many metrics to the positions of other institutions in the AAU. For
example, Goal 2 of *Bold Aspirations*, Enhancing Doctoral Education, was informed by AAU data about doctoral time to degree.

Several examples across the criteria, including **Criterion 5**, demonstrate the use of data in guiding university decisions. In particular, *Bold Aspirations* and *Changing for Excellence* were both guided by a review of KU’s performance and a comparison to peers, and are being tracked regularly with a set of pre-determined metrics.

- **Learning Communities.** Goal 1 of *Bold Aspirations* calls for the establishment of learning communities for first-year students. The university first piloted learning communities in 2008, but the program was discontinued as part of reductions in state funding. Lessons gained from the 2008 program, though, are informing the work by a team that created a plan to relaunch learning communities and develop a new identity for the program. To this end, a team of faculty and staff participated in the 2014 National Summer Institute on Learning Communities hosted by the Washington Center at the Evergreen State College. The institute enabled teams to develop, with input from national experts on undergraduate education, two-year plans to expand learning communities on their home campuses. Oliver Hall launched its first learning community in Fall 2014, “Sport, University, and You.” Another learning community introduced in Fall 2014, “Building a Better Future World,” featured block enrollment in selected courses. Student performance is being measured to guide development of future programs.

- **Office of Institutional Research and Planning.** Evidence of performance is documented by the Office of Institutional Research and Planning, which provides decision-support information to university managers via hardcopy reports and online in the **Departmental Executive Management Information System** (DEMIS). Using a standard web browser, DEMIS delivers frequently requested analytical information to administrators via a password-protected website. Initially DEMIS presented statistical overviews that the Board of Regents and its universities used to evaluate the effectiveness and viability of academic programs. DEMIS also provides additional queries and datasets, developing over time from a few static web pages to a campus management portal. Reports are provided for several broad areas of information, including academic, student administration, human resources/payroll, financial/budget, and scholarship administration. The Office of Institutional Research and Planning displays data via Tableau, another delivery mechanism to make data more widely available and more easily used in decision making throughout the institution. Such data have been used to improve enrollment management functions, inform course redesign, and target investment in high-impact practices.

- **Data collection and analysis.** KU regularly collects and analyzes data on operational changes, such as the development of Shared Service Centers, one of the *Changing for Excellence* initiatives. Those data are used to modify and adapt implementation as necessary.

- **Changing for Excellence.** The campus review launched in April 2011 as part of *Changing for Excellence* resulted in an initial overview of campus operations and the generation of 10 initiatives identifying specific opportunities for savings, efficiencies, and more effective delivery of services. The initiatives are archived on the *Changing for Excellence* website for each of the 10 cases. As the individual initiatives have progressed, regular reports posted on the website detail the continued gathering of information to guide decision making and generate new opportunities. For example, in the past year staff in Design and Construction Management have realized $1.6 million in savings by implementing strategies in the construction business case around the “Four R’s”: revamping construction procurement; realizing where it’s feasible to self-perform design, project management,
and construction; recovering or avoiding costs through construction auditing; and recouping revenues from historic rehabilitation and energy efficiency tax credits.

- **Building Sustainable Traditions.** An additional significant example is the creation of Building Sustainable Traditions, a plan for the Lawrence campus. In 2010 over 120 individuals participated in crafting a plan that provides concrete goals, objectives, strategies, and action steps to incorporate sustainable practices into core functions to help the university make smart economic decisions, reduce its social and environmental impacts, and recruit and retain interested, involved and diverse students, faculty, and staff.

**Criterion Five Summary**

KU has never been flush with resources and has always done a lot with relatively little. The most recent strategic plan, **Bold Aspirations**, ensures that the entire university has defined priorities appropriate to its mission and that its limited resources will be directed to achieving those priorities. As is true for most public universities, KU has come to rely more heavily on student tuition to meet its obligation of providing the high-quality education and world-class research expected of it. Consequently, it has sought to define new sources of revenue through **Changing for Excellence**, increasing research productivity, increasing its student base through careful enrollment management, and embarking on an ambitious capital campaign. Without additional resources, KU simply could not compete with its better-resourced peers. Its staff is well-trained and remarkably stable. KU has made significant investments in its technological infrastructure. Master plans for the Lawrence and Medical Center campuses will drive investment in the physical infrastructure to ensure instructional space meets contemporary learning needs. An Office of Institutional Research and Planning was established in the 1972 with the recognition that data should inform planning and decision making. That tradition has continued to the present day. Finally, institutional effectiveness is enhanced through a comprehensive system of shared governance.

**Strengths**

- **Bold Aspirations** is a carefully crafted strategic plan to advance the university. The plan is publicized widely and drives decision making in all corners of the university. Central administrators are using a wide range of metrics to track progress toward the goals and provide publicly available annual updates. **Bold Aspirations** is integrated with other planning processes, such as the student affairs strategic plan, plans of the academic units, and master planning efforts on both campuses that build on the goals of **Bold Aspirations**.

- **Changing for Excellence** comprises the restructuring of 11 administrative and operations activities. Savings are being invested in the **Bold Aspirations** strategic plan. They are supporting the creation of 22 additional faculty positions (as part of 64 new positions), major new science buildings, research seed funding, student recruitment and retention, course redesign, a classification and market study, library subscriptions, and graduate student funding.

- The amount of federal research dollars generated by KU faculty and staff has increased significantly since 2003. Achieving National Cancer Institute designation for the KU Cancer Center bodes well for continued increase in research dollars and the impact of research conducted.

- KU’s distinctive system of shared governance in which students, faculty, and staff come together in University Senate to formulate policies that affect the entire campus has served it well. Through Student Senate, students have considerable influence through the student fee money they allocate
to various activities. As members of the Tuition Advisory Committee, students are actively involved in recommending tuition increases and how those resources will be allocated.

- The Johnson County Research Triangle tax to support investment in academic programs is a unique partnership to advance the science and technology workforce in the Kansas City metropolitan area. It has contributed to a new building on the Edwards Campus and supported additional programs at Edwards Campus and clinical trials at the Medical Center.
- KU has long used data to inform decisions. The Office of Institutional Research and Planning (OIRP) maintains data on a wide range of topics to support an equally wide range of decisions. The Department Executive Management System (DEMIS) was developed in the mid-1990s to provide administrators with access to data to support their decision making. Although DEMIS remains central, it is supplemented by data from external surveys such as NSSE and internally developed instruments such as the Senior Survey. OIRP has played a key role in developing the predictive models used in enrollment management and advising. Data have informed retention efforts and the key Bold Aspirations strategies.

Challenges

- Revenue remains a continuing concern. Stabilizing and growing enrollment as well as instituting efficient business practices will be important in the current economic climate.
- Faculty and staff morale in a time of rapid change is a concern. KU cannot achieve its aspirations without a high-quality and thoroughly engaged faculty and staff. Although it is easy to attribute perceptions of low morale to “change is difficult,” the reasons are likely more complex. Many initiatives have been implemented very rapidly, and some business process changes have not initially worked well, causing frustration and requiring rethinking and reimplementation. Reactions to some of the new sources of enrollment growth and revenue (e.g., Everspring, Shorelight Education) have not always been positive, in part because they were developed rapidly, without review through governance channels. There is concern over creation of Shared Service Centers. In order to ensure that faculty and staff remain committed to the institution and to the change necessary for KU to achieve its goals and objectives, constant attention must be given to understanding the current campus climate and identifying ways to respond as necessary.
- Maintaining strong shared governance will continue to be important as rapid decisions and change efforts clash with a deliberate culture of slower, more traditional methods.

Future Directions

- The state’s financial situation and support for higher education in general, and KU in particular, will determine KU’s planning and resource allocation strategies into the future. Given that state financial support is unlikely to increase in the near future, KU will need to continue to be entrepreneurial in a way that is consistent with its mission. In addition to public-private partnerships with Shorelight Education and Everspring, new partnerships may help address infrastructure needs identified in the Campus Master Plan.
- The current strategic plan, Bold Aspirations, provides guidance for the university through 2017. Within the next few years, KU will enter a new planning phase by developing a new plan or extending and modifying the current plan.
• KU managed the effects of the federal government shutdown and sequestration on its research operation through careful planning. Use of internal funds, such as those from *Changing for Excellence*, along with leveraging federal research dollars will be key to remaining competitive.

• Serious consideration to faculty and staff salaries is necessary. KU has managed to keep up with its peers in recent years through modest increases. But as the economies in other states improve, KU may find itself once again falling behind and at the risk of losing its strongest faculty members and administrators if salary increases remain low.