



UNIVERSITY OF PUERTO RICO AT **Carolina**

Monitoring Report to the Middle States Commission on Higher Education

March 1, 2011

Date of Small Visit:
April 2-8, 2011

Submitted by

Prof. Trinidad Fernández-Miranda
Chancellor





March 1, 2011

Mary Ellen Petrisko, Ph.D.
Vice President
Middle States Commission on Higher Education
3624 Market Street
Philadelphia, PA 19104-2680

Dear Dr. Petrisko:

Enclosed is the Monitoring Report that documents the progress made in the implementation of the UPR System and UPRCA Action Plans.

Along with the Report, we are including various documents in the Appendix that provide more detail on the achievements and compliance with the Standards of Excellence.

I am available for any clarification regarding this Monitoring Report.

Sincerely,

Trinidad Fernández-Miranda
Chancellor

Enclosure

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ELECTRONIC DOCUMENT INCLUDED WITH THIS REPORT

- ADDENDUM 1** University of Puerto Rico Central Administration Follow-Up Report: University of Puerto Rico Action Plan for Sustained Compliance with the Leadership and Governance, Educational Offerings, and Institutional Resources Standards of Excellence of the Middle States Commission on Higher Education
- ADDENDUM 2** Implementation and Assessment Guide
- ADDENDUM 3** Implementation and Assessment Report

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SECTION 1: INTRODUCTION

Institutional Overview

The University of Puerto Rico at Carolina (UPRCA) was founded in 1974 as part of the eleven campus system of the public higher education of Puerto Rico. In July 1999, the UPRCA became an autonomous campus of the University of Puerto Rico System (UPRS), and began to undergo a technological and academic transformation. Furthermore, the high demand for its innovative offerings prompted the growth of the institution from a two year college to a four year college focused on undergraduate programs. It was originally meant to serve the northeastern geographical area, however, at present the institution receives students from different geographical areas of the island and a small group of students from the Caribbean.

Governance in the UPRS is entrusted to the Board of Trustees, the University President, and the University Board. At UPRCA the highest academic and administrative authority is the Chancellor followed by the Academic Senate and the Administrative Board. Professor Trinidad Fernandez-Miranda was appointed Chancellor in October 2010 after having served as acting Chancellor for a year (Appendix I - Organizational Structure)

The UPRCA offers ten baccalaureate majors: Finance, Management, Tourism, Law and Society, Forensic Psychology, Office Systems, Restaurant and Hotel Administration, Food and Beverage Administration, and Advertising and Graphic Arts. It also offers associate degrees including Hotel Administration, Industrial Automation, Interior Design, Mechanical Engineering, Engineering Technology in Instrumentation and System Control, and Automotive Technology. At present, there are transfer programs in Education, Social Sciences, Natural Sciences, Allied Programs in Health Science, and Engineering.

An important element for guaranteeing the excellence of academic offering is the continual evaluation of the programs. The School of Hotel and Restaurant Management

was accredited by the Accreditation Commission for Programs in Hospitality Administration (ACPHA) in 2008. In addition, Business Administration and Office Systems are in the process of being accredited by Accreditation Council for Business Schools and Programs (ACBSP) and will receive a site visit in March 2011. The Social Sciences, Interior Design, and Graphic arts and Industrial Maintenance are revising the Professional Program to be accredited by the respective accreditation bodies of their fields.

UPRCA is the only campus in the UPRS that works under a quarter term calendar system. Typically students obtain their bachelor or associate degree in a shorter period of time as compared to a semester. The academic term consists of three quarter term sessions that covers the entire academic year. After the interruption in April 2010, classes for the third quarter term 2009-2010 resumed with no major obstacles on June 28, 2010 and completed on August 27, 2010. This fulfilled the contact hour requirement for the quarter term (Appendix II - Third quarter term calendar). Administrative tasks continued uninterrupted to complete the third quarter term.

The registration process for the first academic quarter term 2010-2011 was completed uneventfully. Classes started normally on September 20, 2010 and ended on December 4, 2010. In alignment with the systemic commitment to fostering an Open University Culture to provide for continuity of the institutional mission, UPRCA amended the 2010-2011 academic calendar (Appendix III: Amended Calendar 2010-2011).

Total headcount enrollment for first academic quarter term 2010-11 was 4,002. Seventy-seven point one percent (77.1%) of student population studied full-time, approximately 62% received financial aid, and 55.2% was female. The student body enrolled in bachelor degree programs was 65.2%, 18.4% in technical programs, and 13.6% in transfer programs. (Appendix IV Statistic Summary-First Quarter Term 2010-2011).

The student body is served by 213 faculty and 252 non-teaching staff members. The 2010-2011 faculty profile shows that 51.6% are full-time and 48.4% are part-time.

The election of the new Student Council for 2010-2011 was initiated on August 9, 2010. For the first time, the election was electronic. The Dean of Student Affairs met with the new elected members to orient them on their responsibilities and to distribute the General Student Bylaws, the Institutional Bylaws and Law 22-Electronic Vote (Evidence on site).

As a means to generate alternate sources of funding, the Board of Trustees implemented an \$800 Stabilization Fee per academic year, effective on 2010-2011 ([Certification 146, 2009-2010](#)). Implementation alternatives were divided in two payments of \$400 for the second and third quarter terms. The students had also the opportunity to prorate the Stabilization Fee into five payment terms per quarter term. Financial Aid covered the Fee. UPRCA successfully implemented the academic 2010-2011 quarter term electronic registration process for students.

As a higher education institution UPRS seeks to educate professionals with high moral and intellectual abilities who contribute to the development of our society. (<http://sindicatos.upr.edu/wp-content/uploads/2010/11/Ley-UPR-por-JS-ED-2010-08-11-y-portada.pdf>). UPRCA provides a student-centered education that promotes integrity, ethics, and academic excellence with a curricular offering that integrates general and specialized education (http://uprc.edu/Conocenos/vision_mision.html).

Institutional Context

UPRCA is committed to continue effective governance efforts to sustain an Open University Climate that ensures the continuity and rigor of its educational offerings as well as its Mission, Vision and Objectives. Aware of the many challenges ahead, the institution is implementing measures to secure financial stability and ongoing academic excellence.

On September 1, 2010 UPRCA submitted a Monitoring Report to the Middle States Commission on Higher Education (MSCHE) addressing the Commission's concerns and expectations underlying the probationary action over standards 4, Leadership and Governance, and Standard 11, Educational Offerings, and on steps taken to improve the institution's finances and seeking alternative funding sources in accordance with Standard 3, Institutional Resources.

An onsite Special Evaluation Team designated by MSCHE visited UPRCA on September 14, 2010 to verify the information provided in the Monitoring Report. In its session on November 18, 2010, the Commission lifted probation over Standard 11, Educational Offerings, and continued the probationary status over Standard 4, Leadership and Governance and included Standard 3, Institutional Resources.

This second Monitoring Report documents evidence of the progress on the implementation of the UPRCA Action Plan for Standards 3 and 4 in compliance with the requirements and procedures established by the MSCHE. It also includes supplementary information regarding the progress of Standard 11, Educational Offerings (Appendix V - Monitoring Report September 1, 2010).

The implementation of the action plan submitted in the first Monitoring Report on September 1, 2010 continued, and significant progress was reported in each of the areas that needed to be strengthened. The academic offerings at UPRCA guarantee excellence, continuity, breadth, and rigor consistent with the mission of the institution. UPRCA academic programs are committed to develop programs respected in the academic, professional and industrial spheres that produce highly able and intellectually prepared graduates. UPRCA is complying with the expectations of Standards 3 and 4 according MSCHE Standards of Excellence and both the UPRCA Action Plan and the UPR System Action Plan.

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SECTION 2: PROGRESS TO DATE AND CURRENT STATUS

Standard 3: Institutional Resources

At UPRCA planning resource allocation and institutional renewal processes were evaluated based on the Mission and the MSCHE Characteristic of Excellence. Three major objectives determine the quality and sustainability of the institutional planning process: 1) the consistency of the mission statement with the aspirations and expectations of higher education; 2) the degree of effectiveness in establishing priorities, improving institutional planning processes, and 3) resource allocation in agreement with the Central Administration Assessment Report.

In 2005, under the leadership of the UPR President, and with the participation of the University community the UPR system planning agenda, *Diez para la Década* (Ten for the Decade) was established. After its approval by the Board of Trustees through Certification 123, 2005-2006, the chancellors proceeded to draw up academic plans in their respective campuses in harmony with the systemic goals and objectives.

Budget development in alignment with institutional planning, mission and goals is a primary responsibility of governance, within the calendar processes and regulations for its yearly development set in Certification No. 100 (2005-2006) of the Board of Trustees (<http://www.certifica.upr.edu/PDF/CERTIFICACION/2005-2006/100%202005-2006.pdf>).

As established in Article 6 of Certification No. 100, the development of the President's Budget Project incorporates Chancellor's input for allocations to the system. The Central Administration Budget Office issues general guidelines for the distribution of resources and discusses the budgetary outlook for the next fiscal year with the Chancellors and their respective Budget Directors. Chancellors align each unit Budget to their respective strategic plans and assessment results in consultation with the Central Administration's Budget Director.

UPRCA Five-Year Financial Plan

Updated relevant information about Projection by Funds Sources show budget projection for academic years 2010-2011 to 2014-2015 (Appendix 3: Five-year Financial Plan UPRCA; Excel Spreadsheet attachment). Current and expected budgets include adjustments for each year and show how the Institution uses funds to ensure operation. Budget preparation considers relevant information like utility expense increments, retiring staff, and medical insurance, among others.

Table 1
Budget Projections by Program
FY 2010-2011 to 2014-2015

| Program | Actual Budget | Budget Projections | | | |
|---|----------------------|----------------------|----------------------|----------------------|----------------------|
| | 2010-2011 | 2011-2012 | 2012-2013 | 2013-2014 | 2014-2015 |
| Instruction | \$ 11,438,263 | \$ 11,079,498 | \$ 11,342,651 | \$ 11,469,689 | \$ 11,707,111 |
| Research | \$ - | \$ 40,000 | \$ 49,140 | \$ 62,848 | \$ 64,149 |
| Academic Support | \$ 2,266,305 | \$ 2,180,892 | \$ 2,220,892 | \$ 2,344,657 | \$ 2,393,191 |
| Student Services | \$ 2,565,586 | \$ 2,273,508 | \$ 2,316,508 | \$ 2,347,193 | \$ 2,395,780 |
| Institutional Support | \$ 4,181,952 | \$ 3,692,575 | \$ 3,702,575 | \$ 3,732,387 | \$ 3,814,647 |
| Infrastructure Maintenance and Operation | \$ 4,083,335 | \$ 3,982,392 | \$ 4,257,225 | \$ 4,438,047 | \$ 4,525,929 |
| Totals | \$ 24,535,441 | \$ 23,248,865 | \$ 23,888,991 | \$ 24,394,821 | \$ 24,900,807 |

Source: UPR Central Administration and UPR-Carolina Finance and Budget Offices

The University Central Budget Office considers the following elements or variables when considering the budget:

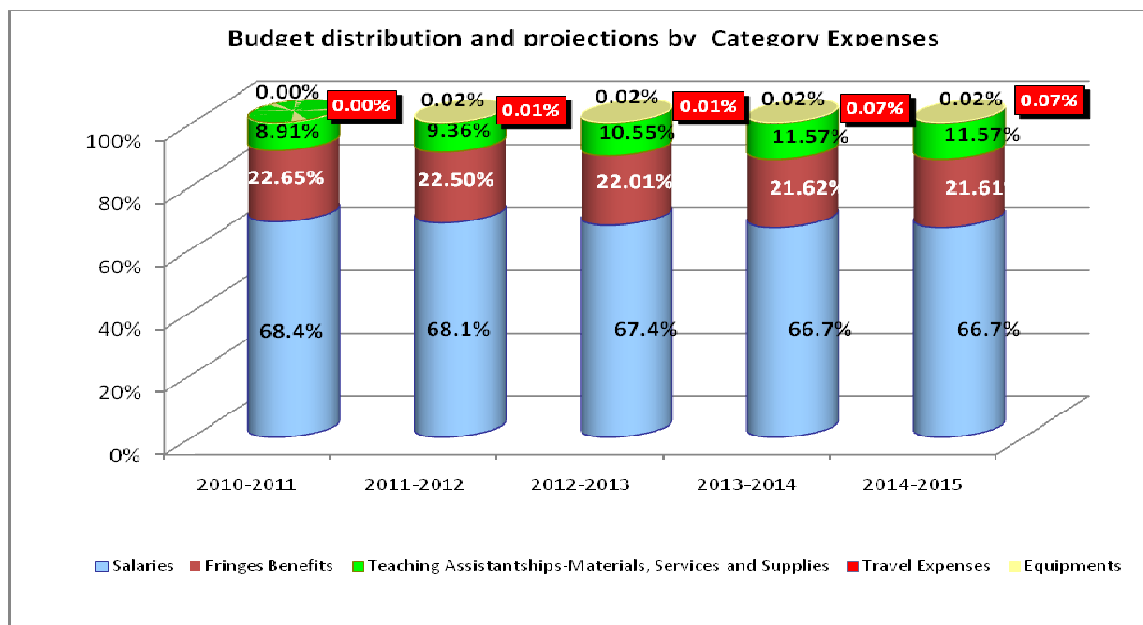
1. 9.6% of average net income collected by the state government appropriations in the two previous years.
2. State allocations.
3. Gaming Act.
4. University revenues: enrollment fees, maintenance fees, special stabilization fee, investment returns, indirect cost reimbursements, auxiliary enterprises,

- miscellaneous, write-off, scholarship administrative expense reimbursements, non-traditional academic programs.
- 5. Internal redistributions
- 6. American Recovery and Reinvestment Act

The Budget Office of the Central Administration has consistently supported institutional needs that have a significant economic impact. Examples are the Preschool Childcare Development Center and special allocations for professional program accreditation.

During the past five years UPRCA has made budget redistributions from the administrative to the academic sector, a trend that will be continued according to priorities.

Figure 1 shows the distribution of current and projected institutional budget by expense category.



Source: UPR Central Administration and UPR-Carolina Finance and Budget Offices

Operating expenses are expected to increase from 8.9% for fiscal year 2010-2011 to 11.6% for fiscal year 2014-2015. Salaries and fringe benefits are projected to decrease from 91% from 2010-2011 fiscal years to 88% for 2014-2015. Travel and equipment

categories are being addressed by external fund sources that come from DECEP, Title V, and the technology fee, among others.

Economies for 2011-2012 from retirements will be used to cover projected reductions. The institution is currently implementing a redistribution task plan for non-teaching staff. Only essential vacant positions will be recruited. Faculty positions needed would be filled at the lowest entry level according to institutional priorities and programmatic assessment. For fiscal years 2012-2013 to 2014-2015 available funds from retirements and budget increments would be redistributed to support institutional, academic, and student needs.

Cost Control Measures

The budget reduction for fiscal year 2010-2011 has led us to establish cost control measures that guarantee institutional operation and services. Fiscal resource evaluation standards are agreed within the context of campus strategic plan and the Institutional Ten for the Decade Strategic Plan. This evaluation makes possible for UPRCA to identify and systematically direct economic, human, and physical resources to satisfy priorities and programmatic projections. Campus and Central Administration control measures geared to a more efficient use of the operational budget and expense reduction include:

1. Academic released time and additional compensations reduced to those strictly necessary.
2. No service contracts awarded to non-teaching personnel with the exception of the essential ones according to Certification Number 121 (2005-2006) of the Board of Trustees (<http://www.certifica.upr.edu/PDF/CERTIFICACION/2005-2006/121%202005-2006.pdf>).
3. Analysis of the course sections to determine needs and costs.
4. Energy saving control. An advertising campaign was designed to promote energy saving, and a proposal is being developed to install solar light poles. The Office of Administration of Energy Affairs from the Department of Natural and

Environmental Resources made an analysis of electricity spending as requested by the Institution. UPRCA is in the process of implementing the recommendations of this analysis that will result in a significant energy savings.

5. Increase in the maximum number of students in traditional undergraduate courses.
6. A reduction in the purchase of office supplies and equipment.
7. Travel expenses approved only for external funding initiatives and accreditation.
8. A reduction in articulated transfers.
9. Two associate degrees, Office Systems and Physical Education for the Handicapped, put on moratorium due to low graduation rates.

All measures from the Central Administration were implemented as approved by the Board of Trustees to comply with University regulations.

The UPRCA Budget Office is in charge of administering resources needed to achieve institutional goals and objectives. This office specifically assigns, distributes and evaluates budgeted resources. It also sees that the spending processes are made in accordance with institutional priorities and control policies, to guarantee an adequate use of public funds.

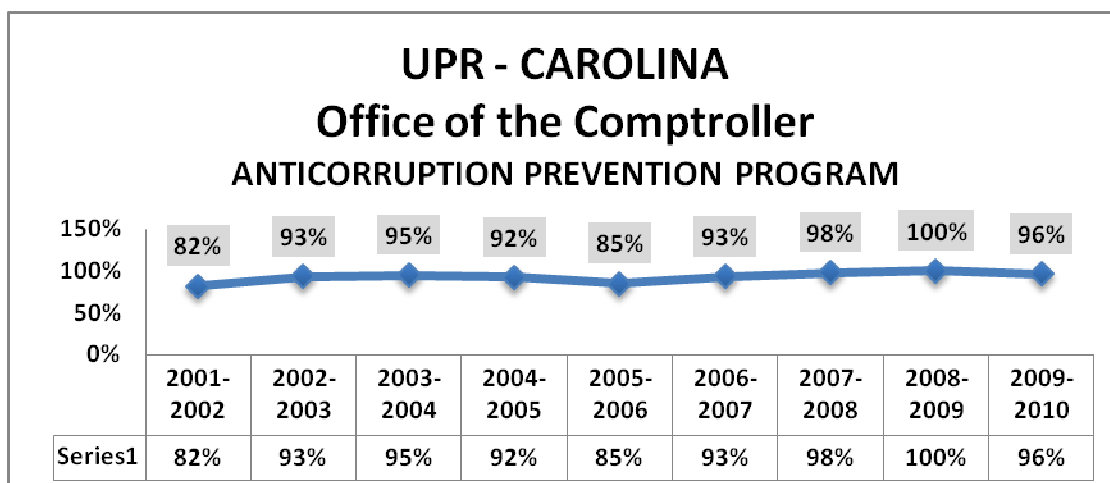
Audited Financial Statements

The UPR Central Administration March 2011 Assessment Report states that the 2010 Audited Financial Statement is yet to be issued due to the complexity of the UPR accounting system and issues related to the implementation of the University Financial Information Systems (UFIS) since its inception in 2007. Namely: (1) While each unit independently manages its accounting, the UFIS financial system software centralized accounting processes; (2) only the General Ledger and Accounts Payable modules were originally implemented, while some subsidiary modules normally integrated to the system and crucial for its effective performance were excluded; (3) the reduction of accounting personnel at the units due to retirement have consequently decreased the level of expertise in UFIS.

As a result, the timely emission of Audited Financial Statements has been hindered, as reflected in the findings in the 2009 Audited Financial Statement; (1) “lack of adequate controls during the implementation of the new accounting system resulted in an ineffective and inefficient financial statements close process”; (2) “in reviewing and developing the closing process, the University should ensure that it has sufficient accounting personnel with the appropriate experience and training to effectively perform the financial statement close process” (<http://www.upr.edu/docs-ms/UPR-AuditedFinancialStatements-June30/2009.pdf>).

The UPRCA Finance Office analyzes the accounts, expenditures, and projections by means of periodic situation reports. Once a year financial statements and budget projections are prepared, consolidated, and audited at the Central Administration. In addition, the Office of the Comptroller of Puerto Rico analyzes institutional finances and the fulfillment of current laws and regulations and submits reports after each intervention and/or revision of processes and documents selected during auditing. As a result of the examination process, the Office of the Comptroller issues a score that ranges from 0% to 100%. A score of 100% means that the governmental entity is in compliance with all the criteria previously mentioned. The following figure illustrates the scores obtained by UPR Carolina for the last eight years.

Figure 2



Source: UPR-Carolina Dean of Administrative Affairs Office.

During this time the average score obtained is 92.67% which demonstrates compliance with the 10 criteria state above. The UPR Carolina Finance Office analyzes the accounts, expenditures, and projections by means of periodic situation reports. Once a year financial statements consolidated are prepared and audited at the Central Administration and budget projections are prepared regularly. The application of the norms, policies and procedures that rule the budgeting process has guaranteed an appropriate administration at UPRCA.

Strategies for Continuous Improvement

In compliance with *Standard 2, Planning, Resource Allocation, and Institutional Renewal*, the UPRCA has identified external funding alternatives, some of which are already in operation and others in their initial phases. It has established and developed strategies to allocate financial resources that meet the needs of each of the institutional areas and guarantee continuity and institutional strengthening.

1. The External Resources Office was created in 2010. Its primary function is to establish mechanisms to obtain external funding and carry out academic, research and other activities that support the institutional mission. Funding is directed toward this area that is supported through the Title V Proposal that contains allocations dedicated to infrastructure.
2. The School of Hotel and Restaurant Administration is in the first phase of generating funds through:
 - Administration of the Medical Science Campus Cafeteria
 - UPRCA Café-Bar
 - Catering services

During the first five years 75% of funds will be used for operational institutional expenses and 25% for the School of Hotel and Restaurant Administration.

Beginning in the sixth year, 75% will be used for the School and 25% for the Institution.

3. The Department of Automotive Technology developed a proposal to offer automotive maintenance services (TEAU-Lube). This activity generates funds that strengthen institutional finances (Evidence on site).
4. The Division of Continuing Education also generates funds for its own operation and to solve unexpected situations that impact institutional finances (Evidence on site).

Since 2004-2005 funds to support academic, technological, and bibliographic resources are obtained from a special technology fee. The Board of Trustees established that this fee be entirely returned to campuses. Funds are used for the maintenance and updating of technology equipment. This systemic initiative supports current and future technology needs. UPRCA received \$100,000 for the first quarter term of academic year 2010-2011, which are added to previously mentioned Title V funds, which are available for a period of five years.

The technology fee funds are currently supporting needs from the following departments based on institutional priorities:

Table 2
Technology Fee Distribution
FIRST QUARTER TERM
2010-2011

| Department/Program | Budget Allocation |
|---|-------------------|
| Business Administration | \$ 2,930.00 |
| School of Hotel and Restaurant Administration | 17,0143 |
| Department of Natural Sciences | 3,000 |
| Department of Interior Design | 13,702 |
| Department of Education | 9,310 |
| Systems Office Department | 840 |
| Department of Automotive Technology | 3,249 |
| Dean of Students | 37,897 |
| Computer replacement | 9,398 |
| Wiring | 2,761 |
| Total | 100,000 |

In addition, the Institution generates funding from Title V proposals, Upward Bound, Educational Services, External Resources, leasing of physical facilities, and special allocations from the UPR general fund. All of these increase the initial budget.

The Board of Trustees, President, Vice President for Research and Technology and Chancellors, are actively pursuing augmenting and diversifying sources of funding. Historically, federal and state grants plus other strategic financial opportunities have assisted the institution with much needed resources to supplement revenues and to continue to effectively achieve its mission.

As stated in the UPR Central Administration Assessment Report, the Board of Trustees has taken the following steps to create alternate sources of funding:

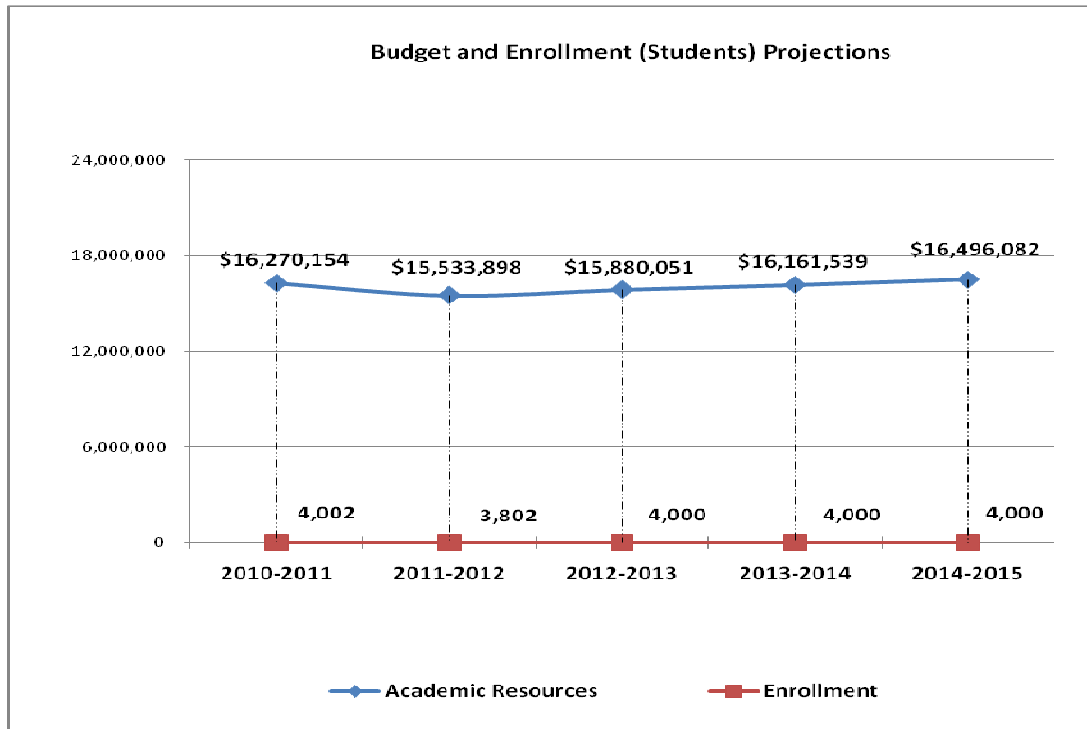
1. Implementation of a Stabilization Fee of \$800 per academic year, effective on year 2010-2011 (<http://www.certifica.upr.edu/PDF/CERTIFICACION/2009-2010/146%202009-2010.pdf>).
2. A \$100 M line of credit from the Government Development Bank, obtained on October 2010, in order to secure working capital during the current academic year (<http://www.certifica.upr.edu/PDF/CERTIFICACION/2010-2011/5%202010-2011.pdf>)
3. Additional student aid funding and expansion of existing programs to help needy students tackle the Fee.
 - a. Special Scholarship Fund of the University of Puerto Rico
 - b. Reactivation of the Supplementary Institutional Assistance Program (*PASI* by its Spanish acronym).
4. Fundraising Activities.

Table 3
University of Puerto Rico at Carolina
External Resources

| | | | |
|---|--------------------|----|-----------|
| Federal Funds | | | |
| Student Support Services Program | Performance Period | \$ | 887,528 |
| Started 9/1/07 – 08/31/11 | Current Period | \$ | 455,115 |
| Student Support Services Program | | | |
| Started 9/1/11 – 8/31/15 | | | |
| Upward Bound Project | | | |
| Started 9/1/07 – 8/31/11 | Performance Period | \$ | 656,774 |
| | Current Period | \$ | 328,387 |
| Improving Student Learning Outcomes through Extensive Assessment, Faculty Development, and Improvement of Library and Telecommunications Infrastructure | | | |
| Started 10/1/06-09/30/11 | Performance Period | \$ | 3,498,576 |
| | Current Period | \$ | 699,496 |
| Expanding Student Opportunities and Options | | | |
| Started 10/01/10-09/30/15 | Performance Period | \$ | 2,694,949 |
| | Current Period | \$ | 641,792 |
| Community Empowerment Program for Economic Development | | | |
| Started 9/1/07 – 08/31/11 | Performance Period | \$ | 559,883 |
| | Current Period | \$ | 455,115 |
| State Funds | | | |
| Adecuación Profesional de Maestros Escuela Elemental | | | |
| Started November, 2010 | Current Period | \$ | 1,559,999 |
| Private Funds | | | |
| Ex-Alumni | Current Period | \$ | 15,566 |
| Continuously | | | |
| Other Funds | | | |
| Division of Continuing Education (DECEP) (with or without credit) | Current Period | \$ | 410,903 |

Institutional objectives included in the Strategic Plan 2006-2011 are supported by the allocation of resources that guarantee academic developments, offerings and services.

Figure 3
Budget and Enrollment (Students) Projections



Source: UPR Central Administration and UPR-Carolina Finance and Budget Offices

In accordance with MSCHE Standards of Excellence the UPRCA evidences that the Institution makes adequate use of financial resources that guarantee its operation and the provision of academic offerings of excellence.

UPRCA expects to maintain the current student enrollment to keep the same level of operational costs.

Standard 4 Leadership and Governance

Overview

This section of the Monitoring Report evidences that UPRCA has achieved and can sustain compliance with standard 4, including but not limited to: Evidence of implementation of clear institutional policies specifying the respective authority of the different governance bodies and their respective roles and responsibilities in shared governance; evidence that communication between the Central Administration and the institution and within the institution, timely, and accurate, and that the sources of such communications are clearly defined and are available to all constituents; evidence of a procedure in place for the periodic objective assessment of Board of Trustees in meeting stated governing body objective and responsibilities; evidence that steps have been taken to assure continuity and stability of institutional leadership;

The University of Puerto Rico developed a systemic Action Plan for sustained compliance with standards 3 and 4 please see Addendum UPRCAS Assessment Report for more information on progress to date on the implementation of this plan. UPR-Carolina has developed and is implementing an action plan aligned with the goals and prongs of the systemic UPR Action Plan to foster an enhanced institutional climate identity, cultivate an open university culture, and to revisit and empower leadership and governance at all levels. This plan was included in the previous Monitoring Report submitted to the Commission in September, 2010. Areas of emphasis were identified for each of these standards, under which actions and activities were projected together with the corresponding expected outcomes. Task Force appointed by the Chancellor meets regularly to ensure that actions are being carried out in a timely manner and to assess overall effectiveness.

Enhanced institutional climate and identity through strengthened communication among constituents

Enhancing communication opportunities for the greater majority of students to freely participate and provide input in decisions that directly affect them not only advances the goal of fostering an enhanced institutional climate and identity, but also the aim to empower student leadership to appropriately exercise their roles and responsibilities as a key element for their academic development. Members of student organizations and students in general also have the opportunity to present ideas, issues and concerns to department directors and to the Dean of Student Affairs. Student representation is present in institutional and faculty meetings, department committees, and others. As stated in the UPR General By-Laws, the University of Puerto Rico System is committed to the participation of all constituencies. The academy, the students and the staff are continually and actively participating in committees at department, institution and systemic levels as a mechanism to integrate, improve teamwork, and create a sense of commitment and identity.

As proposed in the systemic UPR Action Plan (I.C.1), the President has required Chancellors and staff to participate in a series of workshops and trainings to prompt a collective understanding of their task in collaboration with their constituents in policy development and decision-making. Administrators at all levels must participate in conflict management trainings to guarantee an effective prevention and handling of potentially conflicting situations. The UPRCA Division of Continuing Education (DECEP) developed a Certification Program in conflict management that benefits administration members. Table 4 shows actions taken to ensure and cultivate an open culture university to guarantee compliance with Open University Culture and the Standards of Excellence.

Table 4: Actions taken to ensure & cultivate an Open University Culture at UPRCA

| Structure | Actions taken | Current or Expected Date |
|-------------------------------|--|--|
| Board of Trustees | <ul style="list-style-type: none"> • Carolina campus visit | February 8, 2011 |
| University Board | <ul style="list-style-type: none"> • Certification #100 (2010-2011) | December 1 st , 2010 |
| Central Administration | <ul style="list-style-type: none"> • Conflict Management Strategies Workshop • Presentation to the President, Chancellors and Staff • http://www.upr.edu/docs-ms/index.html | |
| UPR Carolina | <ul style="list-style-type: none"> • Communication with the UPR President, the University Board and the Board of Trustees. • Meeting with institutional leadership and student representatives to keep them informed. • MSCHA Accreditation Bulletins • MSCHA Accreditation Blog • Meeting with campus security personnel and State Police Department' Officials to guarantee the continuity of services and academic offerings. • Certification #90 posted on UPRCA web site. • Distribution of Certification #90 through institutional e-mail. • Discussion at the Academic Senate | <p>Continuous</p> <p>January 28, 2011</p> <p>February 17, 2011</p> |

At UPRCA the Dean of Academic Affairs requested department directors to disseminate updated information to the university community concerning the action plan and related future actions, and the discussions of institutional core problems at all academic and administrative levels to carry out the action plan (Evidence on site). Another step to stimulate a climate of trust, collaboration, commitment and the participation of the representatives of all constituencies in planning and budgeting processes, has been the designation of students, faculty, administrative and representatives of labor organizations to a Task Force for the evaluation of the institutional effectiveness and efficiency. This process has provided ideas for the development of this Monitoring Report to assure compliance with the MSCHE Standards of Excellence.

The Vice Presidency for Academic Affairs advises the Board of Trustees, the President, Chancellors and Deans for Academic Affairs on policy matters related to academic

affairs, compliance with leadership and governance accreditation requirements, among others. The Deanship of Academic Affairs at UPRCA serves as an advisor to the Chancellor with the support of academic department heads. Different meetings have been held with department heads to guide them on assessment, general education, creation of new academic courses or offerings, pre and post test results, portfolios, academic schedules, accreditation processes, admission processes, curricular revisions, and commitment with institutional policies (Evidence on site).

The Academic Senate approved Certification, 11 2009-2010 which defines duties and responsibilities of academic department heads (Appendix 4). On November 29, 2010, directors were informed in writing to ensure compliance with part-time faculty contracts. Furthermore, department heads have been encouraged to foster and stimulate compliance with the Institutional Mission and the Standards of Excellence.

The UPRCA has supported programs to help students increase their academic performance and participate in the Institution's learning processes. Consequently, UPRCA has established the Honor Studies Program in which students are guided to pursue post graduate studies. This program provides students the opportunity to conduct research in their courses. Students had the opportunity to participate in the investigation Symposium. In addition, Title V has created the Student Support and Resources Center (C.A.R.E. by its Spanish acronym) to offer math, physics, chemistry, and accounting tutorships. CARE services helped many students to successfully pass their courses. Title V Proposal has also supported programs and services in areas like the library, personal improvement, and technological equipment (Evidence on site).

The UPR vigorously endorsed the approval of Law No. 128 of August 11, 2010, which amended the University Law to implement a electronic vote mechanism for student elections in assemblies. In consultation with the Chancellors, the Vice President for Students Affairs coordinated the implementation of the electronic vote mechanism, in collaboration with the Dean of Academic Affairs and the support of the Information Systems Office.

In compliance with institutional policies and procedures, department heads have been coached to comply with Academic Senate Certification, 24 2006-07, which establishes the Individualized Studies policy (Appendix 5). The Dean of Academic Affairs is currently coordinating trainings to non-faculty personnel on the effectiveness of institutional assessment. Trainings have been offered to different offices: Registrar, Admissions, Financial Aid the Academic Computing Office, among others.

In addition, an Open House in January 2011 and the Intensive Summer Program (given from November through December 2010) through the Division of Continuing Education to increase student enrollment (Evidence on site). The Dean of Academic Affairs has empowered department heads to strengthen traditional (contact) courses, and to use their official electronic mails. All meeting minutes held by the Dean with the department heads were distributed to keep track of important discussed issues.

The Chancellor held a meeting with all academic and non-academic department directors to inform about enrollment procedures for the third quarter-term 2010-11. The Chancellor stated that enrollment would be conducted through the Internet. The Information Systems Office also provided students with the necessary support and training to use the email account systems.

Department meetings have been held to discuss, budget status, Open University Policy, academic offerings, class attendance, and MSCHE processes. The Dean of Academic Affairs encouraged department heads to foster participation in student assemblies. In addition, on November 16, 2010 an academic recess was approved by the Chancellor to encourage student attendance.

The Dean of Academic Affairs called for a meeting with department heads and faculty members of the Business Administration and Office Systems Departments, as well as the Institutional Accreditation Liaison. The purpose of this meeting was to coordinate the Association of Collegiate Business Schools and Programs (ACBSP) accreditation visit to be held on March 2011.

UPRCA is committed to continue fostering a more ample participation of the community in the discussion of institutional issues. For this reason it has developed:

- An Institutional [Blog](#) open to the university community as an alternative to receive community input about MSCHE accreditation.
- The electronic [Entérate](#) bulletin which Updates UPRCA-MSCHE information.
- [UPRCA webpage](#): Includes accreditation documentation.
- Focus groups conducted by the information literacy librarian: Direct input from students on institutional issues.
- [Cartero](#) official email (all students have a free email account, powered by Google): Daily information and documentation about the University.
- Teleprompters in different campus areas: Information about institutional activities.

Students regularly use these types of technological tools which have been chosen as a way to provide them with familiar communication alternatives. Online availability improves access.

UPRCA maintains a level of integrity that responds to its mission and vision (Standard 6, Integrity). To comply with implementation and evaluation of best practices during crises, the following protocol drafts have been developed:

- Library contingency Plan (January 2011)
- Academic Computing Office Contingency Plan (November 2010)
- Academic Affairs Deanship Contingency Plan (in progress)
- Student Affairs Deanship Contingency Plan (December 2010)
- Student Support Services Contingency Plan (November 2010)
- Natural Sciences Department Contingency Plan (Pregnant Students)
- Security Contingency Plan
- Interruption Contingency Plan (in progress)
- Crime Alert (Employee Identification required)
- Prevention and Intervention on Handling Situations of Victims Survivors of Domestic Violence, Sexual Assault and Stalking (PPVM)

These protocols are implemented to protect and serve university community needs (Evidence on site). Furthermore, the Division of Continuing Education is offering the

community a Certification Program in Conflict Resolution in collaboration with Urban Solutions Inc., and with the authorization of the Puerto Rico Supreme Court [session from February 5 to April 16, 2011] (Evidence on site).

These protocols are implemented to protect and serve university community needs. As a result, almost all activities and important announcements are informed or displayed through the teleprompter system.

Consequently the Division of Continuing Education is offering the community a Certification Program in Conflict Intervention in collaboration with Urban Solutions Inc., and with the authorization of the Puerto Rico Supreme Court [session from February 5 to April 16, 2011] (Evidence on site).

Open University Culture

The Board of Trustees at its meeting on July 25, 2005, through the Certification #90, established an Institutional Policy regarding Aperture & Access to University Property (Open University Policy, <http://www.certifica.upr.edu/PDF/CERTIFICACION/2004-2005/90%202004-2005.pdf>). This policy establishes dialogue and communication as mechanisms to resolve university disputes, protecting the access to university property.

Framed by its commitment with an Open University Culture and the implementation of clear policies stating the respective constituents' roles and responsibilities in shared governance, the University has remained firm in enforcing compliance with Student's General By-Laws. During the first 2009-2010 quarter-term, the Institution has remained operational and actively accomplishing its educational mission. The UPR Student Code of Conduct (SCC) has been posted in the UPR webpage (<http://estudiantes.upr.edu/>) and deployed to the Deans for Academic Affairs for ample dissemination. The SCC will also be sent and explained to every freshman along with the admission letter to the UPR.

Provided that policies to support the continuity of operations and the academic process are in place, the University faces the challenge of transforming the aforementioned

cultural elements into an Open University Culture that encourages freedom of speech, provides and protects the appropriate spaces for respectful debate and dissent germane to the very nature of a higher education environment, while safeguarding the rights and responsibilities of all members of the University community and the continuity of the institutional education, research and service mission. To that end and in compliance with UPR Action Plan (I.B.1), the President and the Vice President for Academic Affairs have been actively encouraging commitment with the Open University Culture in all sectors of the University Community to guarantee the continuity of the education, research and service mission.

Since the onset of the April – June 2010 student conflict, the President and the Vice Presidency for Academic Affairs increased the periodicity of opportunities to advise the Board of Trustees, the University Board, the Chancellors, the Deans for Academic Affairs, Deans for Student Affairs, and other groups with the capability of disseminating the message throughout the system and to University stakeholders, on the need for ongoing and sustainable compliance with accreditation and licensing standards and criteria regarding continuity of academic offerings to maintain eligibility for funding from the HEA and other external funds to advance the institution's mission (UPR Action Plan I. B.1).

Evidence of internal dialogue and advice on these topics include:

- 1) Presentations to the President, Chancellors and staff: February 8, 2010; May 22, 2010; June 26, 2010; September, 13, 2010
- 2) President's meetings with Chancellors and staff: March 17, 2010; May 11, 2010; August 18, 2010; September 28, 2010; October 13, 2010; November 17, 2010; November 24, 2010; December 1, 2010; December 22, 2010; January 19, 2011.
- 3) Presentations to the University Board: November 10, 2010; December 1, 2010; January 26, 2011

- 4) Board of Trustees meetings: October 21, 2009; May 22, 2010; June 26, 2010; June 29, 2010; August 28, 2010; September 7, 2010; November 3, 2010; December 3, 2010
- 5) Finance Committee of the Board of Trustees meeting: February 2, 2011
- 6) Academic Deans' meetings: June 30, 2010; August 25, 2010; September 29, 2010; November 2, 2010; December 14, 2010; January 21, 2011.
- 7) Student Affairs' Deans meetings: October 7, 2010; February 2, 2011
- 8) Finance and Budget Directors meeting: February 28, 2011
- 9) Presidents of the General Student Councils about accreditation and eligibility requirements to HEA funding meeting: December 13, 2010

Releases to the Internal and External Community:

- 1) MSCHE Publication Governing Boards Expectations (2010) sent to the Executive Secretary of the Board of Trustees: March 10, 2010
- 2) President's interview on institutional accreditation: *El Nuevo Día* Newspaper, November 17, 2010

Electronic Releases:

- 1) All information regarding the evaluation process is posted in the Vice Presidency for Academic Affairs link in the UPR webpage (http://www.upr.edu/?type=page&id=ofrecimientos_academicos_bachilleratos&ancla=ofrecimientos_academicos_bachilleratos&r_type=items&r_id=2).
- 2) Postings at *Cartero AC*, the Central Administration electronic outlet, regarding accreditation:
 - Press release, *Se juega la acreditación la UPR*, November 9, 2010 (UPR's accreditation at risk)

- Actions of the Middle States Commission on Higher Education, November 30, 2010 (<http://www.upr.edu/docs-ms/ComunidadUniversitaria-AccionesMiddleStateCommission-on-HigherEducation.pdf>)
- Open invitation to the 7 of 7 UPR Committees, January 29, 2011 (http://www.upr.edu/documentos/Comite_77_UPR_XL.pdf ; http://www.upr.edu/documentos/Comite_77_UPR.pdf)
- Communications with to the Federal Department of Education, November 2010 (http://www.upr.edu/docs-ms/Consulta_al_DE_sobre_Referendum_RRP_Texto_Ingles.doc.pdf)

In order to broaden and strengthen the opportunities for effective communication between the administration and the University Community about their concerns and situations that affect them, as well as to share developments and accomplishments at system and unit levels, several forums and listening meetings have been held with elected student leadership, as detailed in Central Administration's Assessment Report (See UPRS Addendum 1 Assessment Report).

Integration of Campuses to their Communities

Goal No. 6 of the UPR Planning Agenda Ten for the Decade, related to developing leadership in community service and investment, was key in the development of the concept of an Open University Culture. This endeavor is geared toward strengthening ties to the community served by the UPR for increased success of its service mission. Certification No. 83 (2008-2009) of the Board of Trustees (<http://www.certifica.upr.edu/PDF/CERTIFICACION/2008-2009/83%202008-2009.pdf>) call for the University System to strengthen community service opportunities for students and faculty to develop their social responsibility and contribute to the betterment of Puerto Rican Society. Since 2009 a registry of courses with community service components and other community service initiatives at the units was prepared by the Vice Presidency of Academic Affairs. Currently, the registry is being updated to be displayed in the UPRS webpage.

The UPRCA began blending the campus its surroundings to ensure uninterrupted fulfillment of institutional commitments and service to the internal and external community by removing the gates DETAILS of UPRCA. (See Addendum 1 Assessment Report).

Empower Leadership at all levels for strengthened shared governance

The UPR governance structure, as defined by the Law of the University of Puerto Rico (Law Number 1 of January 20, 1966, as amended), supports the creation of structures sustained on the principles of participation, establishing different governing bodies constituted by a representative system of campuses comprised of academic and service sectors. However, decisions on institutional guiding principles and standards in core issues correspond to the higher governance body, UPR Board of Trustees (<http://sindicatos.upr.edu/regl-pol-norm.htm>).

UPRCA governance structure is stated in the following Laws: (Evidence on site)

- Law No. 1 of January 20, 1996 as amended, University of P.R. Law
- Law No. 2 and 3 of January 20, 1996
- Law No. 16 of June 16, 1996, as Amended
- Law No. 186 of August 7, 1998
- Law No. 5 of October 14, 1995, Law for Personnel of Public System of P.R.

The governance structure of the UPRS is highly inclusive providing for the participation of faculty and students at all levels. In compliance with the UPRCA Action Plan and the Systemic UPR Action Plan institutional actions have been implemented to ensure that advisory and governing bodies fully understand their separate but complementary roles and responsibilities. The specific actions are in place to revise governance structures' composition, roles and responsibilities to ensure their effective participation in carrying out the institution's mission and goals in compliance with the applicable law and regulations and accreditation standards.

The University of Puerto Rico Law defines the institution's governing structure, roles and responsibilities in the development of policies and decision-making processes. The management of the institution both at the system and campus levels are regulated by

applicable laws, University rules and regulations, complimentary bylaws, resolutions by the Board of Trustees, President's and Chancellors' directives, and rules and regulations adopted by each governing body within their roles and responsibilities. (<http://sindiccos.upr.edu/regl-pol-norm.htm>).

The Board of Trustees is responsible for the direction, quality and integrity of the institution, the approval and update of its development plan and the oversight of its implementation and progress. It is also responsible for the approval of the budget recommended by the President, assisting in the development of resources to sustain and improve the institution, and the establishment of institutional policies and Bylaws (<http://sindiccos.upr.edu/reglamento.htm>).

The President, who is appointed by and responds to the Board of Trustees, has the responsibility of leading, coordinating and supervising the academic, administrative, and financial enterprise of the university. Each unit is headed by a Chancellor appointed by the Board of Trustees by recommendation of the President, with responsibilities similar to the President's at campus level.

The Chancellor is the highest academic and administrative official at the campus level responsible to guide and oversee the compliance with regulations and administrative decisions, guide and oversee the achievement of the mission and vision, develop and follow the operational budget, and represent all the constituencies in other academic and administrative forums.

At the campus level the two deliberative bodies are the Administrative Board and the Academic Senate. The functions of the Administrative Board include advising the Chancellor, carrying out projects and development plans, considering the budget proposal submitted by the Chancellor, and granting requests for leaves of absence, academic grants, tenure and personnel promotions.. The roles are delineated in the University of Puerto Rico General By-Laws and the Law of the University of Puerto Rico.

The Academic Senate is the official forum of the academic community. In it, the faculty participates in institutional processes, cooperating and collaborating closely in setting academic standards within the prerogatives established by UPR regulations. It is also responsible for the revision of curricular policies, faculty evaluation standards and procedures, and student admissions standards that are created or revised. The Academic Senate decisions are expressed through certifications and fully disclosed at campus level to accomplish the UPRCA mission (Evidence on site).

Chancellors and key campus leadership are crucial to support coherence and articulation of the University as a system. Chancellors, Deans, Department and Office Directors and other campus leadership participate actively in policy development and decision making at system level (UPR Action Plan I.C.7).

- 1) Chancellors are members of the University Board.
- 2) The President meets with Chancellors as frequently as needed, and not less than twice a month.
- 3) The Vice President for Students Affairs meets monthly with Student Deans, Financial Aid Directors and other student service officers.
- 4) The Vice President for Academic Affairs meets monthly or as frequent as necessary with Academic Deans, Professional Accreditations Committees, Institutional Research and Planning Directors, and as frequently as necessary with the institutional accreditation Task Force of the University of Puerto Rico and unit's institutional accreditation coordinators, at least twice a semester with Registrars, Directors of the Divisions of Continuing Education and Professional Studies, as well as other committees, groups, University Community members and stakeholders.
- 5) The Vice President for Research and Technology meets periodically funded researchers and visits their work areas to assess their needs. He also meets periodically with unit Information System specialists as part of the efforts towards implementing the Update of Technology and Information System Project (PATSI, by its Spanish acronym).

The following are evidenced examples of active participation of Chancellors and other key campus leaders on policy development and implementation and decision making (UPR Action Plan I.C.7).

- 1) Deans for Academic Affairs and one designated faculty representative to the University Board constitute the Board for Degree Recognition, which validates degrees granted by international higher education institutions of potential faculty of the University system.
- 2) Deans for Academic Affairs are actively working in the development of a systemic policy on Minors, Double Majors and Double Degrees.
- 3) Chancellors and Deans for Academic Affairs collaborated in the development of a set of short term criteria for academic planning to guide decision making towards guaranteeing institutional effectiveness in the face of projected reductions for academic year 2011-2012.
- 4) Together with the President, Chancellors developed and implemented the Continuity and Security Plan that allowed all campus to remain open and operational in spite of the unrest experienced during the past semester, for the first time after a long history of labor and student stoppages. The Plan defines, among other elements, the internal/external channels and levels of communication, strategies and means to guarantee the continuity of operations and safeguard the integrity of the institution both under normal and extraordinary circumstances (UPR Action Plan, III.A.5).
- 5) Chancellors play a key role in budget development set in Certification No. 100 (2005-2006) of the Board of Trustees (<http://www.certifica.upr.edu/PDF/CERTIFICACION/2005-2006/100%202005-2006.pdf>). Besides, in the face of the expected additional decrease of 5% in government revenues during FY 2011-2012, the President and Chancellors together with the Central Budget Director are aggressively identifying additional cost control measures and other corrective actions, incorporating assessment results of institutional planning, to assure balanced budgets, sufficient financial resources to carry out UPR mission and execute its plans effectively

- 6) Together with Budget and Finance Directors at system and unit levels, the President and Chancellors are developing a long term financial plan, also at system and unit levels, and examining structures and processes to integrate more efficient and effective practices.
- 7) Deans for Academic Affairs and Registrars collaborated with the Vice Presidency for Academic Affairs in the development of the procedure required by the Board of Trustees for the implementation of the Academic Amnesty Admission Policy.
- 8) At the request of the Student Affairs Committee of the Board of Trustees, Deans for Students Affairs provided substantive input for the implementation of the UPR Special Scholarship Fund Bylaws, as well as the improvement of students' services, tuition process, programmatic offerings, and the implementation of the electronic vote. Concerns with specific recommendations were considered and referred to the President for appropriate action.
- 9) Chancellors, Deans for Students Affairs and Financial Aid Directors are actively working together towards the uniform implementation throughout the UPR System of the By Laws of the Special Scholarship Fund of the UPR, considering the input related to the point above by the President (<http://www.certifica.upr.edu/PDF/CERTIFICACION/2010-2011/70%202010-2011.pdf>).
- 10) Consistent with UPR's goals that promote an integrated learning process enriched by experience, Deans for Students Affairs collaborated in the development of Student's Code of Conduct and are charged with its dissemination in their respective units.
- 11) Whenever an institutional unit proposes a change in specifications of an existing course that is offered in other units, the Vice Presidency consults those units to get their approval before incorporating the changes. In case of objections, the Vice Presidency calls the corresponding Department heads to reach the necessary agreements for the coherent implementation of changes in common courses throughout the system.
- 12) The Vice Presidency for Academic Affairs designated a systemic committee with members recommended by the Deans for Academic Affairs to address the

University Board referral of Certification No. 09-06 of the Academic Senate of the Mayagüez Campus, which objects the policy established in Certification No. 130 (1999-2000) of the Board of Trustees for the design, revision and registration of courses, and syllabi structure. Committee members are examining the policy and evaluating its implementation to identify strengths and best practices, challenges and areas for improvement in the context of the reservations expressed by the Mayagüez Campus Academic Senate, to ensure a uniform and nimble process throughout the system, safeguarding compliance with programs' mission, and applicable licensing and institutional and professional accreditation applicable requirements.

In addition, one of the UPR System's 7 Committees of 7, the Leadership and Governance Committee once appointed by the President, will be charged with revising institutional leadership and governance structures, roles and responsibilities, based on a rigorous analysis of the Law and regulations in alignment with the Institutional Integrity and Leadership and Governance standards, as well as the best current practices in higher education, and making recommendations to promote their effective participation in carrying out the institution's mission and goals. Their task includes suggesting guidelines for the review of the internal regulations of all leadership, advisory and governing organizations and bodies, including the Board of Trustees, in compliance the applicable law and regulations, accreditation standards and best practices.

Continuity during leadership transitions

The UPRCA has been able to preserve continuity of the achievement of its mission during recent leadership transition processes and has implemented a number of measures that have improved shared governance and communication with its community in accordance to systemic and UPRCA mission (http://www.uprc.edu/Conocenos/vision_mision.html). During 2009-2010 UPR's leadership experienced important changes. In August 2009 President Antonio Garcia Padilla, Esquire, announced his resignation effective September 30, 2009, after nearly 8 years in office. Concurrently, 9 of the 11 Chancellors also resigned, in most cases, due to retirement. The Board issued Certification No. 12 (2009-2010), which established a Search Committee for Acting President (<http://www.certifica.upr.edu/PDF/CERTIFICACION/2009-2010/12%202009-2010.pdf>).

On February 1, 2010 Dr. José Ramón de la Torre was appointed President by the Board of Trustees, with the recommendation of consulting committees at both campus and systemic levels. President de la Torre is a recognized expert in Romance Philology, former Dean of Humanities of the UPR Río Piedras Campus, and former Executive Director and President of the Puerto Rico Institute of Culture until his appointment as President of the UPR. Based on institutional commitment to foster an organized transition with the appropriate overlap for the substantive transfer of information critical for the seamless continuity of the University agenda, the Board required an overlap period of two months between the Acting President and the newly appointed President.

President de la Torre initiated promptly the processes for the appointment of Chancellors, in compliance with the applicable rules and regulations. All Search and Consultation Committees across the system were appointed between February 18 and March 18, 2010, and all Chancellors were appointed by October 2010. Former Acting President Muñoz was appointed Chancellor of Mayagüez Campus.

The UPRCA Chancellor, who was formally appointed in October 2010, had been Acting Chancellor since October 2009. The Chancellor has appointed highly qualified, experienced and committed professionals to different administrative positions such as

Deans, Departments heads and Support staff. Many of them have held administrative positions and have previous experience (Appendix 6: Administrative Personnel-Academic Preparation and Continuity). They have provided experience and ensured continuity in times of leadership transition. This profile is similar to the diversity shown in the composition of the UPR Board of Trustees, where some members have served for close to six years and others have been recently appointed. The profile of current members (<http://sindicatos.upr.edu/miembros.htm>) evidences the body's diversity, concurrent with Commission's expectations. The mix of senior and new Board members supports continuity, at the same time, the influx of new approaches and ideas (See Central Administration's Assessment Report for more information on continuity during leadership transitions).

On February 11, 2011, President de la Torre presented his resignation for family reasons. To support the necessary institutional continuity and stability critical at its present juncture, on February 14, 2011, the Board of Trustees appointed Dr. Miguel Muñoz as Acting President. Dr. Muñoz credentials, experience as former Acting President and Chancellor of the Mayagüez Campus, rendered a transition period unnecessary thanks to his full command of current issues and challenges faced by the Institution. For the same reasons, the Acting Chancellor of the Mayagüez Campus until Muñoz's appointment as Chancellor, was appointed again to the post.

The Board of Trustees has pledged to expedite the consultation process for the formal appointment of a President and will consider Muñoz as candidate if nominated. Though informal transition processes have traditionally existed in the UPR System, the Board is also committed to developing a formal transition policy with the input of one of the 7 Committees of 7, to be appointed by the President. The Consulting and Transition Processes Committee will be charged with evaluating the effectiveness of search, consulting and transition processes in the University and to draft a proposal with the recommendations and input of the university community to review and update all aspects of such processes.

Periodic assessment of Board of Trustees

As articulated in the University Law and the UPR General Bylaws, the Board of Trustees is responsible for the direction, quality and integrity of the institution, the approval and update of its development plan and the oversight of its implementation and progress. Through Certifications No. 136 and 138 (2003-2004) respectively (<http://www.certifica.upr.edu/PDF/CERTIFICACION/2003-2004/136%202003-2004.pdf>, <http://www.certifica.upr.edu/PDF/CERTIFICACION/2003-2004/138%202003-2004.pdf>), the Board set out to establish an institutional effectiveness and programmatic evaluation culture mandating the systematic internal assessment as well as external assessment through professional accreditation of all academic programs and services.

To further develop the culture of evaluation in July 2009 the Board of Trustees issued Certification No. 3 (2009-2010) (<http://www.certifica.upr.edu/PDF/CERTIFICACION/2009-2010/3%202009-2010.pdf>), which defines a set of 30 indicators to evaluate the effectiveness of the UPR Planning Agenda, Ten for the Decade (<http://www.certifica.upr.edu/PDF/CERTIFICACION/2005-2006/123%202005-2006.pdf>),

Periodic Assessment Initiative

One of the roles and responsibilities of the Vice Presidency for Academic Affairs is to advise the Board of Trustees, the President, Chancellors and Deans for Academic Affairs on policy matters related to academic affairs, including compliance with accreditation requirements regarding Leadership and Governance, to promote their empowerment in alignment with their roles and responsibilities and best practices (UPR Action Plan I.C.7). In the face of the current challenges, the Vice Presidency has taken an active role in promoting the awareness of the Board, especially its new members, on accreditation expectations on the institution and on their primary role in governance, as evidenced by calls for meetings, agendas and minutes of meetings where these matters have been discussed (Evidence available at Site Visit).

In order to support an objective periodic assessment of the Board of Trustees in meeting stated objectives and responsibilities, on February 10, 2011 the Vice Presidency for Academic Affairs developed and submitted to the President of the Board a rubric draft based on expectations contained in Characteristics of Excellence Standard 4, Leadership and Governance, and MSCHE publication Governing Boards, to assist the body in identifying areas of strength and areas in need for improvement in their current practices. On February 25, 2011 an external consultant with extensive expertise in accreditation and experience as a Governing Board member met with the Board to assist them on refining the rubric according to their particular profile, needs and priorities, and on launching the self assessment process. Based on the self assessment findings, the external consultant will design and offer a workshop or series of workshops to the Board of Trustees beginning no later than April 2011 (UPR Action Plan I.C.7).

In addition, one of the 7 Committees of 7, to be appointed by the President, Leadership and Governance Committee, is being charged with revising institutional leadership and governance structures, roles and responsibilities, based on an analysis of the Law and regulations in alignment with applicable standards, as well as the best current practices in higher education, and making recommendations to promote their effective participation in carrying out the institution's mission and goals (UPR Action Plan I.C.6). Their task includes suggesting guidelines for the review of the internal regulations of all leadership, advisory and governing organizations and bodies, including the Board of Trustees, in compliance the applicable law and regulations, accreditation standards and best practices. The purpose of creating an Ad Hoc Committee is to foster an independent evaluation process to serve as a starting point to assist institutional leadership and governance bodies rethink critical aspects of its structures, roles and responsibilities to promote effective participation and collegiality.

Both the self assessment and the Ad Hoc Committee on Leadership and Governance external evaluation processes will feed each other to assist the Board of Trustees in further improving its effectiveness in the exercise of their roles and responsibilities

towards advancing the institution's mission, goals, planning and priorities, and to further clarify at all levels their specific authority, roles and responsibilities in shared governance in alignment with applicable laws and regulations.

Assessment of Action plans

As explained in this section UPR-Carolina has made significant progress in strengthening compliance with Standard 4. The following table outlines some of the progress to date of the UPRCA Action Plan. The institution is in the process of further assessing the actions being implemented.

Table 5
Progress to date of the UPRCA Action Plan

| MSCHE Standard | Areas of emphasis | Progress to date or Actions being implemented toward these ends |
|----------------------------------|--|---|
| Leadership and Governance | <ul style="list-style-type: none"> Define and clarify the roles, responsibilities and respective authorities of the different delivered and constituents bodies. Establish procedures for timely and efficient decision making. Maintain ongoing and transparent communication with all constituents. | <ul style="list-style-type: none"> Include updated action plan at UPRCA web site |
| Educational Offerings | <ul style="list-style-type: none"> Maintain the length, rigor and depth of academic programs. | <ul style="list-style-type: none"> Continuity of academic offerings |
| Institutional Resources | <ul style="list-style-type: none"> Financial measures to secure continuity of operations and institutional effectiveness. Additional funding sources. | <ul style="list-style-type: none"> UPRS recommendations implemented Creation of the External Funding Office |

UPRCA prides itself for a successful and continuous implementation of its Action Plan to strengthen compliance with the Standards of Excellence.

Standard 11: Educational Offerings:

The UPRCA has maintained its commitment to assure that its display excellence, continuity, breadth, and rigor consistent with the mission and policies in alignment with accreditation requirements of Standards of Excellence. UPRCA academic programs are committed to develop programs respected in the academic, professional and industrial spheres that produce highly able and intellectually prepared graduates.

The academic activities at UPRCA have been continuous and completed with the required contact hours as scheduled on the amended academic calendar 2010-2011. The academic rigor is maintained as analyzed in the institutional student learning assessment used to measure students' competencies and skills (i.e. grades distribution, total and partial withdrawals, incompletes, academic degrees granted) (Evidence on site).

Excellence of academic offerings is sustained by continual internal and external assessment: five-year cycles of program review (Certification No. 43 of the Board of trustees) and by professional accreditation to reaffirm their excellence and relevance, to determine their effectiveness.

The School of Hotel and Restaurant Management was accredited by the Accreditation Commission for Programs in Hospitality Administration (ACPHA) in 2008. In addition, Business Administration and Office Systems are in the process of being accredited by ACBSP and will receive a site visit in March 2011. The Social Sciences, Interior Design, and Graphic arts and Industrial Maintenance are revising the Professional Program to be accredited by the respective accreditation bodies of their fields. The criteria for these processes are specific to the discipline, the standards and the assessment processes identified by the accrediting agency. In addition, the evaluation of academic programs at UPRCA are aligned with the goal of developing a "Culture of Institutional Evaluation and Assessment" of the UPR Strategic Plan *Diez para la Decada* (Ten for the Decade).

SECTION 3: CONCLUSION

UPRCA reaffirms itself in its commitment to continue offering excellent academic programs to fulfill its mission and vision. The UPRCA has developed and implemented an aggressive action plan to support its academic offerings and achieves fiscal stability in compliance with the MSCHE Characteristics of Excellence.

Academic program and services were improved thanks to a profound analysis that allowed community participation in the decision-making process. Internal control measures have been implemented to assure the continuity of all operations that support the Mission, Vision and Objectives. UPRCA implemented measures that enabled the institution to receive external funding from different sources. It also developed projects of its own that have generated additional income.

UPRCA and the UPR Central Administration have made progress in the revision and implementation of institutional policies that ensure compliance with MSCHE Standards of Excellence. Governance procedures have also been enhanced in a way that increased participation and deployment of all related accreditation information, as established by institutional bylaws and regulations. UPRCA remains committed to develop high quality academic programs that support its Mission statement. Institutional operation has continued as the regular quarter term calendar has been under way uninterrupted.

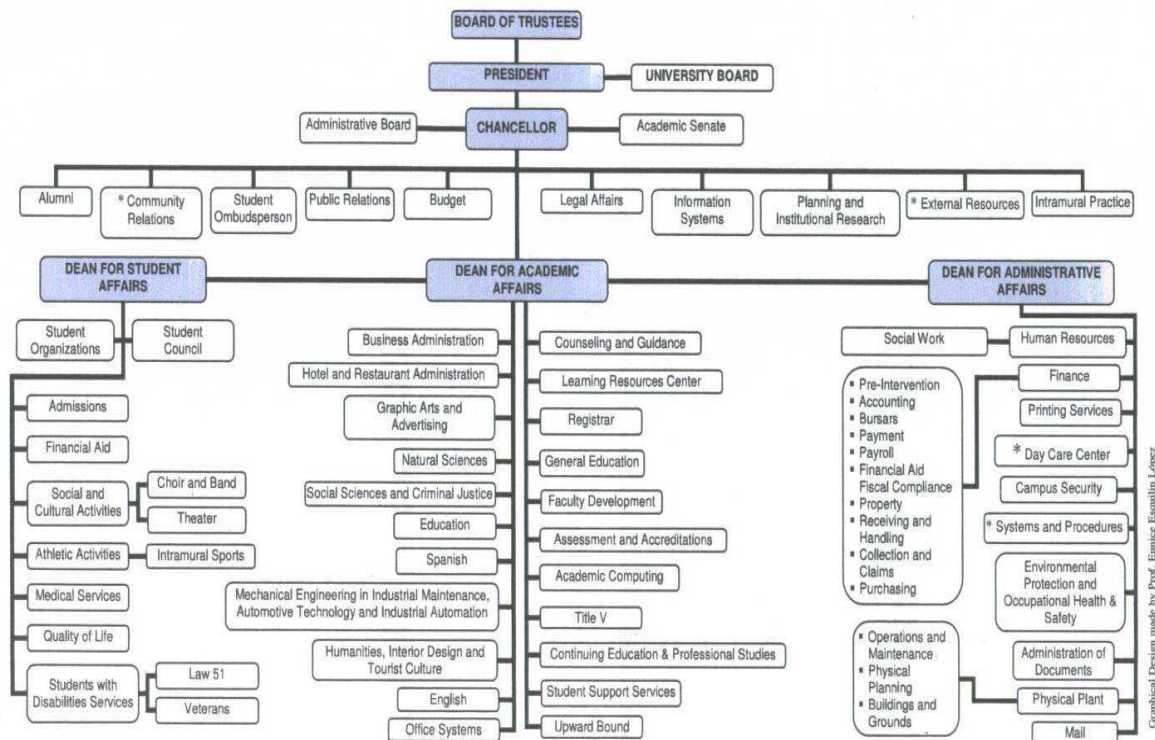
This Monitoring Report has addressed all the aspects required by MSCHE to fulfill the Standards of Institutional Resources and Leadership and Governance. It provides a description of the University performance as measured against the fourteen characteristics of excellence. UPRCA developed the report around four broad outcomes and institutional priorities and through a series of specific objectives: compliance with the Fourteen Standards of Excellence; an examination of institutional transformation since the last Monitoring Report and Action Plan; a self-examination at all levels through a fair representation of the academic community; and the implementation of

recommendations for ongoing improvement to achieve the Mission and effectively face future challenges.

Appendices



ORGANIZATIONAL CHART



* In process of planning and development

Organizational chart reviewed in October 2008

Graphical Design made by Prof. Eunice Esquin Lope



Calendario Académico 2010-2011

Inicio

Primer
Cuatrimestre

Segundo
Cuatrimestre

Tercer
Cuatrimestre

Verano

Primer Cuatrimestre 2010-2011

Aprobado por la Junta Administrativa bajo la Certificación Núm. 34 (2009-2010) y enmendado bajo las Certificaciones 44 (2009-2010) y 4 (2010-2011).

| | |
|--|--|
| 16 al 20 de agosto (lunes a viernes) | Orientación y matrícula para estudiantes procedentes de escuela superior. |
| 6 de septiembre (lunes) | DÍA DEL TRABAJO Día feriado. |
| 14 al 17 de septiembre (martes a viernes) | Período de pago de matrícula y cambios a la misma. |
| 18 de septiembre (sábado) | Comienzo de clases sabatinas. |
| 20 de septiembre (lunes) | Comienzo de clases regulares. |
| 20 de septiembre (lunes) | Pago de matrícula tardía con recargo y cambios. |
| 23 de septiembre (jueves) | GRITO DE LARES Receso académico y administrativo. |
| 27 de septiembre al 1 de octubre (lunes a viernes) | Semana para ofrecer pre-pruebas de Avalúo y Educación General. Se reunirán los cursos normalmente, pero se ofrecerá la prueba en el momento que determine oportuno el(la) profesor(a). |

| | |
|---|--|
| 30 de septiembre (jueves) | Último día para solicitar Traslado a otras unidades del sistema para el Segundo Semestre 2010-2011. |
| 1 de octubre (viernes) | Último día para radicar bajas con derecho al reembolso del 50% del pago efectuado por concepto de créditos en la matrícula(1). Último día para radicar solicitudes de Transferencia para el Segundo Cuatrimestre 2010-2011. |
| 8 de octubre (viernes) | Último día para radicar solicitud de Graduación(2), Readmisión y Reclasificación para el Segundo Cuatrimestre 2010-2011. |
| 12 de octubre (martes) | DÍA DE LA RAZA Día feriado. |
| 15 de octubre (viernes) | Último día para solicitar Permiso Especial para el Segundo Semestre 2010-2011. Último día para solicitud tardía de Readmisión y Reclasificación para el Segundo Cuatrimestre 2010-2011. |
| 25 de octubre al 5 de noviembre (lunes a viernes) | Periodo para efectuar el proceso de pre-matrícula del Segundo Cuatrimestre 2010-2011. |
| 4 al 10 de noviembre (jueves a miércoles) | Semana para ofrecer post-pruebas de Avalúo y Educación General. Se reunirán los cursos normalmente, pero se ofrecerá la prueba en el momento que determine oportuno el(la) profesor(a). |
| 5 de noviembre (viernes) | Último día para radicar solicitud tardía de Traslado para el Segundo Semestre 2010-2011. |
| 11 de noviembre (jueves) | DÍA DEL VETERANO Día feriado. |
| 17 de noviembre (miércoles) | Último día para radicar Bajas Parciales(3). |
| 19 de noviembre (viernes) | DESCUBRIMIENTO DE PUERTO RICO Día feriado. |
| 20 de noviembre (sábado) | Último día de clases sabatinas. |
| 22 de noviembre (lunes) | Último día para radicar solicitud tardía de Permiso Especial para el Segundo Semestre 2010-2011. |
| 25 al 27 de noviembre (jueves a sábado) | ACCIÓN DE GRACIAS Receso Académico y Administrativo. |

| | |
|--|---|
| 29 de noviembre (lunes) | Se reunirán los cursos y laboratorios de los jueves para reponer día feriado. |
| 1 de diciembre (miércoles) | Se reunirán los cursos y laboratorios de los viernes para reponer día feriado. |
| 3 de diciembre (viernes) | Último día de clases para los cursos que se reúnen lunes, miércoles y viernes. |
| 6 de diciembre (lunes) | Se reunirán los cursos y laboratorios de los jueves para reponer días feriados. |
| 6 de diciembre (lunes) | Último día de clases y para radicar Bajas Totales(3). |
| 7 al 13 de diciembre (martes a lunes) | Periodo oficial de Exámenes Finales. |
| 14 de diciembre (martes) | Vence el período para que los profesores reporten las calificaciones finales y las remociones de incompletos en o antes de las 12:00 m. Reunión de Facultad a las 2:00 p.m. |
| 15 al 23 de diciembre (martes a jueves) | Período para que los profesores participen en reuniones y comités departamentales e institucionales, actividades de creación y divulgación y de mejoramiento profesional programadas previamente. |

Anotaciones: (1) [Certificación 11 del 1981-82, CES](#)
(2) [Certificación 85 del 2005-06, Junta de Síndicos](#)
(3) [Certificación 17 del 1971-72, ACR](#)

El calendario académico puede estar sujeto a cambios por la Junta Administrativa.

 Volver Arriba



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Cuadro telefónico (787) 257-0000

UNIVERSIDAD DE PUERTO RICO
UPR
"Formando con Igual Oportunidad al Futuro"



Calendario Académico 2010-2011

Inicio

Primer
Cuatrimestre

Segundo
Cuatrimestre

Tercer
Cuatrimestre

Verano

Segundo Cuatrimestre 2010-2011

Aprobado por la Junta Administrativa bajo la Certificación Núm. 34 (2009-2010)
y enmendado bajo las Certificaciones 44 (2009-2010) y 4 (2010-2011)

| | |
|---|--|
| 20 al 23 de diciembre (lunes a jueves) | Período de pago de matrícula y cambios a la misma. |
| 24 diciembre de 2010 al 7 enero de 2011 (viernes a viernes) | RECESO DE NAVIDAD Receso Académico. |
| 10 de enero (lunes) | EUGENIO MARÍA DE HOSTOS Día feriado. |
| 11 de enero (martes) | Comienzo de clases regulares. |
| 11 de enero (martes) | Pago de matrícula tardía con recargo y cambios. |
| 15 de enero (sábado) | Comienzo de clases sabatinas. |
| 17 de enero (lunes) | NATALICIO DE MARTÍN LUTHER KING Día feriado. |
| 24 al 28 de enero (lunes a viernes) | Semana para ofrecer pre-pruebas de Avalúo y Educación General. Se reunirán los cursos normalmente, pero se ofrecerá la prueba en el momento que determine oportuno el(la) profesor(a). |
| 25 de enero (martes) | Último día para radicar bajas con derecho al 50% de reembolso del pago efectuado por concepto de créditos en la matrícula(1). |

| | |
|--|---|
| 4 de febrero (viernes) | Último día para solicitar Graduación(2), Readmisión y Reclasificación para el Tercer Cuatrimestre 2010-2011 |
| 15 de febrero (martes) | Último día para solicitar Traslado a otras unidades del sistema para el Primer Semestre 2011-2012. |
| 18 de febrero (viernes) | Último día para radicar solicitud tardía de Readmisión y Reclasificación para el Tercer Cuatrimestre 2010-2011. |
| 21 de febrero (lunes) | DIA DE LOS PRESIDENTES Día feriado. |
| 25 de febrero (viernes) | Último día para solicitar Permiso Especial para el Verano y el Primer Semestre 2011-2012. |
| 28 de febrero al 11 de marzo (lunes a viernes) | Periodo para efectuar el proceso de Prematrícula para el Tercer Cuatrimestre 2010-2011. |
| 7 al 11 de marzo (lunes a viernes) | Semana para ofrecer post-pruebas de Avalúo y Educación General. Se reunirán los cursos normalmente, pero se ofrecerá la prueba en el momento que determine oportuno el(la) profesor(a). |
| 10 de marzo (jueves) | Ultimo día para radicar bajas parciales(3). |
| 17 de marzo (jueves) | Último día de clases para los cursos que se reúnen los martes y jueves. |
| 19 de marzo (sábado) | Último día de cursos sabatinos. |
| 22 de marzo (martes) | ABOLICIÓN DE LA ESCLAVITUD Día feriado. |
| 23 y 24 de marzo (miércoles y jueves) | Se reunirán los cursos y laboratorios de los lunes para reponer días feriados. |
| 24 de marzo (jueves) | Último día de clases y para radicar Bajas Totales(3). |
| 25 de marzo (viernes) | Último día para radicar solicitudes tardías de Traslado a otras unidades del sistema para el Primer Semestre 2011-2012. Último día para radicar solicitudes tardías de Permiso Especial para Verano 2011 y Primer Semestre 2011- 2012. |
| 25 al 31 de marzo (viernes a jueves) | Periodo oficial de Exámenes Finales. |

1 de abril
(viernes)

Vence el periodo para que los profesores reporten las calificaciones finales y las remociones de incompletos en o antes de las 12:00 m.

Reunión de Facultad a las 2:00 p.m.

- Anotaciones:
- (1) [Certificación 11 del 1981-82, CES](#)
 - (2) [Certificación 85 del 2005-06, Junta de Síndicos](#)
 - (3) [Certificación 17 del 1971-72, ACR](#)

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UNIVERSIDAD DE PUERTO RICO
UPR
"Fratres coram: Igual Oportunidad de Estudio"

Certification Number 11(2009-2010)

Academic Senate, University of Puerto Rico at Carolina

Revision of the Functions of the Directors of Academic Departments

Abstract

The Academic Senate of the University of Puerto Rico in Carolina approved the recommendations submitted by the Academic Affairs and Faculty Affairs Committees related to the revision of the functions of the Directors of Academic Departments in a regular meeting held on February 18, 2010. These functions are included as part of the document and are divided into the following categories:

- Communication
- Curriculum and Academic Offerings
- Personnel
- Students
- Planning and Evaluation
- Budget and other Resources
- Professional Development

Certification Number 24 (2006-07)

I, Carmen Ovidia Torres, Secretary of the University of Puerto Rico at Carolina Academic Senate, certify that:

The Academic Senate, in a general meeting held February 8, 2007, took into consideration the Academic Affairs Committee report related to the request of the Office of Academic Affairs to amend Academic Senate Certification Number 15 (2003-04), "Institutional Policy for Authorizing the Creation of an Individualized Class for a Regular Course."

After a careful study of the certification, the Senate amended it. Among the amended points, the student requesting an individualized class must be a bona fide UPRCA student; courses with laboratory components, practicums, and other courses decided upon by the departments or academic affairs cannot be authorized for individualized study; the student has never failed or withdrawn from the course; the course is not being offered during the requested term and the student can justify why he/she cannot take the course in the correct sequence; and the student cannot take courses that are prerequisites (such as INGL 3101 and 3102) at the same time.

Administrative Personnel- Academic Preparation and Continuity

| Name | Position | Academic Preparation | Year of appointment to current position |
|--------------------------|--|----------------------|---|
| Ana Falcón | Dean of Academic Affairs | Doctorate | 2009 |
| Gerardo Perfecto | Dean of Student Affairs | Doctorate | 2009 |
| Rafael Gierbolini | Dean of Administrative Affairs | MA | 2007 |
| Miguel Pérez | Dean of the School of Hotel and Restaurant Administration | MA | 2008 |
| Awilda Vélez | Director of Student Support Services | MA | 1995 |
| Stanley Portela-Valentín | Director of the Library | MLS | 2002 |
| Walbert Marcano | Director of Automotive Technology and Industrial Maintenance | MA | 2006 |
| Gloria Oliver | Director of the Counseling Department | Doctorate | 2007 |
| Abelardo Martínez | Registrar | MA | 2008 |
| Kathryn Robinson | Director of English Department | MA | 2009 |
| Awilda Núñez | Director of Education Department | Doctorate | 2009 |
| Orlando Torres | Director of Graphic Arts and Business Advertising Department | MA | 2009 |
| Marisol Rodríguez | Director of Natural Sciences Department | MA | 2009 |
| Tomás R. Clemente | Director Office Systems Department | MA | 2009 |

MONITORING REPORT

ADDENDA

MARCH 1, 2011

ADDENUM 1

University of Puerto Rico Central Administration Follow-Up Report:
University of Puerto Rico Action Plan for Sustained Compliance
with the Leadership and Governance, Educational Offerings,
and Institutional Resources Standards of Excellence of
the Middle States Commission on Higher Education

LIST OF ADDENDA

ADDENDUM 1 : University of Puerto Rico Central Administration Follow-Up Report:
University of Puerto Rico Action Plan for Sustained Compliance with the
Leadership and Governance, Educational Offerings, and Institutional
Resources Standards of Excellence of the Middle States Commission on
Higher Education

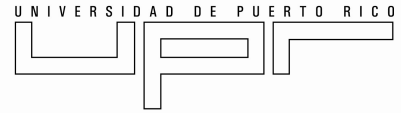
Appendix 1: University of Puerto Rico Budget Distribution Summary by
Expenses General Ledger, FY 2010-2011 to 2014-2015

ADDENDUM 2: Implementation and Assessment Guide

ADDENDUM 3: Implementation and Assessment Report

February, 2011

ADDENDUM 1



ASSESSMENT REPORT

UNIVERSITY OF PUERTO RICO ACTION PLAN FOR SUSTAINED COMPLIANCE WITH
THE LEADERSHIP AND GOVERNANCE, EDUCATIONAL OFFERINGS, AND
INSTITUTIONAL RESOURCES STANDARDS OF EXCELLENCE OF THE MIDDLE STATES
COMMISSION ON HIGHER EDUCATION

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ASSESSMENT REPORT

UNIVERSITY OF PUERTO RICO ACTION PLAN FOR SUSTAINED COMPLIANCE WITH THE LEADERSHIP AND GOVERNANCE, EDUCATIONAL OFFERINGS, AND INSTITUTIONAL RESOURCES STANDARDS OF EXCELLENCE OF THE MIDDLE STATES COMMISSION ON HIGHER EDUCATION

On September 6, 2010, the Rio Piedras and Mayagüez Campus, the University of Puerto Rico (UPR) in Cayey, Humacao, Arecibo, Bayamón, Ponce, Aguadilla, Carolina, and Utuado submitted to the Middle States Commission on Higher Education (MSCHE) a Consolidated Monitoring Report (CMR) addressing Commission's concerns and expectations underlying the probationary action over Standard 4, Leadership and Governance, and Standard 11, Educational Offerings, and on steps taken to improve the institution's finances and seeking alternative funding sources in accordance with Standard 3, Institutional Resources, through the enactment of the **University of Puerto Rico Action Plan for Ongoing and Sustained Compliance with the Leadership and Governance, Educational Offerings, and Institutional Resources Standards of Excellence**. The Plan outlines the current and projected measures towards evidencing compliance with said standards at the system and each unit level (<http://www.upr.edu/documentos/Guia-para-la-Implantacion-y-Evaluacion-del-Plan-de-Accion-Sistemico-de-la-UPR.pdf>).

On November 19, 2010 the Commission lifted probation over Standard 11, Educational Offerings, continued the probationary status over standards 3 and 4, Institutional Resources and Leadership and Governance respectively, and issued 9 requirements in full agreement with measures already contemplated in the Action Plan (http://www.upr.edu/docs-ms/SummaryMSCHE-UPRPublicDisclosureStatements-Nov19_2010.pdf). Among said requirements is to evidence the implementation and assessment of the UPR Action Plan.

Within the format agreed with the MSCHE Liaisons, the Task Force and accreditation coordinators of the UPR System, this Assessment Report provides substantive evidence of the effective execution of the UPR Action Plan at system level in accordance with Commission's Action 6, **"Evidence that the UPR Action Plan is implemented, that it is assessed, and the data are used for continuous improvement of the institution's processes."**, as well as compliance at system level with the 9 requirements in the Commission's action of November 2010.

COMMISSION'S REQUIREMENTS:

1. FIVE-YEAR FINANCIAL PROJECTIONS FOR THE UPR SYSTEM INCLUDING INFORMATION FROM AUDITED FINANCIAL STATEMENTS FOR FISCAL YEAR 2010.
2. INSTITUTIONAL PRO-FORMA BUDGETS THAT DEMONSTRATE THE INSTITUTION'S ABILITY TO GENERATE A BALANCED BUDGET FOR FISCAL YEARS 2012 THROUGH 2015, INCLUDING THE PERSONNEL, COMPENSATION, AND OTHER ASSUMPTIONS ON WHICH THESE BUDGETS ARE BASED.

As explained in the September 2010 CMR, the Puerto Rico Planning Board reported that the impact of the global recession on the Island's economy since 2006 has resulted in a steady decline in government appropriations that currently reflect a reduction of approximately 14% in tax revenues, which aggravates state government's deficit. UPR budget faces an ensuing reduction for the current and upcoming fiscal years, with FY 2010-2011 General Fund revenues 10% below the prior fiscal year.

State allotment to the UPR is contingent on the Central Government's previous year revenues. According to UPR Law, the Office of Management and Budget of Puerto Rico assigns annually 9.6% of the average net income collected by state government appropriations in the two prior fiscal years. Allocations to the units are based on their recurring budget, plus recurrent additions to finance salaries and benefit increases, operational expenses, and earmarks according to the institutional plan.

The University is committed to secure the necessary financial stability for ongoing academic excellence and effective accomplishment of its mission and goals and to avoid resorting to measures as drastic as those observed in many other public universities. Significant progress has been made in spite of the unprecedented fiscal challenges being faced. Among the measures to be further explained in this report, the institution is advancing towards: (1) prompting the necessary changes in policies and practices to support an effective, fair and efficient finance and budget planning and allocation of resources, and a timely disclosure to University constituents; (2) performing a thorough review of financial resources available for the upcoming years and revisiting the current strategic planning agenda; (3) prompting a reengineering of administrative processes to promote an efficient, non redundant and cost effective management (UPR Action Plan III.A).

The UPR Action Plan currently being implemented resulted from a careful planning process based on a thorough analysis of strategic priorities and institutional constraints, combined with strong financial control measures enforced by the Board of Trustees, the President and Chancellors, plus continuing efforts to identify additional funding sources.

Balanced Budget

Budget development in alignment with institutional planning, mission and goals is a primary responsibility of governance, within the calendar processes and regulations for its yearly development set in Certification No. 100 (2005-2006) of the Board of Trustees (<http://www.certifica.upr.edu/PDF/CERTIFICACION/2005-2006/100%202005-2006.pdf>).

As established in Article 6 of Certification No. 100, the development of the President's Budget Project incorporates Chancellor's input for allocations to the system. The Central Administration Budget Office issues general guidelines for the distribution of resources and discusses the budgetary outlook for the next fiscal year with the Chancellors and their respective Budget Directors. Chancellors align each unit Budget to their respective strategic plans and assessment results in consultation with the Central Administration's Budget Director.

A continuous back and forth flow of information between the Central Budget Office and the units nurtures the budget development process. The Budget Office coordinates as many meetings as

necessary with Chancellors and Budget Directors to receive their input and incorporate their recommendations. In addition, individual meetings and communications via email or telephone with unit Budget Directors allows the Central Administration Budget Director to further assess the needs of each unit and determine adequate allocations throughout the system (Evidence at Site Visit).

The Institutional Budget Committee, which includes the Directors of the Budget, Finance and Infrastructure Development Central Offices, the Vice Presidents for Academic Affairs and for Research and Technology, and up to three more members appointed by the President, also advises the President in the development of the Budget Project proposal. Once formulated, the President presents the proposal to the University Board for further review. The revised Budget Project is then presented to the Board of Trustees for final approval.

Upon approval of the FY Budget by the Board of Trustees, the Chancellors, in coordination with their Budget Officers, bring their proposed budget distribution to their respective Administrative Boards for its certification.

Cost Control Measures

The 2011-2012 Budget Project proposal in progress continues with the cost control measures established by the Board of Trustees and the President in areas which do not materially affect the quality and continuity of academic offerings, such as:

- 1) Reductions in general expenses driven by a 5% adjustment in service contracts, additional compensations, materials and others.
- 2) A pause in salary increases, promotions, and summer session allocations.
- 3) Partial replacement of retired employees (only 33% have been replaced).
- 4) A pause in benefits not required by law, namely, faculty allowances, financial aid for faculty studies, sick-leave reimbursements, special bonuses, and perquisites.
- 5) Reduction of payment commitments to the Medical Plan.
- 6) Reduction of fringe benefits of the UPR Pension Plan.
- 7) Revision of tuition exemption policies within the framework of Certification No. 131 (2009-2010) of the Board of Trustees.
- 8) Establishment of a minimum carrying capacity of 30 students in traditional undergraduate courses.
- 9) Energy saving measures.
- 10) Reduction in release time associated with faculty administrative duties.
- 11) Reduction in travel expenses.
- 12) Units are expected to finance activities not contemplated in the Budget by generating the necessary external revenues to cover associated costs.

13) As part of the ongoing evaluation of educational offerings mandated by institutional policies to promote informed decisions regarding the continuation of academic programs:

- Since 2009-2010, Deans for Academic Affairs started evaluating the 321 active articulated transfer programs between units throughout the system based on their effectiveness in demand, retention, transfer and graduation rates, among others. Articulated transfer programs, established by signed agreements between Chancellors and the President, allows a unit of origin to offer the first two years of an academic program from another unit, to which the student will transfer to complete the degree. Based on the findings, 129 transfer programs were inactivated in 2010 and another 7 in 2011, allowing for the reallocation of resources to the degree granting offerings of units of origin. 185 articulated transfer programs found effective by the evaluation process remain active throughout the system.
- Likewise, 7 degree granting academic programs were closed (moratorium) effective year 2010-2011.
- As agreed with Chancellors and Deans of Academic Affairs, a freshman admission carrying capacity aligned with the available resources is being set by each unit to safeguard institutional commitment with both freshman and active students, leading to slight downward adjustments of 7% and 10% respectively in the overall first year 2010 and 2011 admission.

In the face of the expected additional decrease of 5% in government revenues during FY 2011-2012, the President and Chancellors together with the Central Budget Director are aggressively identifying additional cost control measures and other corrective actions, incorporating assessment results of institutional planning, to assure balanced budgets, sufficient financial resources to carry out UPR mission and execute its plans effectively (Evidence at Site Visit).

The Central Budget Office has taken a strong lead communicating, monitoring and assuring cost control measures and guidelines for distribution of resources and verifying that these are being followed for the effective deployment of financial resources for mission success (UPR Action Plan III.A.4). When warranted, it also individually assists units in thoroughly reviewing budget processes and implementing timely corrective measures. In continuous communication with unit Budget Directors, the Central Administration Budget Office has enforced compliance with institutional directives regarding strategic planning, budget allocation, and cost control measures at central and unit levels by implementing the following practices (Evidence at Site Visit):

- 1) Monitor unit's current versus budgeted expenses.
- 2) Review, transfer, and freeze accounts when necessary to enforce compliance with institutional directives regarding budget processes.
- 3) Request reports by program for comparison with approved budget to detect discrepancies.
- 4) Request quarterly budget, expenses and projection reports as mandated by Certification No. 135 (2009-2010) of the Board of Trustees (<http://www.certifica.upr.edu/PDF/CERTIFICACION/2009-2010/135%202009-2010.pdf>).

- 5) Periodic meetings with unit Budget Directors to receive input and provide guidance.
- 6) Establish additional cost control measures when warranted.

In compliance with institutional processes the Budget Director developed eight (8) report formats for each unit to develop pro-forma budgets (See UPR Action Plan III.A.3 and Evidence at Site Visit). These efforts have significantly improved compliance with budget procedures at central and unit levels, while avoiding additional costs associated with appointing Internal Financial Monitors, as originally contemplated in the Action Plan.

As part of the institutional efforts to enhance the effective and efficient use of resources, one of the 7 Committees of 7 to be appointed by the President, Institutional Strategic Planning Committee, is charged with helping identify institutional priorities to recommend guidelines for the reorganization of the institutional planning agenda based on the UPR mission and goals, the assessment of its outcomes and the available and expected resources (UPR Action Plan III.A. 1). Recommended guidelines will be widely disseminated for discussion with university constituents in order to develop a final draft for each unit to use as a guide when revisiting their respective planning agendas

The Role of the 7 Committees of 7

Among the numerous and diverse activities in place to advance the accomplishment of the prongs and goals in the Action Plan, the 7 Committees of 7 are conceived as work groups composed of University constituents and stakeholders charged with providing wise, experienced, expert and independent advice to help leadership and governance rethink critical aspects of the institution in this challenging juncture. Among other constructive recommendations from MSCHE Liaisons since prior to the Commission's actions towards UPR units, was to examine the experience of Gallaudet University as perhaps the only precedent to the UPR regarding a probation action prompted by student stoppages. The creation of these ad hoc committees emulates Gallaudet's model to address similar challenges. (<http://aaweb.gallaudet.edu/documents/MSCHE/2008-04-Gallaudet-MSCHE-MonitoringReport.pdf>).

Since the September 2010 Exit Meeting the University welcomed the Special Team's recommendations to the effect of bringing units into the process of membership selection and further developing the charge to the Committees, and that processes to be used by the Committees be open and transparent. Therefore, instead of appointing members by invitation based on their expertise and experience—as originally conceived in the Action Plan—on January 29, 2011 an open call was published through *Cartero AC* and the major circulation newspaper of the Island: (1) to apply to join the Committees to assist UPR leadership, advisory and governing bodies in identifying innovative alternatives to address critical areas and topics that advance stated goals of the UPR Action Plan; (2) to submit input to fine tune their charge (http://www.upr.edu/documentos/Comite_77_UPR_XL.pdf, http://www.upr.edu/documentos/Comite_77_UPR.pdf). This call has generated great interest and input. Numerous applications have been received from students, faculty, employees, alumni, former faculty and administrators, and other University stakeholders.

All 7 Committees' charge will include devising ways to receive input from the University Community and stakeholders in the formulation of their analyses and recommendations. Also, as recommended by the University Board: (1) a Committee composed of one student representative and one faculty representative, one Chancellor and two members of the President staff, will evaluate candidates to the 7 Committees of 7 and make recommendations to the President; (2) the recommendations by the 7 Committees will be brought to their consideration to provide input before being brought to the Board of Trustees.

Five-Year Financial Projections

In order to improve the institution's ability to generate a balanced budget for the years 2012-2015, the five-year financial projections included in the CMR of September 2010 have been revisited with updated external and internal parameters and assumptions, while simultaneously developing the 2011-2012 Budget. The revised financial projections on expected revenues for the five year period ending June 30, 2015 are based on the following assumptions: (1) the 4% yearly increase in tuition costs established in Certification No. 60 (2006-2007) of the Board of Trustees (<http://www.certifica.upr.edu/PDF/CERTIFICACION/2006-2007/60%202006-2007.pdf>); (2) continuing state support through the 9.6% formula; (3) a relatively stable student population (except the expected reduction in 2011-2012 following the recent student conflicts); (4) no additional ARRA funds; (5) \$40 M from the implementation of the Stabilization Fee of \$800 per academic year, effective on year 2010-2011 (<http://www.certifica.upr.edu/PDF/CERTIFICACION/2009-2010/146%202009-2010.pdf>, <http://www.certifica.upr.edu/PDF/CERTIFICACION/2009-2010/135%202009-2010.pdf>).

The Government of Puerto Rico makes projections on a current year and next year basis. Since state appropriations are the most significant portion of University's revenues, the Finance and Budget Directors have held extensive consultations with the Secretary of the Treasury, experts at the Government Development Bank and several local economists to identify reliable parameters for developing a five year projection. A recently implemented significant tax reform plus additional revenue measures are expected to positively impact local economy. Since it's too soon to accurately project their magnitude, conservative assumptions are being used regarding state funding, namely, an expected decrease by an additional 5% during FY 2011-2012, with revenues increasing thereafter at a rate of about 2%.

Audited Financial Statement

The Audited Financial Statement for FY 2010 is yet to be issued due to the complexity of the UPR accounting system and issues related to the implementation of the University Financial Information System (UFIS) since its inception in 2007. Namely: (1) while each unit independently manages its accounting, the UFIS financial system software centralized accounting processes; (2) only the General Ledger and Accounts Payable modules were originally implemented, while some subsidiary modules normally integrated to the system and crucial for its effective performance were excluded; (3) the reduction of accounting personnel at the units due to retirement have consequently decreased the level of expertise in UFIS.

As a result, the timely emission of Audited Financial Statements has been hindered, as reflected in the findings in the 2009 Audited Financial Statement: (1) "lack of adequate controls during the implementation of the new accounting system resulted in an ineffective and inefficient financial statements close process"; (2) "In reviewing and developing the closing process, the University should ensure that it has sufficient accounting personnel with the appropriate experience and training to effectively perform the financial statement close process" ([http://www.upr.edu/docs-ms/UPR-AuditedFinancialStatements-June30-2009.pdf](http://www.upr.edu/docs/ms/UPR-AuditedFinancialStatements-June30-2009.pdf)).

Strategies for Improvement

On a telephone conference held on February 8, 2011, the University leadership informed the MSCHE Liaison of the actions in progress to address the aforementioned challenges, implement external auditors' recommendations, issue FY 2010-2011 Audited Financial Statement no later than May 2011, and guarantee timely issuance of future Audited Financial Statements. To this end, the Finance Office has taken the following measures:

- 1) To speed up the flow of financial information needed to issue the statement draft to be submitted to the external auditors, an external firm with expertise in government accounting processes was contracted to:
 - assist the units and Central Administration in reconciling and verifying information for the external auditors;
 - troubleshooting problems in accounting processes, assess financial processes, review accounts receivable practices and submit recommendations for improvement.
- 2) A firm of software specialists has also been recruited to revise UFIS implementation, devise solutions to improve its performance and develop reports to facilitate access to the necessary financial information to draft financial statements:
 - Manuals have been developed to guide units in accounting processes needed to ensure efficient monthly closings.
 - Reports such as "Statement of Net assets", "Expenses vs. Budget", and "Statements of Revenues and Expenses" have been incorporated to the UFIS system to facilitate generating reports required by IPEDS and the Government Development Bank.
 - Implementation of the "Cash Management Module" is underway with the trial phase scheduled to begin at Central Administration, the Resources Center for Science and Engineering and the Board of Trustees.
 - Unit accounting personnel are currently being trained in account creation and purchasing modules.
 - A committee with representatives from various units, along with the insight of the consulting firm are developing and implementing recommendations for improvement to the UFIS system.

- Unit income and expense reports will be produced to monitor their monthly and quarterly performance when the current UFIS accounting system is updated.
- 3) Continued efforts toward minimizing accounts receivables are in progress. Meetings have been held with major governmental debtors to coordinate agreements for collection (UPR Action Plan III.A.4),

The Action Plan contemplates creating the position of Chief Financial Officer (CFO) by July 2011, responsible for providing guidance on institutional, strategic financial planning, budget and direct budgeting at the central and unit level (Action Plan III.A.4). The proposal for the position has been drafted (Evidence at Site Visit). Nonetheless, if significant progress is achieved from the corrective actions currently being implemented in these areas, as was the case of the original intent of appointing Financial Monitors, the appointment of a CFO may be postponed to avoid the additional costs.

In addition, two of the 7 Committees of 7 to be appointed by the President, Budget and Finance Committee and Administrative Efficiency Committee (UPR Action Plan III.A.4), are being charged respectively with: (1) assessing the effectiveness of the existing budget development process and make the corresponding recommendations for improvement; (2) evaluating administrative structures, processes and functions and recommend measures to promote cost effectiveness and efficiency in management with the purpose of improving services at the system and unit levels. The latter is an ambitious longer term undertaking, projected over a two year period.

The Ad Hoc Budget and Finance Committee has a completely different purpose and charge from the Institutional Budget Committee. While the Institutional Budget Committee, created through Certification 100, assists in developing the Annual Budget Project, the Ad hoc Committee will assist in evaluating the effectiveness of the budget development process. The Administrative Efficiency Committee, on the other hand, is expected to assist in developing administrative efficiency measures, additional to those already in place. Examples of measures already implemented at unit level include, restructuring administrative offices, redistributing tasks, and revising executive positions.

COMMISSION'S REQUIREMENT:

3. EVIDENCE THAT THE BOARD OF TRUSTEES ASSISTS IN GENERATING RESOURCES NEEDED TO SUSTAIN AND IMPROVE THE INSTITUTION.

The Board of Trustees, President, Vice President for Research and Technology and Chancellors, are actively pursuing augmenting and diversifying sources of funding. Historically, federal and state grants plus other strategic financial opportunities have assisted the institution with much needed resources to supplement revenues and to continue to effectively achieve its mission. Federal grants have been received from such agencies as the National Science Foundation, the National Institutes of Health, the National Oceanic and Atmospheric Administration, the National

Aeronautics and Space Administration, and the National Foundation for the Humanities, among others.

Board of Trustees

The Board of Trustees is responsible for the direction, quality and integrity of the institution, the approval and update of its development plan and the oversight of its implementation and progress. It is also responsible for the approval of the budget recommended by the President, assisting in the development of resources to sustain and improve the institution, and the establishment of institutional policies and Bylaws (<http://sindicatos.upr.edu/reglamento.htm>).

As reported in September 2010, in the year 2007-2008 the Board of Trustees revised the Capital Improvement Program (CIP) in the face of the current financial scenarios to continue projects already in progress at the time. Over 35 projects directly related to the academic and research endeavors that were given priority in the original CIP, are among those currently under construction throughout the system and are scheduled to be finished between years 2011 and 2013. In November 2010, the Board authorized the President to find the necessary financing for their completion (<http://www.certifica.upr.edu/PDF/CERTIFICACION/2010-2011/41%202010-2011.pdf>), by seeking a \$60 M interim line of credit from the Government Development Bank.

The Board is actively fulfilling its fiduciary responsibility including assisting in generating resources for the Institution. In 2003-2004 the Board explicitly articulated this responsibility by constituting a Special Committee for Development of External Resources through Certification No. 4 (2003-2004) (<http://www.certifica.upr.edu/PDF/CERTIFICACION/2003-2004/4%202003-2004.pdf>), to carry out activities to attract private donations and other nongovernmental funding, setting fundraising goals for the Board, developing and coordinating activities toward this end. Within this initiative Trustees began donating their stipends since 2003 generating \$154,967 to date towards the Endowment Fund.

Since then the Central Administration Office of Development and Alumni (ODA) has supported and strengthened fundraising efforts and initiatives at the central and unit levels in collaboration with the Board of Trustees Development Committee, the Chancellors, units' Alumni Offices and External Resources Offices, to promote donations and alliances with community, private and government entities to develop additional funding sources.

In 2008 the Board broadened the Committee's charge to oversee also the implementation of the UPR Fundraising Plan, and further develop the Endowment Fund, among others, through Certification No. 11 (2008-2009) (<http://www.certifica.upr.edu/PDF/CERTIFICACION/2008-2009/11%202008-2009.pdf>). In 2009 the Committee developed an institutional fundraising policy both at unit and system levels contained in Certification No. 36 (2009-2010) (<http://www.certifica.upr.edu/PDF/CERTIFICACION/2009-2010/36%202009-2010.pdf>). Each unit established the corresponding fundraising infrastructure supported by the ODA.

Presently, the Board's Development Committee and the Finance Committee have both assumed responsibility for tackling the fiscal situation as evidenced through their meeting agendas and minutes (Evidence at Site Visit).

In an effort to seek additional funding for the University, during the past months the President and members of the Board of Trustees' Finance Committee have held meetings with the Secretary's of several government agencies. Trustees have also met on many occasions with the Governor of Puerto Rico, the President of the House of Representatives, the President of the Senate of Puerto Rico and government's advisors. Also, with the Secretary of the Department of Treasury, the Director of the Office of Budget and Management to request support and propose initiatives to identify additional funding sources for the University (UPR Action Plan III.B.1).

To temper the current and expected decline in state funding in the upcoming years, the Board of Trustees has taken the following steps to create alternate sources of funding (UPR Action Plan III.B.1):

- 1) **Implementation of a Stabilization Fee of \$800 per academic year, effective on year 2010-2011** (<http://www.certifica.upr.edu/PDF/CERTIFICACION/2009-2010/146%202009-2010.pdf>). An additional yearly income of not less than \$40 M is expected from its implementation. As agreed through court assisted mediation, among many other efforts to dispose of the student conflict that interrupted academic activities in 10 of 11 units of the system between April and June 2010, the implementation of the Stabilization Fee was postponed to the second academic session of year.
- 2) **A \$100 M line of credit from the Government Development Bank**, obtained on October 2010, in order to secure working capital during the current academic year (<http://www.certifica.upr.edu/PDF/CERTIFICACION/2010-2011/5%202010-2011.pdf>).
- 3) **Additional student aid funding and expansion of existing programs to help needy students tackle the Fee.**
 - **Special Scholarship Fund of the University of Puerto Rico.** By Law No. 176 of November 2010, the Senate of Puerto Rico committed to transfer to the University 10% of the of the Additional Lottery net yearly income for not less than \$30 M per year, for the creation of a Special Scholarship Fund for graduate and undergraduate student aids. The President of the University, the President of the Board of Trustees and other Board members were instrumental in obtaining the commitment from the State Government to amend Law 176 to ensure not less than \$30 M per year. The Bylaws issued by the Board for the implementation of the Special Scholarship factors in the expected amendment to that effect (<http://www.certifica.upr.edu/PDF/CERTIFICACION/2010-2011/70%202010-2011.pdf>).
 - **Reactivation of the Supplementary Institutional Assistance Program (PASI**, by its Spanish acronym). On December, 2010, the Board of Trustees assigned \$1,662,256 from the profits of the University Endowment Fund to reactivate the *PASI* to provide aids to graduate students (<http://www.certifica.upr.edu/PDF/CERTIFICACION/2009-2010/151%202009-2010.pdf>, <http://www.certifica.upr.edu/PDF/CERTIFICACION/2010-2011/57%202010-2011.pdf>, <http://www.certifica.upr.edu/PDF/CERTIFICACION/2010-2011/67%202010-2011.pdf>)

- **Increase Funding for the Federal Work Study Program.** The State Government assigned an additional \$1.7 M to the Federal Work Study Program funding of the UPR from the Workforce Investment Act (WIA) funds of the State. Over 2,000 students of the UPR System will benefit from work experiences in the private and public sectors.
- 4) **Fundraising Activities.** As part of the President and the Board of Trustees' efforts to assist in generating resources a series of fundraising activities are underway coordinated by the ODA (UPR Action Plan III.B.5).
- A string of special events and other fundraising activities organized on a recurring basis to attract donations from alumni, parents of students and employees of the University, including telephone monitoring or *phonathon*, concerts, dinners, etc.
 - The UPR Endowment Fund was created in 1996 with an initial balance of \$5 M. Current balance is over \$82 M (Table 1). The Board of Trustees' goal is to reach \$100 M by 2016. As part of the ongoing efforts to foster donations to the Endowment Fund the Board endorsed Law Num. 113 of July 16 2008 which declared all donations to the UPR Endowment Fund 100% Tax exempt. Board members began donating their diet stipends to the Endowment Funds since 2003. .

Table 1. University of Puerto Rico Endowment Fund

| Academic Year | Major Gifts | Annual Campaign | Special Event | Balance |
|----------------------|--------------------|------------------------|----------------------|---------------------|
| 2007-2008 | \$3,399,083 | \$582,480 | \$293,276 | \$65,201,786 |
| 2008-2009 | \$2,942,740 | \$237,029 | \$139,011 | \$69,424,645 |
| 2009-2010 | N/A | N/A | TBA | \$ 79,346,314 |
| Total | \$6,341,823 | \$819,509 | \$432,287 | \$82,245,163 |

UPR is a member of the Council for Advancement and Support of Education (CASE). The UPR has received Accolades Awards from District I & II of CASE on three occasions: Gold in the Category of PSA's and Commercial Spots in 2009; Silver in the category of Leadership in Educational Fundraising in 2007; and Gold in the category of Special Events in 2005.

President and Chancellors

The President and Chancellors, in collaboration with the President of the Education, Non Profit Organizations and Cooperatives of the House of Representatives of Puerto Rico submitted an amendment to the University Law. The amendment will require all governmental departments, boards, administrations, offices, subdivisions and public corporations under the Executive Branch to commit not less than 15% of their total budget to contract professional, consulting, academic, research, training services and the like, from the Divisions of Continuing Education and Professional Studies and Intramural Practice by faculty and researchers of the UPR System. Currently, the amendment is under review by the House of Representatives Commission.

Vice Presidency for Research and Technology

1) Research Funding

UPR's capacity to attract federal funding for research, training, public service and other endeavors to advance its mission and priorities is certainly a premier strength at this juncture. Accordingly, the approved budget maintains the current level of matching funds to continue stimulating the influx of external funding for sustained advancement of its research and education strategic agenda (UPR Action Plan III.B.2). As of year 2010 a total of \$9.8 M in matching funds are distributed throughout the system (Table 2). A broad range of federal agencies currently sponsors UPR research activity in the arts, sciences, engineering and technology. Efforts continue to increase and diversify sources of funding for these activities (Table 3). Concomitant to this funding portfolio, indirect costs totaled \$15.4 M of which 75% or \$11.6 M are reimbursed to the corresponding units (Table 4).

Table 2.FY 2010-2011 Matching Funds

| UNIT | MATCHING FUNDS |
|---|--------------------|
| Resource Center for Science and Engineering | \$4,050,394 |
| UPR Mayaguez | \$2,380,477 |
| UPR Rio Piedras | \$1,543,750 |
| Medical Sciences Campus | \$1,530,790 |
| UPR Humacao | \$118,132 |
| UPR Cayey | \$88,552 |
| UPR Carolina | \$54,094 |
| Total | \$9,766,189 |

Table 3. FY 2010-2011 Awards

| AGENCY | AWARD |
|---|-----------------------|
| Department of Health and Human Services | \$48,234,792 |
| National Science Foundation | \$16,372,946 |
| Department of Education | \$16,016,588 |
| Department of Agriculture | \$13,230,606 |
| Department of Commerce | \$4,125,343 |
| Department of Defense | \$2,318,068 |
| National Endowment for the Humanities | \$2,006,604 |
| Department of Energy | \$610,063 |
| Department of Justice | \$466,266 |
| Department of Transportation | \$302,904 |
| Department of Housing and Urban Development | \$290,862 |
| Department of Homeland Security | \$268,331 |
| Department of Labor | \$136,123 |
| Department of the Interior | \$135,396 |
| Environmental Protection Agency | \$60,483 |
| Institute of Museum and Library Services | \$48,714 |
| Department of Veterans Affairs | \$2,560 |
| Total | \$ 104,623,657 |

Table 4. FY 2010-2011 Indirect Costs and Reimbursement to the Units

| UNIT | AMOUNT | REIMBURSEMENT |
|---|-------------|---------------|
| Medical Sciences Campus | \$8,162,800 | \$6,122,100 |
| UPR Mayaguez | \$2,783,187 | \$2,087,391 |
| UPR Rio Piedras | \$2,256,530 | \$1,692,399 |
| Resource Center for Science and Engineering | \$1,113,839 | \$835,380 |

| | | |
|------------------------|-----------------------|---------------------|
| UPR Humacao | \$591,780 | \$443,836 |
| UPR Cayey | \$192,025 | \$144,000 |
| UPR Carolina | \$146,249 | \$109,687 |
| UPR Arecibo | \$62,297 | \$46,723 |
| Central Administration | \$50,420 | \$37,816 |
| UPR Ponce | \$27,538 | \$20,654 |
| UPR Utuado | \$23,381 | \$17,536 |
| UPR Aguadilla | \$19,559 | \$14,670 |
| Agriculture Extension | \$2,604 | \$1,954 |
| Total | \$15, 432, 213 | \$11,574,166 |

2) The Molecular Sciences Building and The Puerto Rico Science and Technology Trust

The Molecular Sciences Building (MSB) represents the most important and ambitious biomedical research project ever undertaken by the UPR. This new 152,000 sq. ft. building to be inaugurated in March 2010 was specifically designed to facilitate interdisciplinary collaborative efforts in clinical and translational research with impact in health disparities in the general population of Puerto Rico. Located midway the Río Piedras and Medical Sciences campuses, it will house research facilities for faculty from both campus, and represents the ideal nexus to develop productive clinically relevant collaborations. To this end, the Vice President for Research and Technology will coordinate activities with the following objectives:

- Increase the number of clinicians developing collaborative projects with basic science researchers. The MSB facilities coordinators will provide workshops on the capabilities, biomedical applications and enhanced research opportunities provided by their individual facility.
- Increase the number of competitively funded faculty involved in basic biomedical relevant research in collaborative projects. There are currently about 20 Río Piedras Campus faculty involved in basic biomedical research that will directly benefit from these enhanced facilities. By emphasizing communication and teamwork among all users, the MSB will increase the level of biomedically relevant collaborations and the number of UPR faculty who obtain competitive funding.

The Puerto Rico Science and Technology Trust (<http://www.prsciencetrust.org/>), is a non-profit autonomous entity with representation from industry, academia and government that acts as a link between government, universities and investors promoting technology transfer, commercialization and support for the scientific sector providing funding for R&D projects and infrastructure advancements. The Trust's flagship project is the development of the Puerto Rico Knowledge Corridor, a significant development for cutting edge science facilities, education, centers and corporate offices. Strategically located in the heart of the San Juan Metropolitan Area, the Corridor will include the Río Piedras Campus, the Medical Sciences Campus, the MSB, the UPR Botanical Garden, and the Puerto Rico Cancer Center. The UPR is represented in the Trust through the Vice President for Research and Technology.

By virtue of Law 214 and its Centennial Fund for the UPR, has awarded \$5.9 million for the construction of the (MSB) and \$1.4 million for start-up funds for new researchers.

COMMISSION'S REQUIREMENT:

- 4. EVIDENCE OF A PROCEDURE IN PLACE FOR THE PERIODIC OBJECTIVE ASSESSMENT OF THE BOARD OF TRUSTEES IN MEETING STATED GOVERNING BODY OBJECTIVES AND RESPONSIBILITIES.**

Assessment Efforts by the Board of Trustees

As articulated in the University Law and the UPR General Bylaws, the Board of Trustees is responsible for the direction, quality and integrity of the institution, the approval and update of its development plan and the oversight of its implementation and progress. Through Certifications No. 136 and 138 (2003-2004) respectively (<http://www.certifica.upr.edu/PDF/CERTIFICACION/2003-2004/136%202003-2004.pdf>, <http://www.certifica.upr.edu/PDF/CERTIFICACION/2003-2004/138%202003-2004.pdf>), the Board set out to establish an institutional effectiveness and programmatic evaluation culture mandating the systematic internal assessment as well as external assessment through professional accreditation of all academic programs and services.

Of all academic offerings in UPR, 57% are susceptible to professional accreditation, of which close to 63% are already accredited. UPR is the only higher education institution in the Island where all teacher preparation programs are accredited by the National Council for the Accreditation of Teacher Education. As part of the vigorous accreditation project prompted by these policies and led by the Vice Presidency for Academic Affairs across administrations since 2003, it is projected that all susceptible academic programs and services will be fully accredited by year 2016, including academic programs in Business Administration and Systems Office (AACSB and ACBSP); Computer Sciences (CAC-ABET); Engineering Technologies (TAC-ABET); Automotive Technology (NATE); Graphic Arts and Interior Design (NASAD); Communication (ACEJMC); Chemistry (ACS), and; Criminal Justice (ACJS); plus services such as Museums (AAM), Counseling Services (IACS), and; Preschool Development Centers (NAEYC).

To further develop the culture of evaluation in July 2009 the Board of Trustees issued Certification No. 3 (2009-2010) (<http://www.certifica.upr.edu/PDF/CERTIFICACION/2009-2010/3%202009-2010.pdf>), which defines a set of 30 indicators to evaluate the effectiveness of the UPR Planning Agenda, Ten for the Decade (<http://www.certifica.upr.edu/PDF/CERTIFICACION/2005-2006/123%202005-2006.pdf>), 3 of which point directly at its main responsibilities and objectives: **Accessibility (Indicator No. 8)**, measured by students' economic need versus available aid programs; **Level of fundraising from alumni and friends (Indicator No. 9)**, excluding those to the Endowment Fund; **Donations to the Endowment Fund (Indicator No. 27)**. Evidence of progress to date in advancing these objectives is summarized below.

- 1) **Accessibility.** The Board of Trustees has been instrumental in assisting the President in obtaining the Special Scholarship Fund of the University of Puerto Rico and increasing

funding for the Federal Work Study Program, plus reactivating the Supplementary Institutional Assistance Program

- 2) **Level of fundraising from alumni and friends and the Endowment Fund.** A string of special events and other fundraising activities organized on a recurring basis attract donations from alumni, parents of students and employees of the University. Between 2007 and 2009 these activities, including Major Gifts, generated resources totaling \$7,161,332. Data on donations from 2009 to present will be available at the Site Visit. As reported above, the current balance of the Endowment Fund is over \$82 M with the goal to reach \$100 M by 2016.

The Vice Presidency for Academic Affairs in collaboration with the Offices of Planning and Institutional Research of the University System are developing an updated socioeconomic profile of the student body to assess the effectiveness of current and additional aid programs in maintaining accessibility, and to promote informed decisions regarding the future allocation of student aids and programs (Evidence at Site Visit).

Accomplishment of the Board's responsibilities can be assessed examining certifications and policies it approves and deploys. Additional information regarding the Board's effectiveness in meeting its stated responsibilities can be found in meeting agendas (Evidence at Site Visit).

Periodic Assessment Initiative

One of the roles and responsibilities of the Vice Presidency for Academic Affairs is to advise the Board of Trustees, the President, Chancellors and Deans for Academic Affairs on policy matters related to academic affairs, including compliance with accreditation requirements regarding Leadership and Governance, to promote their empowerment in alignment with their roles and responsibilities and best practices (UPR Action Plan I.C.7). In the face of the current challenges, the Vice Presidency has taken an active role in promoting the awareness of the Board, especially its new members, on accreditation expectations on the institution and on their primary role in governance, as evidenced by calls for meetings, agendas and minutes of meetings where these matters have been discussed (Evidence available at Site Visit).

In order to support an objective periodic assessment of the Board of Trustees in meeting stated objectives and responsibilities, on February 10, 2011 the Vice Presidency for Academic Affairs developed and submitted to the President of the Board a rubric draft based on expectations contained in Characteristics of Excellence Standard 4, Leadership and Governance, and MSCHE publication Governing Boards, to assist the body in identifying areas of strength and areas in need for improvement in their current practices. On February 25, 2011 an external consultant with extensive expertise in accreditation and experience as a Governing Board member met with the Board to assist them on refining the rubric according to their particular profile, needs and priorities, and on launching the self assessment process. Based on the self assessment findings, the external consultant will design and offer a workshop or series of workshops to the Board of Trustees beginning no later than April 2011 (UPR Action Plan I.C.7).

In addition, one of the 7 Committees of 7, to be appointed by the President, Leadership and Governance Committee, is being charged with revising institutional leadership and governance structures, roles and responsibilities, based on an analysis of the Law and regulations in alignment with applicable standards, as well as the best current practices in higher education, and making recommendations to promote their effective participation in carrying out the institution's mission and goals (UPR Action Plan I.C.6). Their task includes suggesting guidelines for the review of the internal regulations of all leadership, advisory and governing organizations and bodies, including the Board of Trustees, in compliance the applicable law and regulations, accreditation standards and best practices. The purpose of creating an Ad Hoc Committee is to foster an independent evaluation process to serve as a starting point to assist institutional leadership and governance bodies rethink critical aspects of its structures, roles and responsibilities to promote effective participation and collegiality.

Both the self assessment and the Ad Hoc Committee on Leadership and Governance external evaluation processes will feed each other to assist the Board of Trustees in further improving its effectiveness in the exercise of their roles and responsibilities towards advancing the institution's mission, goals, planning and priorities, and to further clarify at all levels their specific authority, roles and responsibilities in shared governance in alignment with applicable laws and regulations.

COMMISSION'S REQUIREMENT:

5. EVIDENCE THAT STEPS HAVE BEEN TAKEN TO ASSURE CONTINUITY AND STABILITY OF INSTITUTIONAL LEADERSHIP, PARTICULARLY IN TIMES OF GOVERNMENTAL TRANSITION.

Not unlike other higher education institutions, the UPR has undergone periodic changes in leadership while maintaining the necessary level of continuity and stability in key areas to carry on with its mission. In compliance with University Law, as amended (<http://sindicatos.upr.edu/docs/ley-upr.pdf>), the Board of Trustees is composed of 17 members including one student and two faculty members elected by their peers for a one year term, and 14 citizens designated by the Governor and confirmed by the Senate of Puerto Rico, of which at least 5 should be UPR alumni, who serve for 6 year terms each. The profile of current members (<http://sindicatos.upr.edu/miembros.htm>) evidences the body's diversity, concurrent with Commission's expectations. The mix of senior and new Board members supports continuity, at the same time, the influx of new approaches and ideas (Table 5).

Table 5. The Board of Trustees

| Trustee | Date of Appointment | Years in office to date | End of Term |
|---|---------------------|-------------------------|---------------|
| 1. Ávalo de Sánchez, Aida | June, 23, 2010 | 8 months | June 16, 2015 |
| 2. Berríos-Amadeo, Luis | June 23, 2010 | 8 months | June 23, 2016 |
| 3. Bustillo-Hernández, Marta, Faculty Rep | July 1, 2010 | 7 months | June 30, 2011 |
| 4. Cabrer-Roig, Agustín | July 2, 2009 | 1 year, 7 months | June 16, 2015 |
| 5. Carro-Rivera, Felipe | June 23, 2010 | 8 months | June 23, 2016 |

| Trustee | Date of Appointment | Years in office to date | End of Term |
|---|--|--|---|
| 6. Dávila-Torres, Carlos | January 11, 2008 | 3 years, 1 month | June 16, 2013 |
| 7. Fantauzzi, Francisco | Nov. 20, 2009 | 1 year, 3 months | June 16, 2011 |
| 8. González-Ríos, Aura | June 23, 2010 | 8 months | June 23, 2016 |
| 9. Jover-Pagés, Aníbal | June 23, 2010 | 8 months | June 23, 2016 |
| 10. Maldonado-Simon, Norman | May 27, 2009 | 1 year, 9 months | June 16, 2013 |
| 11. Pérez-Díaz, Carlos | January 11, 2008 | 3 years, 1 month | June 16, 2013 |
| 12. Picó-Vidal, Isabel* *Picó-Vidal was reappointed to a 2nd consecutive term, and has served consecutively for 9 years, 8 months. | August 10, 2001 Nov. 14, 2007 | 6 years 3 years, 8 months | June 16, 2007 June 16, 2013 |
| 13. Pont-Marchese, Marisara* *Pont-Marchese resigned on January 3, 2005 to accept a government position, and returned on January 3, 2007, to complete the remainder of her term, for her position had remained vacant. She was reappointed to a 2nd full term of 6 years on the last date. She has served for 7 years, 6 months. | August 10, 2001 January 3, 2007 July 3, 2007 | 3 years, 4 months 6 months 3 years, 8 months | January 3, 2005 June 16, 2007 June 16, 2013 |
| 14. Rivera de Martínez, Ygrí*, President *Rivera de Martínez has served for 10 years, 2 months. | December 12, 2000 December 12, 2005 | 4 years, 6 months 5 years, 8 months | June 16, 2005 June 16, 2011 |
| 15. Rosado-Manzanet, José Luis | August 14, 2009 | 1 year, 6 months | June 16, 2011 |
| 16. Vargas, René, Student Rep | July 1, 2010 | 7 months | June 30, 2011 |
| 17. Vélez Cardona, Waldemiro, Faculty Rep | July 1, 2010 | 7 months | June 30, 2011 |

During 2009-2010 UPR's leadership and governance experienced important changes. In August 2009 President Antonio Garcia Padilla, Esquire, announced his resignation effective September 30, 2009, after nearly 8 years in office. Concurrently, 9 of the 11 Chancellors also resigned, in most cases, due to retirement. The Board issued Certification No. 12 (2009-2010), which established a Search Committee for Acting President (<http://www.certifica.upr.edu/PDF/CERTIFICACION/2009-2010/12%202009-2010.pdf>). In order to assure continuity and stability during the impending transition of leadership, the Board invited all Vice Presidents, some incumbent Chancellors and Deans to remain as Acting President.

On October 1st, 2010, the Board of Trustees appointed Dr. Miguel Muñoz as Acting President, a recognized academician, researcher and former Secretary of Agriculture. Concurrent with his appointment, the Board issued Certification No. 21 (2009-2010) (<http://www.certifica.upr.edu/PDF/CERTIFICACION/2009-2010/21%202009-2010.pdf>), which created a Transition Committee charged with facilitating a coordinated transition period to guarantee institutional stability. In compliance with applicable University regulations, Acting President Muñoz filled most vacant positions in Central Administration staff with former associates

or people that held these posts in the past, therefore, with the credentials, extensive experience and knowledge so as to assure a smooth continuation of the institutional endeavor.

Through Certifications No. 10 and 11 (2009-2010) The Board of Trustees established respectively, the process and specific criteria for the selection of a new President (<http://www.certifica.upr.edu/PDF/CERTIFICACION/2009-2010/10%202009-2010.pdf>; <http://www.certifica.upr.edu/PDF/CERTIFICACION/2009-2010/11%202009-2010.pdf>). Among other requirements, candidates were expected to present a proposal to warrant continuity of the University Planning Agenda, Ten for the Decade.

The systemic consultation process, which took approximately 6 months, is summarized below:

- 1) Input from campuses through their Academic Senates. Each Senate appointed Search Committees comprised of faculty, staff and students.
- 2) Unit Search Committees reviewed candidate's credentials, interviewed them, and coordinated opportunities for the candidates to make presentations to the University Community, and to receive constituent's input.
- 3) Three members of each Unit Search Committee were appointed by the Board of Trustees to a Systemic Search and Consultation Committee which evaluated the recommendations from the Academic Senates and recommended candidates in order of preference.
- 4) The Board of Trustees' Search Committee reviewed the Systemic Committee's recommendations and in turn formulated their recommendations to the Board of Trustees who appointed the President.

On February 1, 2010 Dr. José Ramón de la Torre was appointed President by the Board of Trustees, with the recommendation of consulting committees at both campus and systemic levels. President de la Torre is a recognized expert in Romance Philology, former Dean of Humanities of the UPR Río Piedras Campus, and former Executive Director and President of the Puerto Rico Institute of Culture until his appointment as President of the UPR. Based on institutional commitment to foster an organized transition with the appropriate overlap for the substantive transfer of information critical for the seamless continuity of the University agenda, the Board required an overlap period of two months between the Acting President and the newly appointed President (Evidence at Site Visit).

President de la Torre initiated promptly the processes for the appointment of Chancellors, in compliance with the applicable rules and regulations. All Search and Consultation Committees across the system were appointed between February 18 and March 18, 2010, and all Chancellors were appointed by October 2010. Former Acting President Muñoz was appointed Chancellor of Mayagüez Campus.

On February 11, 2011, President de la Torre presented his resignation for family reasons. To support the necessary institutional continuity and stability critical at its present juncture, on February 14, 2011, the Board of Trustees appointed Dr. Miguel Muñoz as Acting President. Dr. Muñoz credentials, experience as former Acting President and Chancellor of the Mayagüez

Campus, rendered a transition period unnecessary thanks to his full command of current issues and challenges faced by the Institution. For the same reasons, the Acting Chancellor of the Mayagüez Campus until Muñoz's appointment as Chancellor, was appointed again to the post.

Both former President de la Torre and current Acting President Muñoz, during his current and previous terms, have respectively maintained a significant number of key leadership and filled most vacant positions with personnel with vast experience in the same post or office, to warrant the adequate expertise and historic memory to assure continuity and stability in institutional leadership. Table 6 depicts examples of the significant number of officials in confidence positions that have supported stability and continuity of the University agenda in their respective areas across administrations.

Table 6. Continuity in Central Administration Leadership

| Name | Current Position | Year of Appointment to Current Position | Previous Positions |
|---|---|---|---|
| Legal Affairs Office | | | |
| 1. Martha L. Vélez-González | Director of Legal Affairs | 2010 | Associate Director of Legal Affairs since 2005 |
| 2. Ana M. Rodríguez-Colón | Assistant Director of Legal Affairs | 2005 | Human Resources Specialist at Central Administration from 1990 to 2005 |
| Vice Presidency for Academic Affairs | | | |
| 3. Ibis L. Aponte-Avellanet | Vice President for Academic Affairs | 2009 | From 1999 to 2008, Associate Director for Academic Affairs at the Vice-presidency for Academic Affairs; from 2008 to 2009 Special Assistant to the Vice President for Academic Affairs. |
| 4. Nivia I. Fernández | Associate Vice President for Academic Affairs | 2011 | Special Assistant to the Vice President for Academic Affairs from 2004 to 2011. |
| Budget Office | | | |
| 5. Willie Rosario | Budget Director | 2010 | Sub-Director of the UPR Retirement System until 2010. Has been a member of the Budget Committee of the Board of Trustees for 4 years. |
| 6. Raúl Rodríguez | Assistant Budget Director | 2010 | From 1986 to 2010, Central Budget Office Budget Analyst, Budget Programming Coordinator, and Budget Specialist, respectively. |
| Finance Office | | | |
| 7. Nazeerah Elmadah | Accounting Director | 2006 | Has served for over 30 years at the Central Administration Finance Office, among others, as Associate Accounting Director from 1991 to 1998, and Acting Finance Director from 2004 to 2006. |
| Financial Aid Office | | | |
| 8. Hernán Vazquezteñell | Director | 1983 | |
| Admission's Office | | | |
| 9. Blanca Cruzado | Director | 1986 | |
| Office of Design and Construction | | | |

| Name | Current Position | Year of Appointment to Current Position | Previous Positions |
|-------------------------------|------------------|---|---|
| 10. Nannette Rodríguez | Director | 2005 | |
| Human Resources Office | | | |
| 11. Edna Scharrón | Director | 2010 | Has been Director of Human Resources in different units of the UPR system for 30 years. She was also Director of Human Resources in Central Administration from 2000 to 2003 and Director of Human Resources at UPR Carolina form 2003 to 2010. |

The Board of Trustees has pledged to expedite the consultation process for the formal appointment of a President and will consider Muñoz as candidate if nominated. Though informal transition processes have traditionally existed in the UPR System, the Board is also committed to developing a formal transition policy with the input of one of the 7 Committees of 7, to be appointed by the President. The Consulting and Transition Processes Committee will be charged with evaluating the effectiveness of search, consulting and transition processes in the University and to draft a proposal to review and update all aspects of such processes (UPR Action Plan I.C.8).

COMMISSION'S REQUIREMENT:

6. EVIDENCE THAT THE UPR ACTION PLAN IS IMPLEMENTED, THAT IT IS ASSESSED, AND THE DATA ARE USED FOR CONTINUOUS IMPROVEMENT OF THE INSTITUTION'S PROCESSES.

Since 1946, the University of Puerto Rico embraced accreditation as its leading credential to validate and strengthen the quality and integrity of its endeavors relative to internationally recognized standards of excellence, to prove itself worthy of public confidence and support.

Triggered by the April - June 2010 student conflict, on June 26, 2010 the MSCHE placed on probation the Rio Piedras and Mayagüez Campus, the UPR in Cayey, Humacao, Arecibo, Bayamón, Ponce, Aguadilla, Carolina, and Utuado. To confront these unprecedented challenges and recognizing the utmost importance to recuperate the institution's traditional good accreditation standing to continue the effective accomplishment of its mission, the University of Puerto Rico Action Plan for Ongoing and Sustained Compliance with the Leadership and Governance, Educational Offerings, and Institutional Resources Standards of Excellence was developed to address MSCHE's concerns and expectations underlying the probationary actions in context with the relevant elements of each of the standards, through: (1) an introspective identification and critical self assessment of the historical elements underlying the institutional culture, the events, circumstances the internal and external environmental factors that prompted these actions; (2) a thorough analysis of institutional strategic priorities, challenges and opportunities at its present juncture.

Through the Action Plan the University set forth an ambitious agenda of institutional change aligned with the prevailing values and expectations on higher education institutions, aimed to: (1) foster an enhanced institutional climate and identity; (2) develop an Open University Culture; (3)

revisit and empower leadership and governance at all levels; (4) guarantee sustained length, rigor and depth of academic offerings; (5) secure continuity and institutional effectiveness with available resources, and; (6) maintain and nurture additional sources of funding to continue advancing institutional education, research and service priorities.

The prompt and decisive actions therein have been effectively deployed at all levels of the University system, towards sustained and ongoing compliance with the affected standards at the system and each unit level (<http://www.upr.edu/documentos/Guia-para-la-Implantacion-y-Evaluacion-del-Plan-de-Accion-Sistemico-de-la-UPR.pdf>).

The System-Wide Planning Process

Following the Commission's June 2010 actions, The Vice Presidency for Academic Affairs promptly constituted a Think Tank with representatives of the Chancellors, President staff, and its Accreditation Staff to set off a critical self assessment of the events, circumstances, internal and external factors that surrounded said actions, in context with the concerns and expectations contained in the Commission's actions and corresponding standards. This exercise led to a preliminary identification of areas in need of improvement and the goals and actions at all levels of the institution to promote and evidence ongoing and sustained compliance with the impacted standards.

To guarantee systemic input, the then President appointed a Task Force with representatives from all units recommended by their Chancellors, that together with the Think Tank refined and added dimension to the initial critical self assessment, goals and actions with the particular perspectives from their respective units to assemble the UPR Action Plan, with the endorsement of the body of Chancellors and the President of the UPR. Consequently, the Plan is 11-fold, with one Plan at system level and individual plans for each of the 10 units included in the Commission's actions, framed by the following common set of Prongs and Goals:

- I.A: FOSTER AN ENHANCED INSTITUTIONAL CLIMATE AND IDENTITY. Optimize the flow and exchange of timely and accurate information and broaden opportunities for productive communication and input to all sectors of the University Community, to stimulate a climate of trust, collaboration, commitment and identification with the institution's mission, goals, and challenges.
- I.B: DEVELOP AN OPEN UNIVERSITY CULTURE. Support an Open University Culture that values diversity of ideas, guarantees and encourages freedom of speech and the right to dissent, while safeguarding the rights and responsibilities of all members of the University Community with the continuity of the institutional education, research and service mission.
- I.C: REVISIT AND EMPOWER LEADERSHIP AND GOVERNANCE AT ALL LEVELS. Revisit the roles and responsibilities of all constituents of the institution's leadership and governance to foster an environment that stimulates and enforces compliance with the best practices in University rules and regulations, leadership, governance and institutional integrity accreditation standards, to ensure an empowered and committed leadership effectively supporting the accomplishment of the institution's mission in a manner appropriate to their charge.

- II.A: GUARANTEE SUSTAINED LENGTH, RIGOR AND DEPTH OF ACADEMIC OFFERINGS. Guarantee the continuity and the appropriate content, rigor, coherence and length of the institution's academic and research endeavors at all times, to support an effective and seamless student learning process and advancement toward their degrees in harmony with the Open University Culture.
- III.A: SECURE CONTINUITY AND INSTITUTIONAL EFFECTIVENESS WITH AVAILABLE RESOURCES. Secure continuity and effective accomplishment of the institutional mission and goals with the available resources by developing and implementing the appropriate financial measures.
- III.B: MAINTAIN AND NURTURE ADDITIONAL SOURCES OF FUNDING TO CONTINUE ADVANCING INSTITUTIONAL EDUCATION, RESEARCH AND SERVICE PRIORITIES. Continue and develop initiatives to increase and diversify sources of funding to support the accomplishment of the institutional mission and goals.

Multiple back and forth meetings were held with the Think Tank, Task Force, President Staff, Chancellors, President, and with the Board of Trustees to shape and validate the prongs, goals, actions and activities proposed in the Action Plan. Actions and activities were designed contemplating the input and participation of all sectors of the University Community and stakeholders in their further development and implementation in a manner appropriate to their charge, roles and responsibilities. To that end, the proposed goals and actions in the Plan were posted electronically as soon as they were matured, to inform the University Community at large and receive their continuous input from their inception until their successful implementation (<https://sites.google.com/a/upr.edu/msche-upr-monitoring-report/>). Only two questions regarding the evaluation process were received before submission of the September 2010 report.

The UPR Action Plan Implementation and Continuous Feedback Process

In accordance to MSCHE Follow-up Reports and Visits Guidelines and following advice received during the July 2010 Guidance Visit for its organization, on September 6, 2010, the Río Piedras and Mayagüez Campus, the UPR in Cayey, Humacao, Arecibo, Bayamón, Ponce, Aguadilla, Carolina, and Utuado submitted to the MSCHE a Consolidated Monitoring Report (CMR) addressing the Commission's actions through the enactment of the Action Plan, which set specific actions and activities under each prong and goal to attain the expected observable outcomes towards sustained and ongoing compliance with the affected standards at the system and each unit level.

On its November, 2010 actions the Commission issued 9 requirements in full agreement with measures already contemplated in the Action Plan, including requiring to **“Evidence that the UPR Action Plan is implemented, that it is assessed, and the data are used for continuous improvement of the institution's processes.”**

The Action Plan, both at system and unit level, is a dynamic instrument designed to guide and document the implementation of concrete actions and activities towards ongoing and sustained compliance with the specific standards of excellence and requirements addressed in the June and November 2010 MSCHE actions. Therefore, the participatory process to fine tune its actions and

activities is still ongoing. Through the alignment of the original Plan submitted in the CMR with the Visiting Team recommendations of September 2010, Commission's actions of November 2010, input and recommendations from the University Board, directives of the Board of Trustees, plus contributions from the Task Force and accreditation coordinators, it has evolved into an **Implementation and Assessment Guide to the Action Plan** (<http://www.upr.edu/documentos/Guia-para-la-Implantacion-y-Evaluacion-del-Plan-de-Accion-Sistemico-de-la-UPR.pdf>) to better monitor and document its progress.

For the implementation and assessment of this ambitious agenda, the President and Vice President for Academic Affairs also developed a *Roadmap* identifying the governance bodies, leadership, officers, groups and constituents at all levels of the institution responsible for leading, collaborating and participating in its implementation, and the proposed timeframe for their respective tasks (See Appendix). Numerous meetings and work sessions have been held with all the aforementioned to initiate, monitor, evaluate and gather outcome evidence. As seen throughout this assessment report, input from various sources and formative evaluation findings have resulted in the review and improvement of many actions for better accomplishment of the goals.

The Dissemination and Ongoing Feedback Process

Constituents have been kept informed regarding the institutional evaluation process and progress to date on implementation and assessment of the UPR Action Plan. All information is posted in the Vice Presidency for Academic Affairs link in the UPR webpage (http://www.upr.edu/?type=page&id=ofrecimientos_academicos_bachilleratos&ancla=ofrecimientos_academicos_bachilleratos&r_type=items&r_id=2), including updates to the Action Plan. An email address has been created and disseminated to call and receive feedback from the community for its continuous improvement for better accomplishment of goals plande.accion@upr.edu.

Assessment of Sustained Compliance and Progress to Date

The implementation and assessment of the UPR Action Plan consists of documenting compliance evidence of the 64 specific activities at system level distributed under six goals. Progress reports, data and supporting documentation has been systematically collected, reviewed and organized in an Implementation and Assessment Report (See Appendix).

Table 7 summarizes the level of progress versus expected outcomes of the 67 activities in the UPR Action Plan that results from the analysis of the Implementation and Assessment Report. It shows that **61 or 91% of the proposed activities are already in compliance or in progress.**

Table 7. UPR Action Plan Outcomes Assessment

| Goal | Number of Activities under Goal | Activities Initiated | Activities in Progress | Activities in Compliance |
|-------------|--|-----------------------------|-------------------------------|---------------------------------|
| I.A | 9 | -- | 3 | 6 |
| I.B | 10 | 3 | 4 | 3 |
| I.C | 20 | -- | 6 | 14 |
| II.A | 3 | 1 | 2 | -- |
| III.A | 18 | 2 | 10 | 6 |

| | | | | |
|---------------|-------------|--------------|---------------|---------------|
| III.B | 7 | -- | 1 | 6 |
| | 67 | 6 | 26 | 35 |
| Totals | 100% | 8.95% | 38.81% | 52.24% |

COMMISSION'S REQUIREMENT :

7. EVIDENCE OF IMPLEMENTATION OF CLEAR INSTITUTIONAL POLICIES SPECIFYING THE RESPECTIVE AUTHORITY OF THE DIFFERENT GOVERNANCE BODIES AND THEIR RESPECTIVE ROLES AND RESPONSIBILITIES IN SHARED GOVERNANCE.

The governance structure of the UPR System is highly inclusive providing for the participation of faculty and students at all levels. In compliance with the UPR Action Plan: (1) institutional actions have been implemented to ensure that advisory and governing bodies, as well as institutionally recognized organizations and committees fully understand their separate but complementary roles and responsibilities, set for their contribution to the accomplishment of institution's mission and goals in the most effective and efficient manner, embracing a climate of mutual support and respect; (2) specific actions are in place to revise governance structures' composition, roles and responsibilities to ensure their effective participation in carrying out the institution mission and goals in compliance with the applicable law and regulations and accreditation standards regarding institutional integrity, leadership and governance, and best practices.

Revisit and Empower Leadership and Governance at All Levels

As mentioned under Commission's Action No. 4, the Leadership and Governance Committee is being charged with revising institutional leadership and governance structures, roles and responsibilities, based on a rigorous analysis of the Law and regulations in alignment with the Institutional Integrity and Leadership and Governance standards, as well as the best current practices in higher education, and making recommendations to promote their effective participation in carrying out the institution's mission and goals. Their task includes suggesting guidelines for the review of the internal regulations of all leadership, advisory and governing organizations and bodies, including the Board of Trustees, in compliance the applicable law and regulations, accreditation standards and best practices.

General Student Bylaws

1) Electronic Vote

Enhancing communication opportunities for the greater majority of students to freely participate and provide input in decisions that directly affect them not only advances the goal of fostering an enhanced institutional climate and identity, but also the aim to empower student leadership to appropriately exercise their roles and responsibilities as a key element for their academic development. Recognizing that over time student participation in assemblies and in the election of its leaders and representatives have steadily declined, that none of the campuses have adequate physical facilities to hold a substantial number of students, and that this generation mostly interacts with peers through virtual means, the UPR vigorously endorsed the approval of Law No. 128, of August 11, 2010, which amended the University Law to implement a secret and electronic vote mechanism for students' elections and assemblies, in order to expand and facilitate opportunities

for the greater majority students to freely participate and provide input in decisions that directly affect them. The President of the UPR submitted to the Board of Trustees the corresponding amendments to the General Student Bylaws in compliance with Law 128. On October 29, 2010 the Board of Trustees posted the proposed amendments to receive input from the community (http://Acweb.upr.edu/docs/Junta_Sindicos/Reg_Gen_Est/Carta_Enm_RGE.pdf).

Comments were received from several sectors of the university community and several changes were incorporated to the final version approved by the Board of Trustees. Among others, the revised Bylaws clearly state that the only official representative of the student body is the General Student Council of each unit. In consultation with the Chancellors, the Vice President for Students Affairs coordinated the implementation of the electronic vote mechanism in collaboration of the Deans for Academic Affairs and the support of the Information Systems Office. The process to celebrate student consultations, the result of which is the only official expression of the student body is in place. Any decision not in compliance with the Bylaws is null and void (UPR Action Plan I.A.3).

2) Student Code of Conduct

Framed by its commitment with an Open University Culture and the implementation of clear policies specifying the respective constituents' roles and responsibilities in shared governance (UPR Action Plan, I.B.1), the University has remained firm in enforcing compliance with Student's General By Laws, demonstrated by the fact that during the past semester the system has remained operational and actively accomplishing its mission. A compilation of the rules of student conduct contained in the General Student Bylaws—the UPR Student Code of Conduct (SCC)—has been posted in the UPR webpage (<http://estudiantes.upr.edu/>) and deployed to the Deans for Students Affairs to disseminate widely in multiple formats, share it and discuss it with elected student leadership. The SCC will also be sent and explained to every freshman along with the admission letter to the UPR (UPR Action Plan I.B.1).

3) Eligibility Criteria

In compliance with UPR Action Plan (I.C.3), a proposal to amend the General Student Bylaws requiring all elected student leaders to fully meet eligibility criteria, not only in order to qualify to be elected but also throughout the length of their terms, is being submitted to the Board of Trustees to be considered at their march 2011 meeting (Evidence at Site Visit). Though consistent with the quest of excellence that shapes UPR's mission, the current Bylaws are not sufficiently clear to that effect. This action will promote active participation in leadership of students that model best academic practices and accomplishment of the institution's mission and goals.

Freedom of Speech and University Autonomy

Committed to promote a unified institutional understanding of the current set of values and rules that guarantee the viability of the UPR as a premier higher education institution in the 21st Century, judicial proceedings in connection with student conflicts have helped clarify the level of scope and reach of the state of law regarding what is a legal and valid exercise of freedom of speech within a

public higher education institution (UPR Action Plan, I.C.4). Judicial decisions and legislation that have delineated its confines are the following.

- 1) The Supreme Court of Puerto Rico clearly established that the UPR is a semipublic forum of expression. Hence, it can validly regulate freedom speech rights within campus to guarantee discipline and institutional order. Specifically, the Court established that student's right to express themselves within campus does not entail activities aimed at obstructing learning and academic affairs, closing of facilities or any activity that limits free access to the institution. In sum, the University may validly regulate the time, place and manner in which students may express within campus UPR vs. Laborde, CT-2010-008.
- 2) The Court of Appeals sustained the constitutionality of the General Student Bylaws. Specifically, dispositions related to the rules of conduct and disciplinary proceedings. Likewise, the Court validated the Río Piedras Campus Chancellor's resolution to ban all activities and manifestations within campus for 30 days in view of violent acts perpetrated by students Vélez & Rios vs. UPR, KLAN2010-01745; Pellot, et als. Vs. Guadalupe, et als. KLAN2010-01891.
- 3) On December 13, 2010 the President of the UPR approved the Protocol for the Activation of Article 2.19 of the General Student Bylaws under which all manifestations and similar activities may be suspended for 30 days in case of clear and imminent danger of interruption or disruption of academic and administrative affairs. Protocol (R-1011-14)
- 4) The Governor of Puerto Rico recently signed Law 3 of February 4, 2011 prohibiting obstruction of access to an educational institution as well as the destruction, damage or alteration of its property.

It is also crucial for the institution to define the scope and reach of what is a legal and valid exercise of University Autonomy in alignment with University Law, rules and regulations, and related accreditation standards, as applicable to the University as a whole in relation with the external community and to the respective units in relation with the system (UPR Action Plan, I.C.5). To this end, the Legal Affairs Office and the Vice Presidency for Academic Affairs completed the phase of collecting references to Autonomy in University Bylaws and Certifications. The President has charged the Chancellors and the Vice Presidency of Academic Affairs, with the support of Academic Deans, to draft a definition to be presented to the University Board for suggestions and recommendations, and further consideration of the Board of Trustees.

Commitment with an Open University Culture

One of the 7 Committees of 7 to be appointed by the President, the Open University Committee, is being charged with drafting an official statement with the principles and expectations that entail the Open University Culture, and recommending a set of strategies, measures and protocols conducive to sustained compliance with policies that support uninterrupted continuity of institutional mission (UPR Action Plan I.B.1) (See Section on The Role of the 7 Committees of 7 of the UPR, page 5).

After considering the draft statement and the input from the University Board, the Board of Trustees will issue the Institutional Open University Culture Statement. Administrators at all levels will be required a written commitment with the Open University Culture, as well as every user of the University net. Along with the Student Code of Conduct, the Statement will also be widely disseminated among the student body to stimulate their commitment with the sustained continuity of the institutional mission and educational offerings.

Certification No. 90 (2004-2005) of the Board of Trustees (<http://www.certifica.upr.edu/PDF/CERTIFICACION/2004-2005/90%202004-2005.pdf>) explicitly requires University authorities to guarantee access to premises at all times, encourages the broad participation of all sectors of the University Community to voice their concerns and propose solutions through the appropriate channels and within their roles and responsibilities, while being emphatic in rejecting the obstruction to facilities as a valid recourse. Student Bylaws similarly forbid stoppages, strikes, or any form of expression that entails the disruption or interruption of University operations and academic activities violating the rights of others (<http://www.certifica.upr.edu/PDF/CERTIFICACION/2009-2010/13%202009-2010.pdf>).

Provided that policies to support the continuity of operations and the academic process are in place, the University faces the challenge of transforming the aforementioned cultural elements into an Open University Culture that encourages freedom of speech, provides and protects the appropriate spaces for respectful debate and dissent germane to the very nature of a higher education environment, while safeguarding the rights and responsibilities of all members of the University community and the continuity of the institutional education, research and service mission. To that end and in compliance with UPR Action Plan (I.B.1), the President and the Vice President for Academic Affairs have been actively encouraging commitment with the Open University Culture in all sectors of the University Community to guarantee the continuity of the education, research and service mission.

Since the onset of the April – June 2010 student conflict, the President and the Vice Presidency for Academic Affairs increased the periodicity of opportunities to advise the Board of Trustees, the University Board, the Chancellors, the Deans for Academic Affairs, Deans for Student Affairs, and other groups with the capability of disseminating the message throughout the system and to University stakeholders, on the need for ongoing and sustainable compliance with accreditation and licensing standards and criteria regarding continuity of academic offerings to maintain eligibility for funding from the HEA and other external funds to advance the institution's mission (UPR Action Plan I. B.1).

Evidence of internal dialogue and advice on these topics include:

- 10) Presentations to the President, Chancellors and staff: February 8, 2010; May 22, 2010; June 26, 2010; September, 13, 2010
- 11) President's meetings with Chancellors and staff: March 17, 2010; May 11, 2010; August 18, 2010; September 28, 2010; October 13, 2010; November 17, 2010; November 24, 2010; December 1, 2010; December 22, 2010; January 19, 2011.
- 12) Presentations to the University Board: November 10, 2010; December 1, 2010; January 26, 2011

- 13) Board of Trustees meetings: October 21, 2009; May 22, 2010; June 26, 2010; June 29, 2010; August 28, 2010; September 7, 2010; November 3, 2010; December 3, 2010
- 14) Finance Committee of the Board of Trustees meeting: February 2, 2011
- 15) Academic Deans' meetings: June 30, 2010; August 25, 2010; September 29, 2010; November 2, 2010; December 14, 2010; January 21, 2011.
- 16) Student Affairs' Deans meetings: October 7, 2010; February 2, 2011
- 17) Finance and Budget Directors meeting: February 28, 2011
- 18) Presidents of the General Student Councils about accreditation and eligibility requirements to HEA funding meeting: December 13, 2010

Releases to the Internal and External Community:

- 3) MSCHE Publication Governing Boards Expectations (2010) sent to the Executive Secretary of the Board of Trustees: March 10, 2010
- 4) President's interview on institutional accreditation: *El Nuevo Día* Newspaper, November 17, 2010

Electronic Releases:

- 3) All information regarding the evaluation process is posted in the Vice Presidency for Academic Affairs link in the UPR webpage (http://www.upr.edu/?type=page&id=ofrecimientos_academicos_bachilleratos&ancla=ofrecimientos_academicos_bachilleratos&r_type=items&r_id=2).
- 4) Postings at *Cartero AC*, the Central Administration electronic outlet, regarding accreditation:
 - Press release, *Se juega la acreditación la UPR*, November 9, 2010 (UPR's accreditation at risk)
 - Actions of the Middle States Commission on Higher Education, November 30, 2010 (<http://www.upr.edu/docs-ms/ComunidadUniversitaria-AccionesMiddleStateCommission-on-HigherEducation.pdf>)
 - Open invitation to the 7 of 7 UPR Committees, January 29, 2011 (http://www.upr.edu/documentos/Comite_77_UPR_XL.pdf ; http://www.upr.edu/documentos/Comite_77_UPR.pdf)
 - Communications with to the Federal Department of Education, November 2010 (http://www.upr.edu/docs-ms/Consulta_al_DE_sobre_Referendum_RRP_Texto_Ingles.doc.pdf)

In order to broaden and strengthen the opportunities for effective communication between the administration and the University Community about their concerns and situations that affect them, as well as to share developments and accomplishments at system and unit levels, several forums and listening meetings have been held with elected student leadership, as detailed later in this Follow-up Report.

Integration of Campuses to their Communities

Goal No. 6 of the UPR Planning Agenda Ten for the Decade, related to developing leadership in community service and investment, was key in the development of the concept of an Open University Culture. This endeavor is geared toward strengthening ties to the community served by the UPR for increased success of its service mission. Certification No. 83 (2008-2009) of the Board of Trustees (<http://www.certifica.upr.edu/PDF/CERTIFICACION/2008-2009/83%202008-2009.pdf>) call for the University System to strengthen community service opportunities for students and faculty to develop their social responsibility and contribute to the betterment of Puerto Rican Society. Since 2009 a registry of courses with community service components and other community service initiatives at the units was prepared by the Vice Presidency of Academic Affairs. Currently, the registry is being updated to be displayed in the institutional webpage (Evidence at Site Visit).

The UPR is committed with culminating the blending of campuses to their surroundings to ensure uninterrupted fulfillment of institutional commitments and service to the internal and external community. Accordingly, as stated in the UPR Action Plan (I.B.2), in consultation with the Chancellors, the Director of the Central Administration Design and Construction Office (DCO) has developed and implemented the Open University Community Integration Project (OUCIP) in harmony with units' master plans, which include among others, the transformation and replacement of some barriers with vegetative material, adequate levels of illumination at parking lots, streets and sidewalks and building entrances, and the installation of mechanical bars at controlled parking areas.

The OUCIP is divided into three phases. Phase I is being implemented at campuses primary and secondary entrances. On November-December 2010 main entrances to all campuses and premises were kept open guaranteeing free access at all times, while following the President and Chancellors' Continuity and Security Plan in partnership with state and city governments, security and prevention measures were strengthened for the welfare of the academic and general community.

From December 3, 2010 to January 31, 2011 the DCO Director conducted comprehensive site evaluations of all units, including collecting data and assessing particular needs in order to implement appropriate security measures. Significant progress is observed with added lighting fixtures, mechanical arms, cameras, etc. Security guards have also been given the task of recording visitors at the campuses during evening hours. Phase I is estimated to be completed by the end of 2011 with security elements purchased and installed and full evaluation documented.

Empowerment of Leadership and Governance Constituents

As proposed in UPR Action Plan (I.C.1), the President has required Chancellors and staff to participate in a series of workshops and trainings to prompt a collective understanding of their task in collaboration with their constituents in policy development and decision making, as well as within the University system, among others:

- 1) Parliamentary Procedures: November 24, 2009
- 2) Appeal Processes Workshop: October 13, 2010

3) Conflict Resolution Strategies Workshop: TBA

In addition, the first of a series of workshops to support the self evaluation process of the Board of Trustees took place on February 25, 2011. Also, administrators at all levels will also be required to participate in conflict resolution trainings, to guarantee an effective prevention and managing of potentially conflicting situations (Evidence at Site Visit.).

Academic and Administrative Policies, Practices, and Structures

To promote compliance with MSCHE Standard 3, Institutional Resources, the UPR Action Plan includes activities to assure appropriate analysis of the effective use of institutional resources necessary to secure continuity of its mission and goals (UPR Action Plan, III.A.1). Decisions and actions needed to support efficient management, maintain fiscal control, and improve services and processes to effectively allocate resources, are implemented in compliance with institutional policies through coordinated, systematic, and sustained efforts of the Chancellors and President. Substantial evidence is available of continuous two way communication between units and Central Administration's Finance and Budget Offices to ensure a systemic planning and budgeting process. Continuous input of financial data is solicited and analyzed for decision making, planning and reorganizing priorities at unit and system levels to develop balanced budgets and the UPR five year financial projections. This task has been deployed through scheduled working sessions, including the systemic meeting of finance and budget personnel held on January 28, 2011, with follow-up on-line communications.

In compliance with Certification No. 43 (2006-2007) of the Board of Trustees (<http://www.certifica.upr.edu/PDF/CERTIFICACION/2006-2007/43%202006-2007.pdf>), Chancellors and Academic Deans continue evaluating the effectiveness of educational offerings in alignment with internal indicators, license and accreditation standards and requirements (UPR Action Plan, III.A.2). The Vice Presidency for Academic Affairs, in a collaborative effort with Chancellors, Academic Deans and Institutional Planning and Research Office Directors, analyzes institutional effectiveness and student outcome data to define capacity for admissions and programmatic priorities to secure continuity of the academic offerings with available resources.

A series of scheduled and individualized meetings with Academic Deans and personnel was completed to update the Five Year Academic Program Evaluation Itinerary in place. According to processes established in Certification No. 43, Chancellors are preparing an aggregated academic programs status report with strengths and recommended actions to address areas for improvement. Also, in collaboration with Chancellors and Deans for Academic Affairs a set of criteria for short term academic planning has been agreed upon, to guide decision making towards guaranteeing institutional effectiveness in the face of projected reductions for academic year 2011-2012 (Evidence at Site Visit).

COMMISSION'S REQUIREMENT:

8. EVIDENCE THAT STEPS HAVE BEEN TAKEN TO IMPROVE SHARED GOVERNANCE, ESPECIALLY IN

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| DOCUMENTING HOW CAMPUS INPUT IS SOLICITED AND CONSIDERED IN DECISION MAKING AT THE SYSTEM LEVEL. |
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During the April – June 2010 student conflict related with the development of a new tuition exemption policy and the implementation of a Summer Course Fee to reduce costs and enhance funding sources, the President of the UPR, President of the Board of Trustees, Chancellors and staff, maintained constant dialogue with (informally appointed) student leadership until agreements were reached and ratified through Certification No. 131 (2009-2010) of the Board of Trustees (<http://www.certifica.upr.edu/PDF/CERTIFICACION/2009-2010/131%202009-2010.pdf>) UPR Action Plan I.C.1).

Periodic Forums with Elected Student Leadership

Among many lessons learned from the past and current events is the need to enforce that the General Student Council (GSC) duly elected at each institutional unit is the only entity recognized by Law and University Bylaws with the role and responsibility of channeling student input to the University administration, versus alternate groups that historically displace GSC leadership, particularly during conflicts. Therefore, following what stressed in the Action Plan and the input from the October 2010 meeting, the UPR administration at all levels reaffirmed its commitment with actively promoting an open and transparent dialogue with the Presidents of the GSC's, to listen and consider their concerns, share developments regarding issues that affect them, and jointly seek for new ideas and explore viable solutions to face the institution's current challenges, within the framework of an open and functioning University.

The implementation of the Stabilization Fee figures among the measures reported to the MSCHE and the PR Council on Higher Education as an alternate source of funding to improve institutional finances at its present juncture (UPR Action Plan III.B.1). The current unrest invokes as its main drive the implementation of the Fee, in spite of the agreement ratified in Certification 131 postponing the Stabilization Fee to the second academic session (UPR Action Plan I.A.2).

As contemplated in the UPR Action Plan by the UPR Central Administration and the 10 units declared in probation on June 2010, periodic meetings are being held with recognized students' reps at system level, (UPR Action Plan I.A.2).

On October 6, 2010, following an initiative of the Student Trustee, the Students Affairs Committee of the Board of Trustees invited the student representatives to the University Board (or the President of his unit's General Student Council if they chose so) to receive firsthand knowledge of their concerns about the impact of fiscal limitations on student services and on steps taken by the institution to promote compliance with MSCHE requirements in the framework of the probationary actions on 10 units of the system. Their main concerns included: (1) their opposition to the Stabilization Fee, their stance that other funding sources should be identified, and doubts about its implementation; (2) the possible impact of the Open University Culture initiative on campus security; (3) doubts about the implementation of the electronic vote and its impact on discussion and debate in assembly; (4) the increased carrying capacity of courses, reduction of class sections

and library hours. Both students and Trustees were satisfied by the dialogue and agreed to meet again by the end of the academic year.

The first meeting of the President and staff with student leadership was held on October 22, 2010. Attendance included all student reps to the University Board, all student reps to the Academic Senates and all Presidents and General Student Councils (GSC) of the system. Again, substantive input was gathered regarding security concerns related to Open University Culture initiative, questions about the current fiscal challenges and the implementation of the Stabilization Fee, among other systemic issues. There was also consensus on the need of reviewing both the composition and format of these listening sessions in order to appropriately and effectively channel students concerns.

The second meeting of the President and staff was held on Monday, December 13, 2010, with GSC Presidents only. The threat that illegal stoppages represent to institutional accreditation, licensing and eligibility to HEA funding was discussed and fully recognized by the students. It was agreed that the Presidents of the GSC's of the 11 units would submit a proposal with possible solutions to the fiscal situation to be evaluated by the administration and discussed on a next meeting. However, upon leaving the meeting the President of the GSC of the Río Piedras Campus told the press that they would carry on with the strike vote. On December 18, 2010, the Board of Trustees issued Certification No. 56 (2010-2011) (<http://www.certifica.upr.edu/PDF/CERTIFICACION/2010-2011/56%202010-2011.pdf>) asking the President to continue dialoguing with the GSC Presidents with emphasis on informing them of all aids and programs available to tackle the new Stabilization Fee.

Listening meetings continued, even during the Christmas slowdown period. On December 27, 2010, members of the Finance Committee of the Board of Trustees, the President of the University and members of his staff: (1) updated them in detail about the current fiscal situation at both the state and University levels; (2) discussed the viability of their proposals, and; (3) explained the numerous financial assistance, student loan, work-study, payment methods and tax breaks opportunities in place to directly address the Stabilization Fee. At their request, all the financial information discussed was posted on the UPR webpage to facilitate reporting to their peers ([http://www.upr.edu/docs-ms/CertificacionNum56\(2010-2011\)JuntaSindicos.pdf](http://www.upr.edu/docs-ms/CertificacionNum56(2010-2011)JuntaSindicos.pdf); [http://www.upr.edu/docs-ms/CertificacionNum56\(2010-2011\)JuntaSindicos.pdf](http://www.upr.edu/docs-ms/CertificacionNum56(2010-2011)JuntaSindicos.pdf); <http://www.upr.edu/docs-ms/UPR-AuditedFinancialStatements-June30-2009.pdf>; <http://www.upr.edu/docs-ms/IngresosFormula-y-TransfondoHistorico-2010-2011.pdf>; <http://www.upr.edu/docs-ms/SituacionFiscalFondoGeneralUPR-2010-2011.pdf>; <http://www.upr.edu/docs-ms/PlanFinanciero-delFondoGeneralUPR-2011-2013.pdf>; <http://www.upr.edu/docs-ms/UnderstandingFinancialStatements.pdf>; <http://www.upr.edu/docs-ms/ConvocatoriaPrograma-deBecasLeyNum176-30noviembre2010.pdf>).

On January 4th, 2011, representatives of the Government Development Bank, the Government of Puerto Rico's central fiscal agent, offered a detailed presentation of its current financial situation, measures to overcome the deficit, fiscal projections and implications on UPR appropriations for the coming years. As a result of these conversations: (1) the possibility of jointly approaching town mayors towards creating job opportunities for students, and; (2) pursuing UPR participation on revenues derived from certain tax laws are being explored by Board members; (3) a directive was

issued by the Vice President for Academic Affairs on January 12, 2011, to guarantee that professors exert appropriate flexibility regarding textbooks and other materials required for the courses while student aids are disbursed.

In addition to the ongoing conversations at the institutional level with the duly elected student leadership of the UPR System, in late December 2010 the Secretary of State held two meetings with some official student leaders to consider their concerns and proposals—exclusively on issues within the roles and responsibilities of the State Government—namely, appropriations to the UPR and the Police presence in the University, among others. The Governor of Puerto Rico briefly participated in one meeting, and in a good faith gesture announced that he would remove the Police Tactical Operations Unit from the Río Piedras Campus, leaving only regular State Police to provide security throughout the system. He clarified however, that the Unit would remain off campus unless new disturbances threatening continuity of operations prompted their assistance. The Governor also: (1) clarified that the special scholarship fund enacted in late 2010 would be amended to guarantee \$30 million annually, and to guarantee that same amount during the second session of the current academic year; (2) reiterated that he opposed “privatizing the UPR” and that such privatization would require legislation that he would not endorse. Both the Governor and the Secretary of State explained students and the general public that none of these actions were the “product of negotiations”, but matters of public policy pertaining to the State Government, and that student concerns should continue to be addressed in the framework of the ongoing dialogue at the institutional level.

Another meeting with Council Presidents was held by Acting President Muñoz on Monday, February 21, 2011 to continue the dialogue with student leadership and to update them on the status and progress in the implementation of the special \$30 million Student Scholarship Fund approved by the Government of Puerto Rico.

Informational and Listening Sessions by Senior Leaders

As suggested in the Special Team’s Report (<http://www.upr.edu/docs-ms/3-UPR-Visiting-Team-Final-Report.pdf>), during the month of February 2011, members of the Board of Trustees conducted campus visits to hold listening sessions with Academic Senates (UPR Action Plan I.A.2).

In agreement with the Commission’s Visiting Team recommendations, Chancellors embrace a tradition to hold listening sessions with constituency groups to consider their input in the decision making processes. Moreover, to reinforce an institutional climate of mutual trust and respect, Acting President Muñoz expressed as a top priority in his leadership agenda to conduct campus visits beginning in the month of March, 2011, for face to face dialogues with constituents on major institutional issues and concerns.

Periodic Surveys

The Vice President of Academic Affairs, capitalizing on the expertise on institutional research of the Offices of Planning and Institutional Research (OPIR) throughout the system, is coordinating the design and administration of studies and periodic electronic surveys about situations and issues that concern and affect the University Community, to relay their results to the appropriate officers for action leading to improve shared governance (UPR Action Plan I.A.2)

Currently, among other activities, OPIR Directors are developing three pilot surveys around the prongs that guide Section I of the Action Plan for ongoing and sustained compliance with Standard 4, Leadership and Governance: (1) Foster an Enhanced Institutional Climate and Identity; (2) Open University Culture; (3) Strengthening of Governance (Evidence at Site Visit).

New Tuition Exemption Policy

The proposal for the new tuition exemption policy including all elements agreed in Certification 131 regarding its implementation was published from August to December 2010 to receive feedback from the community (http://acweb.upr.edu/docs/presidencia/EXENCIONES_DERECHOS_MATRICULA_EN_UPR1.pdf). On September 27, 2010, the President: (1) sent a reminder of the posting of the proposal for community feedback, and of the postponement of the fee to the second session of the academic year as agreed with students; (2) informed about the charge to the University Board to develop a Summer Offer Policy in consultation with unit's Academic Senates considering students' suggestions contained in the agreement (http://acweb.upr.edu/docs/presidencia/com_univ_estandar.PDF).

A reviewed tuition exemption policy draft considering the suggestions and comments received during that period will be submitted to the University Board to be considered on their March 2011 meeting, which in turn will submit its recommendations to the Board of Trustees, to issue the new Tuition Exemption Policy for the UPR effective on academic year 2011-2012 no later than April – May 2011 (UPR Action Plan I.C.1).

New Summer Offering Policy

Given the extent of the April – June 2010 interruption, for the first time in many years the 10 impacted units of the UPR did not offer a summer session on year 2010. Therefore, it is crucial to devise a summer offer for year 2011, to promote student's academic progress. As mentioned above, the University Board approved Certification No. 34 (2009-2010), to draft a proposal for a new Summer Offering Policy to support continuity of summer offerings with available resources, taking into account related recommendations in Certification 131 and feedback from the Academic Senates (UPR Action Plan I.C.1).

The charge was referred to the Academic Affairs Committee of the University Board, composed of student, faculty and administration representatives, which established the following schedule:

September 2010 – January 2011 - Draft new Summer Offering Policy

- February 1st, 2011 – March 15, 2011 - Receive input from the University Board Budget Committee and from unit's Academic Senates
- March 18, 2011 - Review Policy draft considering suggestions and recommendations received.
- April 6, 2011 - The proposed Policy is considered by the University Board and submitted to the Board of Trustees with the request that they issue a resolution regarding the 2011 Summer Offer on May 2011

Considering the current fiscal situation, instead of proposing a long term Summer Offering Policy, the Committee focused on identifying possible scenarios for a feasible summer 2011 offering framed on: (1) promoting a financing model where students, faculty and the institution proportionately contribute to that end; (2) supporting a uniform scale throughout the system both for course charges and faculty compensation.

The draft currently being considered by the Budget Committee of the University Board and unit's Academic Senates proposes several scenarios or combinations of carrying capacity per course, charge per course, and faculty compensation that balance as much as possible percentage reductions in summer compensation with the resulting percentage increase in the charge per summer course, with the institution covering indirect costs.

Substantive evidence of the proceedings of the University Board Academic Affairs Committee on this subject will be available upon request at the Office of the Executive Secretary of the University Board to be examined during the visit.

Chancellors and other Key Campus Leadership Role in Policy Development and Decision Making

The University of Puerto Rico Law defines the institution's governing structure, roles and responsibilities in the development of policies and decision making processes. The management of the institution both at the system and unit levels are regulated by applicable laws, University rules and regulations, complimentary bylaws, resolutions by the Board of Trustees, President's and Chancellors' directives, and rules and regulations adopted by each governing body within their roles and responsibilities (<http://sindicatos.upr.edu/regl-pol-norm.htm>).

The President, who is appointed by and responds to the Board of Trustees, has the responsibility of leading, coordinating and supervising the academic, administrative, and financial enterprise of the University. Each unit is headed by a Chancellor appointed by the Board of Trustees by recommendation of the President, with responsibilities similar to the President's at campus level.

Chancellors and key campus leadership are crucial to support coherence and articulation of the University as a system. Chancellors, Deans, Department and Office Directors and other campus

leadership participate actively in policy development and decision making at system level (UPR Action Plan I.C.7).

- 6) Chancellors are members of the University Board.
- 7) The President meets with Chancellors as frequently as needed, and not less than twice a month.
- 8) The Vice President for Students Affairs meets monthly with Student Deans, Financial Aid Directors and other student service officers.
- 9) The Vice President for Academic Affairs meets monthly or as frequent as necessary with Academic Deans, Professional Accreditations Committees, Institutional Research and Planning Directors, and as frequently as necessary with the institutional accreditation Task Force of the University of Puerto Rico and unit's institutional accreditation coordinators, at least twice a semester with Registrars, Directors of the Divisions of Continuing Education and Professional Studies, as well as other committees, groups, University Community members and stakeholders.
- 10) The Vice President for Research and Technology meets periodically funded researchers and visits their work areas to assess their needs. He also meets periodically with unit Information System specialists as part of the efforts towards implementing the Update of Technology and Information System Project (PATSI, by its Spanish acronym).

The following are evidenced examples of active participation of Chancellors and other key campus leaders on policy development and implementation and decision making (UPR Action Plan I.C.7).

- 13) Deans for Academic Affairs and one designated faculty representative to the University Board constitute the Board for Degree Recognition, which validates degrees granted by international higher education institutions of potential faculty of the University system.
- 14) Deans for Academic Affairs are actively working in the development of a systemic policy on Minors, Double Majors and Double Degrees.
- 15) Chancellors and Deans for Academic Affairs collaborated in the development of a set of short term criteria for academic planning to guide decision making towards guaranteeing institutional effectiveness in the face of projected reductions for academic year 2011-2012.
- 16) Together with the President, Chancellors developed and implemented the Continuity and Security Plan that allowed all campus to remain open and operational in spite of the unrest experienced during the past semester, for the first time after a long history of labor and student stoppages. The Plan defines, among other elements, the internal/external channels and levels of communication, strategies and means to guarantee the continuity of operations and safeguard the integrity of the institution both under normal and extraordinary circumstances (UPR Action Plan, III.A.5).
- 17) Chancellors play a key role in budget development set in Certification No. 100 (2005-2006) of the Board of Trustees (<http://www.certifica.upr.edu/PDF/CERTIFICACION/2005-2006/100%202005-2006.pdf>). Besides, in the face of the expected additional decrease of 5% in government revenues during FY 2011-2012, the President and Chancellors together

- with the Central Budget Director are aggressively identifying additional cost control measures and other corrective actions, incorporating assessment results of institutional planning, to assure balanced budgets, sufficient financial resources to carry out UPR mission and execute its plans effectively
- 18) Together with Budget and Finance Directors at system and unit levels, the President and Chancellors are developing a long term financial plan, also at system and unit levels, and examining structures and processes to integrate more efficient and effective practices.
 - 19) Deans for Academic Affairs and Registrars collaborated with the Vice Presidency for Academic Affairs in the development of the procedure required by the Board of Trustees for the implementation of the Academic Amnesty Admission Policy.
 - 20) At the request of the Student Affairs Committee of the Board of Trustees, Deans for Students Affairs provided substantive input for the implementation of the UPR Special Scholarship Fund Bylaws, as well as the improvement of students' services, tuition process, programmatic offerings, and the implementation of the electronic vote. Concerns with specific recommendations were considered and referred to the President for appropriate action.
 - 21) Chancellors, Deans for Students Affairs and Financial Aid Directors are actively working together towards the uniform implementation throughout the UPR System of the By Laws of the Special Scholarship Fund of the UPR, considering the input related to the point above by the President (<http://www.certifica.upr.edu/PDF/CERTIFICACION/2010-2011/70%202010-2011.pdf>).
 - 22) Consistent with UPR's goals that promote an integrated learning process enriched by experience, Deans for Students Affairs collaborated in the development of Student's Code of Conduct and are charged with its dissemination in their respective units.
 - 23) Whenever an institutional unit proposes a change in specifications of an existing course that is offered in other units, the Vice Presidency consults those units to get their approval before incorporating the changes. In case of objections, the Vice Presidency calls the corresponding Department heads to reach the necessary agreements for the coherent implementation of changes in common courses throughout the system.
 - 24) The Vice Presidency for Academic Affairs designated a systemic committee with members recommended by the Deans for Academic Affairs to address the University Board referral of Certification No. 09-06 of the Academic Senate of the Mayagüez Campus, which objects the policy established in Certification No. 130 (1999-2000) of the Board of Trustees for the design, revision and registration of courses, and syllabi structure. Committee members are examining the policy and evaluating its implementation to identify strengths and best practices, challenges and areas for improvement in the context of the reservations expressed by the Mayagüez Campus Academic Senate, to ensure a uniform and nimble process throughout the system, safeguarding compliance with programs' mission, and applicable licensing and institutional and professional accreditation applicable requirements.

The University Board and the Board of Trustees

Advisory and governing bodies at all levels, each with its own formal structure, rules, regulations, roles and responsibilities, include faculty and student participation: Academic Senates and Administrative Boards at campus level, and the University Board and Board of Trustees at system level.

University structure provides formal means to channel ideas from faculty and students through Faculty meetings, representatives to Academic Senates, Administrative Boards, the University Board and the Board of Trustees. Administrative Boards and Academic Senates of each unit meet periodically; the University Board and its several committees meet monthly; the Board of Trustees and its several committees also meet monthly.

Roles and responsibilities of faculty and student representatives include keeping their peers informed of proceedings in these forums as well as to relay their input to these forums, to ensure back and forth flow of timely and accurate information within each unit as well as from Central Administration to campuses. Abundant evidence to appraise the timeliness, accuracy and efficiency of faculty and student representatives in carrying out this responsibility will be available upon request at the Executive Secretaries Offices of the Academic Senate and Administrative Board of each unit, as well as the Executive Secretaries Offices of the University Board and the Board of Trustees at the Central level.

The Chancellors and the Vice Presidency for Academic Affairs have kept both the Board of Trustees and the University Board informed throughout the evaluation process, in compliance with its responsibility of advising on the need for ongoing and sustainable compliance with accreditation and licensing standards to advance the institution's mission. All information regarding the evaluation process is posted in the Vice Presidency for Academic Affairs link in the UPR webpage (http://www.upr.edu/?type=page&id=ofrecimientos_academicos_bachilleratos&ancla=ofrecimientos_academicos_bachilleratos&r_type=items&r_id=2).

The University Board has issued the following resolutions regarding these processes:

- 1) Certification No. 8 (2010-2011), on November 2010, requesting: (1) an extraordinary meeting to consider the probationary process and the action plans for compliance by Central administration and the 10 impacted units; (2) that the recommendations by the 7 Committees of 7 be brought to the consideration of the University Board to provide recommendations before being brought to the Board of Trustees.
- 2) Certification No. 10 (2010-2011), on December 2010, requesting the President and the Board of Trustees to **maintain the University open** and prevent any lockout that may threaten accreditation and eligibility to HEA funding (<http://www.upr.edu/docs-ms/Certificacion10-2010-2011-Junta.pdf>).
- 3) Certification No. 11 (2010-2011), on December 2010, supporting the Vice Presidency's efforts to sustain accreditation (<http://www.upr.edu/docs-ms/Certificacion11-2010-2011-Junta.pdf>).

- 4) Certification No. 12 (2010-2011), on January 2011, recommending the creation of a Committee composed of one student representative and one faculty representative, one Chancellor and two members of the President staff, to evaluate candidates to the 7 Committees of 7 and make recommendations to the President.

Following the body's request three University Board meetings were dedicated to the discussion of these matters, which focused mostly on clarifying: (1) their role on the implementation of the Action Plan; (2) the charges to the 7 Committees of 7 versus the roles and responsibilities of the University Board.

The Board of Trustees, on the other hand, has issued the following resolutions regarding this process:

- 1) Certification No. 39 (2010-2011), on November 2010, endorsing the Institutional Response to the Special Team report and requesting the President and Chancellors to discuss the Team's report, the Institutional Response and the Action Plan with the University Board and Academic Senates (<http://www.upr.edu/docs-ms/Cert39-2010-2011.pdf>; <http://www.upr.edu/docs-ms/4-UPR-Institutional-Response-to-MSCHE-Visiting-Team-Report-Oct21,2010.PDF>).
- 2) Certification No. 53 (2010-2011), on November 2010, requesting the President and the Chancellors to continue implementing the Action Plan and to continue receiving feedback that help accomplish its goals from the University Community (<http://www.certifica.upr.edu/PDF/CERTIFICACION/2010-2011/53%202010-2011.pdf>).

COMMISSION'S REQUIREMENT:

9. EVIDENCE THAT COMMUNICATION BETWEEN THE CENTRAL ADMINISTRATION AND THE INSTITUTION AND WITHIN THE INSTITUTION, IS CLEAR, TIMELY, AND ACCURATE, AND THAT THE SOURCES OF SUCH COMMUNICATIONS ARE CLEARLY DEFINED AND MADE AVAILABLE TO ALL CONSTITUENTS.

Especially facing these unprecedented times, the need to efficiently and effectively convey and exchange official information with constituents regarding the issues that affect them in an opportune, effective and efficient manner and demonstrate responsiveness is key to build the necessary mutual confidence critical to strengthen governance. As stated in the CMR, the goal is to optimize the flow and exchange of timely and accurate information and broaden opportunities for productive communication and input to all sectors of the University Community, to stimulate a climate of trust, collaboration, commitment and identification with the institution's mission, goals, and challenges. A brief summary of progress toward the accomplishment of this goal, and the evidence of the institutional activities implemented, follows (UPR Action Plan, I.A.1).

Communication Plan

The Central Administration Office of Communications reengineered the Institutional Communication Plan to better support UPR's mission through different programming strategies and dissemination of relevant information. The primary objectives of the plan include: (1) optimizing the positioning of the UPR as the leading institution of higher education in Puerto Rico; (2) enhancing the international positioning of the UPR; (3) maximizing the use of UPR website and increasing and diversifying information resources (social networks, *Cartero AC* and *UPR Informa*) to communicate relevant information to internal and external and address main issues

A Crisis Management Plan was developed and deployed as part of the Communication Plan. To assure its efficient implementation, the Office of Communication coordinates and articulates the collaboration of communication officers and liaisons in the 11 campuses, to support disclosure through their web pages and other information resources.

Also, one of the 7 Committees of 7, Internal and External Communication, is charged with assessing the effectiveness of internal and external communication during the past events and making recommendations for improvement. As conceived in the original Action Plan, this Committee was meant to be composed exclusively of experts in the field of Communication. However, following suggestions received from discussions in the University Board, the Committee will not only include experts in Communication but also *consumers* of information from the internal and external community, as key elements to assist in the accomplishment of the Committee's charge.

Communication Strategies

Strategies for timely and accurate delivery of institutional information to the internal and external community have been developed and implemented, including broadening communication delivery channels capitalizing in the diversity of outlets available throughout the UPR system, newspapers, web pages and radio stations.

Regarding the advice and information disclosed to the entire University community on the main and critical issues of the institution, internal releases are sent through the official email *Cartero AC*. Items sent through this service include institutional evaluation and accreditation reports, documentation regarding the financial situation of the UPR, Certifications by the Board of Trustees, Presidents' messages (written and audio), among others.

The social networking—*UPR Informa*, Facebook, and Twitter—are used to provide information on institutional issues and to answer questions submitted through *Cartero AC* and network members (<http://www.facebook.com/pages/UPR-Informa/108647535820341>; <http://www.facebook.com/pages/Aguada/AguadillaAreciboBayamonCarolinaCayeyCiencias-Medicas-HumacaoMayaguezRio-PiedrasPonce/UPR-Informa/108647535820341?v=wall> http://acweb.upr.edu/docs/Prensa/Ya_son_mas_de_20_mil_personas.pdf). When deemed essential, paid advertisements are posted through press, radio and TV to complement strategies to keep the internal and external community informed.

Examples of links posted through *Cartero AC* to keep University Community continuously informed and updated:

- 1) UPR Recertified to grant Pell Grants, August 2, 2010
(<http://acweb.upr.edu/docs/presidencia/UPR-REINSTALADA-OTORG-BECAS-PELL.pdf>)
- 2) President's message rejecting possible closure or fusion of campuses, August 6, 2010
(http://www.upr.edu/a_la_comunidad_universitaria/RechazoAPosibleCierreOFusionDeRecintosYUnidadesUPR.pdf).
- 3) Invitation to the University Community to provide input for the New Tuition Exemption Policy, August 19, 2010 (<https://sites.google.com/a/upr.edu/politica-exencion-matricula/>).
- 4) Call for input from the University Community to the proposed prongs and goals in the September 2010 CMR under preparation to achieve sustained compliance with standards under probation by the MSCHE (<https://sites.google.com/a/upr.edu/msche-upr-monitoring-report/>)
- 5) Note on the MSCHE Special Team Visit to the UPR, September 17, 2010
(<http://acweb.upr.edu/docs/presidencia/COMUNIDAD-UNIVERSITARIA-VISITA-DEL-EQUIPO-ESPECIAL-DE-LA-msche.pdf>)
- 6) Reminder by the UPR President of the posting of the Tuition Exemption proposal for community feedback, of the postponement of the fee to the second session of the academic year as agreed with students, and the development of a Summer Offer Policy considering students' suggestions contained in the agreement September 27, 2010
(http://acweb.upr.edu/docs/presidencia/com_univ_estandar.pdf)
- 7) Call for input to proposed Amendments to the UPR General Student Bylaws for the implementation of the electronic vote, October 29, 2010
(http://www.upr.edu/docs/Junta_Sindicos/Reg_Gen_Est/Carta_Enm_RGE.pdf)
- 8) Announcement of posting of all documents related to the institutional evaluation by the MSCHE, November 3, 2010 (www.upr.edu/docs-ma/)
- 9) UPR Special Scholarship Program, November 30, 2010
(<http://acweb.upr.edu/docs/presidencia/ComunicadoFondodeBecasUPR.pdf>)
- 10) Up-dates to the UPR Special Scholarship Program, December 16, 2010
(<http://acweb.upr.edu/docs/presidencia/ComunicadoFondodeBecasUPR.pdf>)

Press releases, accessible at *Cartero AC*:

- 1) El Vocero Newspaper Editorial, *Llamado a la Calma en la UPR*, March, 16, 2010
http://acweb.upr.edu/docs/prensa/Vocero_15marzo20101.pdf
- 2) UPR President reaffirms fiscal measures in place, November 12, 2010
(http://www.upr.edu/docs/presidencia/medidas_fiscales.pdf)
- 3) UPR President informs the implementation of UPR Special Scholarship Fund Program, November 30, 2010
(<http://acweb.upr.edu/docs/presidencia/ComunicadoFondodeBecasUPR.pdf>).

- 4) Announcing first meeting of the UPR Special Scholarship Fund Program Committee to define organization, bylaws and granting criteria, December 16, 2010. (toda.la.comunidad@upr.edu)
- 5) Available Financial Assistance Programs to tackle Stabilization Tuition Fee, January 3, 2011 (toda.la.comunidad@upr.edu)
- 6) UPR Special Scholarship Fund Law, January 7, 2011 (toda.la.comunidad@upr.edu)
- 7) Internal and External Call to join 7 Committees of 7 of the UPR, January 20 (http://www.upr.edu/documentos/Comite_77_UPR_XL.pdf; http://www.upr.edu/documentos/Comite_77_UPR.pdf)
- 8) MSCHE Evaluation Status Report (<http://www.upr.edu/docs-ms/26-enero-2010-InformeEstadoTrabajosEvaluacionMSCHE-JU-20enero2011>)

Examples of postings at *Cartero AC* of TV, radio and press interviews on relevant institutional issues:

- 1) UPR President's live presentation at WIPR Channels 6 and 3, April 14, 2010 (<http://informa.upr.edu/?p=1151>)
- 2) TV Forum of the UPR President and the Río Piedras General Student Council President, interview related to the student conflict, the financial situation and the budgetary measures under consideration, April 16, 2010 (http://www.prnet.pr/04_14.htm)
- 3) Board of Trustees' President live presentation on Channel 24, dialogue related to the UPR situation, May 11, 2010 (toda.la.comunidad@upr.edu)
- 4) *El Nuevo Día Newspaper*, President's interview related with institutional accreditation, newspaper clippings, November 17, 2010
- 5) Radio ad and CNN interview, December 21, 2010 (http://www.upr.edu/content/Anuncio_Informativo-dic2010.mp3; <http://www.upr.edu/content/EntrevistaJRdlT-CNN.wmv>)
- 6) Media campaign providing factual information on the implementation of the Stabilization Fee, December 2010 - January 2011

Purpose, Membership Selection and Relation of the 7 Committees of 7 to Existing Structures

Since the September 2010 Exit Meeting the University welcomed the Special Team's recommendations to articulate an explicit purpose and charge of the 7 Committees of 7, to develop an open and transparent process of membership selection, that their relations to existing structures be made explicit, and that the Board of Trustees be fully briefed. The actions set and in progress to comply with these recommendations are described in this Report under The Role of the 7 Committees of 7, page 5.

To devise ways to promote a substantive collaboration of the internal and external community, an open call was published through *Cartero AC* and the major circulation newspaper of the Island to apply to join the Committees and to submit input to fine tune their charge (http://www.upr.edu/documentos/Comite_77_UPR_XL.pdf, http://www.upr.edu/documentos/Comite_77_UPR.pdf). Numerous applications have been received from students, faculty, employees, alumni, former faculty and administrators, and other University stakeholders.

Updated Feb 23, 2011
Vice Presidency for Academic Affairs

IMPLEMENTATION AND ASSESSMENT GUIDE

**UNIVERSITY OF PUERTO RICO ACTION PLAN FOR SUSTAINED COMPLIANCE WITH THE
LEADERSHIP AND GOVERNANCE, EDUCATIONAL OFFERINGS, AND INSTITUTIONAL RESOURCES
STANDARDS OF EXCELLENCE OF THE MIDDLE STATES COMMISSION ON HIGHER EDUCATION**

**Aligned with Visiting Team Recommendations of September 2010, Commission's Requirements of
November 2010,
Recommendations of the University Board, and Directives of the Board of Trustees**

I. Standard 4, Leadership and Governance: The institution system of governance clearly defines the roles of institutional constituencies in policy development and decision-making. The governance structure includes an active governing body with sufficient autonomy to assure institutional integrity and to fulfill its responsibilities of policy and resource development, consistent with the mission of the institution.

The Institutional Action Plan along Standard 4 is organized in three prongs: **Foster an Enhanced Institutional Climate and Identity, Open University Culture, and Strengthening of Governance**

I. A. FOSTER AN ENHANCED INSTITUTIONAL CLIMATE AND IDENTITY

GOAL: Optimize the flow and exchange of timely and accurate information and broaden opportunities for productive communication and input to all sectors of the University Community, to stimulate a climate of trust, collaboration, commitment and identification with the institution's mission, goals, and challenges.

| ACTIONS | COMMISSION'S REQUIREMENTS | ACTIVITIES | RESPONSIBLE | TIMEFRAME | EXPECTED OUTCOMES | DESCRIPTION AND EVIDENCE OF OUTCOMES |
|--|--|--|---|------------|--|--|
| 1. Develop strategies for clear, timely and accurate delivery of institutional information to the internal and external community, with sources of communi | Commission's Requirement No. 9: Evidence that communication between the Central Administration and the institution and within the institution, is clear, timely, and accurate, and that the sources of such communications are clearly defined and made available | Broaden communication delivery channels including but not limited to, updates of institutional and unit's web pages, and other outlets | President Senior Leaders Director Communications Office Chancellors | Continuous | Increase rate of official information delivered to and acceded by internal and external community through multiple outlets | Communications to and from officers in Central Administration and units <i>Cartero AC</i> communications Webpage postings Press releases, news, articles, media interventions Multimedia information |

| ACTIONS | COMMISSION'S REQUIREMENTS | ACTIVITIES | RESPONSIBLE | TIMEFRAME | EXPECTED OUTCOMES | DESCRIPTION AND EVIDENCE OF OUTCOMES |
|---|---|---|---|------------|---|--|
| ation clearly defined and available to all constituents | to all constituents (Standard 4). | | | | | campaigns |
| | | | | | | EVIDENCE AT UNIT LEVEL¹ |
| | <p>Commission's Requirement No. 6: Evidence that the UPR Action Plan is implemented, that it is assessed, and the data are used for continuous improvement of the institution's processes.</p> <p>Commission's Requirement No. 9: Evidence that communication between the Central Administration and the institution and within the institution, is clear, timely, and accurate, and that the sources of such communications are clearly defined and made available</p> | <p>Maintain community informed about progress on implementation and assessment of the Action Plan</p> <p>Receive feedback from the community for the improvement of the plan and better accomplishment of goals (Certification No. 53 (2010-2011), Board of Trustees)</p> <p>Clear communication on the need and purpose of the 7 Ad Hoc Committees, the membership selection process, and their relation to existing structures.</p> | VP for Academic Affairs Assistants to the VP for Academic Affairs Chancellors | Continuous | <p>Constituents informed</p> <p>Feedback and data used for continuous improvement</p> | <p><i>Cartero AC</i> Communications, Webpage postings, press releases and media interventions</p> <p>Incorporate feedback from the University Board (Certification No. 8, 2010-2011)</p> <p>Call for feedback to the Action Plan</p> <p>Call for feedback to the 7 Ad Hoc Committees of 7</p> <p>Feedback received</p> <p>Data collected</p> <p>Updates introduced for improvement</p> |

¹ **EVIDENCE AT THE UNIT LEVEL** – Refers to evidence to be provided in the Unit's Monitoring Reports and respective supporting documentation.

| ACTIONS | COMMISSION'S REQUIREMENTS | ACTIVITIES | RESPONSIBLE | TIMEFRAME | EXPECTED OUTCOMES | DESCRIPTION AND EVIDENCE OF OUTCOMES |
|---------|---|---|--|--|--|--|
| | to all constituents (Standard 4). | | | | | |
| | | | | | | EVIDENCE AT UNIT LEVEL |
| | <p>Commission's Requirement No. 8 Evidence that steps have been taken to improve shared governance, especially in documenting how campus input is solicited and considered in decision making at the System level.</p> <p>Commission's Requirement No. 9: Evidence that communication between the Central Administration and the institution and within the institution, is clear, timely, and accurate, and that the sources of such communications are clearly defined and made available to all constituents (Standard 4).</p> | Charge a Focal Group including experts in communication to assess the effectiveness of internal and external communication during the past year and make recommendations for improvement. | SEE APPENDIX: THE 7 COMMITTEES OF 7 OF THE UNIVERSITY OF PUERTO RICO | SEE APPENDIX: THE 7 COMMITTEES OF 7 OF THE UNIVERSITY OF PUERTO RICO | SEE APPENDIX: THE 7 COMMITTEES OF 7 OF THE UNIVERSITY OF PUERTO RICO | SEE APPENDIX: THE 7 COMMITTEES OF 7 OF THE UNIVERSITY OF PUERTO RICO |

| ACTIONS | COMMISSION'S REQUIREMENTS | ACTIVITIES | RESPONSIBLE | TIMEFRAME | EXPECTED OUTCOMES | DESCRIPTION AND EVIDENCE OF OUTCOMES |
|--|--|---|--|------------|---|---|
| 2. Broaden and strengthen the opportunities for effective communication between the administration and the university community to receive input about their concerns and situations that affect the institution, as well as to share developments and achievements. | <p>Commission's Requirement No. 8: Evidence that steps have been taken to improve shared governance, especially in documenting how campus input is solicited and considered in decision making at the System level.</p> <p>Commission's Requirement No. 9: Evidence that communication between the Central Administration and the institution and within the institution, is clear, timely, and accurate, and that the sources of such communications are clearly defined and made available to all constituents (Standard 4).</p> | Carry out periodic forums of the President and staff with elected leaders to the Student Councils of all units and student representatives to the University Board. | VP for Students Affairs | Continuous | Sustained communication and initiatives resulting from input received | <p>Invitations, attendance lists, agendas and minutes of meetings:</p> <ul style="list-style-type: none"> - President and Staff with Student Reps to the Senates and University Board, and General Student Councils - Board of Trustees with Student Reps to the University Board - Board members, President and Staff with Presidents of General Student Councils |
| | | Conduct regular unit visits by senior leaders and hold informational and listening sessions open to all constituents. | Senior Leaders Special Assistant to the President | Continuous | Sustained communication and initiatives resulting from input received | Invitations, attendance lists, agendas and minutes of meetings |
| | | Carry out periodic meetings of Chancellors and staff with elected leaders to the Student Councils and the Academic Senate. | Chancellors | | | EVIDENCE AT UNIT LEVEL |

| ACTIONS | COMMISSION'S REQUIREMENTS | ACTIVITIES | RESPONSIBLE | TIMEFRAME | EXPECTED OUTCOMES | DESCRIPTION AND EVIDENCE OF OUTCOMES |
|--|--|--|---|----------------------------------|---|--|
| | Commission's Requirement No. 8: Evidence that steps have been taken to improve shared governance, especially in documenting how campus input is solicited and considered in decision making at the System level. | Conduct periodic on-line surveys about situations and issues that concern and affect the university community. | VP for Academic Affairs Assistants to the VP for Academic Affairs Directors Offices of Planning and Institutional Studies | February, 2011 Continuous | Series of surveys developed Findings of surveys relayed to the appropriate officers for action and used for continuous improvement | Invitations, attendance lists, agendas and minutes of meetings with Directors Offices of Planning and Institutional Studies Pilot surveys developed Calendar for surveys Surveys administered Reports on results and analyses of surveys |
| 3. Ensure opportunities for students to freely participate and provide input in decisions that directly affect them. | Commission's Requirement No. 7: Evidence of implementation of clear institutional policies specifying the respective authority of the different governance bodies and their respective roles and responsibilities in shared governance. | Implement the electronic vote mechanism for students' elections and assemblies as mandated by Law 128 of August 11, 2010 | VP for Student Affairs Director for Legal Affairs Chancellors | September – October 2010 | Increase participation rates of student body in elections and assemblies when compared between prior election processes and those registered through electronic votes | Amendments to the University Law Amendments to the General Student Bylaws in compliance with Law 128. |
| | | | | | Electronic vote implemented in compliance with the Law 128 of August 11, 2010 | EVIDENCE AT UNIT LEVEL |

I.B. DEVELOP AN OPEN UNIVERSITY CULTURE

GOAL: Support an Open University Culture that values diversity of ideas, guarantees and encourages freedom of speech and the right to dissent, while safeguarding the rights and responsibilities of all members of the University community with the continuity of the institutional education, research and service mission.

| ACTIONS | COMMISSION'S REQUIREMENTS | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | EXPECTED OUTCOMES | DESCRIPTION AND EVIDENCE OF OUTCOMES |
|--|---|---|---|---------------|---|---|
| 1. Encourage commitment with an Open University Culture in all sectors of the University Community to guarantee the continuity of the education, research and service mission. | Commission's Requirement No. 7: Evidence of implementation of clear institutional policies specifying the respective authority of the different governance bodies and their respective roles and responsibilities in shared governance | Advise on the need for ongoing and sustainable compliance with accreditation and licensing standards and criteria regarding continuity of academic offerings to maintain eligibility for funding from the Higher Education Act and other external funds to advance the institution's mission. | President VP for Academic Affairs Senior Leaders Communications Office Director | Continuous | Increased awareness of internal and external community of accreditation and licensing standards and criteria, and sustained continuity of the University mission and expected goals. | Invitations, attendance lists, agendas and minutes of meetings <i>Cartero AC</i> communications Webpage postings Press releases, news, articles, media interventions Multimedia information campaigns |
| | Commission's Requirement No. 7: Evidence of implementation of clear institutional policies specifying the respective authority of the different governance bodies and their respective roles and responsibilities in shared | Disseminate the Code of Conduct contained in the Student's General Bylaws and its relevance to maintain eligibility for funding from the Higher Education Act and other external funds to advance the institution's mission. | VP for Student Affairs Director of Legal Affairs Deans for Student's Affairs | February 2011 | Increased and sustained desirable conducts of the student body in the University environment in compliance with laws and regulations. Code of Conduct accepted as part of the undergraduate freshman | Draft Code of Conduct Posting of Code of Conduct in Central Administration webpage Directive to Deans for Students Affairs for its dissemination at campus level Code of Conduct |

| ACTIONS | COMMISSION'S REQUIREMENTS | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | EXPECTED OUTCOMES | DESCRIPTION AND EVIDENCE OF OUTCOMES |
|---------|--|--|---|--|---|--|
| | governance | | | | admission process | included with undergraduate freshman admission notification |
| | | | | | | EVIDENCE AT UNIT LEVEL |
| | Commission's Requirement No. 7: Evidence of implementation of clear institutional policies specifying the respective authority of the different governance bodies and their respective roles and responsibilities in shared governance. | Charge an Open University Committee with: (a) drafting an Institutional Open University Statement; (b) recommending strategies, measures and protocols conducive to sustained compliance with policies that support continuity of the institutional mission. | SEE APPENDIX: THE 7 COMMITTEES OF 7 OF THE UNIVERSITY OF PUERTO RICO | SEE APPENDIX: THE 7 COMMITTEES OF 7 OF THE UNIVERSITY OF PUERTO RICO | SEE APPENDIX: THE 7 COMMITTEES OF 7 OF THE UNIVERSITY OF PUERTO RICO | SEE APPENDIX: THE 7 COMMITTEES OF 7 OF THE UNIVERSITY OF PUERTO RICO |
| | Commission's Requirement No. 7: Evidence of implementation of clear institutional policies specifying the respective authority of the different governance bodies and their respective roles and responsibilities in shared governance | Require from all administrators at all levels a written commitment with an Open University Culture. Require from all users of the University net to accept commitment with an Open University Culture as a condition to log in. | President Chancellors VP for Academic Affairs VP for Research and Technology Information Systems Officer | When Board of Trustees issues Institutional Open University Statement When Board of Trustees issues Institutional Open University Statement | All administrators at all levels embrace and accept the Open University Culture with a written commitment All users of the University net embrace and accept the commitment with the Open University Culture as a condition to | Commitments accepted and signed by administrators at all levels Commitments accepted by all users of the University net |

| ACTIONS | COMMISSION'S REQUIREMENTS | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | EXPECTED OUTCOMES | DESCRIPTION AND EVIDENCE OF OUTCOMES |
|----------------------------|---|---|---|---|--|---|
| | | | | | log in. | |
| | | Require from all students upon registration a written commitment with the Open University Culture and Students' Code of Conduct. | VP for Research and Technology Information Systems Officers | When Board of Trustees issues Institutional Open University Statement | Increased awareness of the need to embrace the Open University Culture, and of the laws and regulations regarding desirable conducts in the University environment | Signed commitments with Open University Culture and Students' Code of Conduct EVIDENCE AT UNIT LEVEL |
| | Commission's Requirement No. 7: Evidence of implementation of clear institutional policies specifying the respective authority of the different governance bodies and their respective roles and responsibilities in shared governance | Require administrators at all levels to participate in trainings on conflict resolution strategies Coordinate conflict resolution trainings at all levels of the institution | President Special Assistant to the President Special Assistant to the President, Chancellors, and Human Resources Director | Continuous Starting February 2011 | Strengthened skills to prevent and manage conflictive situations | Call for trainings Calendar for trainings Attendance lists, Certificates of training completion by Chancellors and senior staff |
| 2. Achieve the incorporati | Commission's Requirement No. 7: | Implement the Architectural Plan for the | Chancellors, Design and Construction | Phase I beginning on September | Uninterrupted fulfillment of institutional | Architectural Plan Progress Report |

| ACTIONS | COMMISSION'S REQUIREMENTS | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | EXPECTED OUTCOMES | DESCRIPTION AND EVIDENCE OF OUTCOMES |
|--|---|---|--|---------------------|---|--|
| on of campuses to their surrounding communities in accordance with the goals of the UPR Planning Agenda Ten for the Decade and the Open University Culture to ensure uninterrupted fulfillment of institutional mission and commitments with its internal and external stakeholders. | Evidence of implementation of clear institutional policies specifying the respective authority of the different governance bodies and their respective roles and responsibilities in shared governance | integration of campuses to their communities in accordance with their respective master plans. | Director, VP for Academic Affairs, Assistants to the VP for Academic Affairs | 2010 | mission and commitments with its internal and external stakeholders | Status Reports Community Service Initiative Progress Report |
| | | | | | | EVIDENCE AT UNIT LEVEL |
| 3. Develop strategies for ongoing and sustainable compliance with related accreditation and licensing requirements | Commission's Requirement No. 7: Evidence of implementation of clear institutional policies specifying the respective authority of the different governance bodies and their | Develop and implement a Continuity and Security Plan in partnership with state and/or city governments to improve security in campuses and surrounding communities. | President, Chancellors | Since November 2010 | Steps towards a Continuity and Security Plan in partnership with state and city governments | |

| ACTIONS | COMMISSION'S REQUIREMENTS | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | EXPECTED OUTCOMES | DESCRIPTION AND EVIDENCE OF OUTCOMES |
|---|--|---|-----------------------------|-----------|-------------------|--------------------------------------|
| nts and Certification 90 (2004-2005) of the Board of Trustees and dispositions in the General and Students Bylaws, which mandate continuity of the institutional education, research and service mission. | respective roles and responsibilities in shared governance | | | | | |
| | Commission's Requirement No. 7: Evidence of implementation of clear institutional policies specifying the respective authority of the different governance bodies and their respective roles and responsibilities in shared governance. | Extend the UPR Identification Cards Project in Policy Statement Num. R-0708-03 (2009-2010) to all members of the University Community as a key element for the success of the Continuity and Security Plan. | Chancellors | | | EVIDENCE AT UNIT LEVEL |

I.C. REVISIT AND EMPOWER LEADERSHIP AND GOVERNANCE AT ALL LEVELS

GOAL: Revisit the roles and responsibilities of all constituents of the institution's leadership and governance to foster an environment that stimulates and enforces compliance with the best practices in University rules and regulations, leadership, governance and institutional integrity accreditation standards, to ensure an empowered and committed leadership effectively supporting the accomplishment of the institution's mission in a manner appropriate to their charge.

| ACTIONS | COMMISSION'S ACTION | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | EXPECTED OUTCOMES | DESCRIPTION AND EVIDENCE OF OUTCOMES |
|---|---|--|---|--|---|---|
| 1. Honor the agreements with students in Certification Num. 131 (2009-2010) of the Board of Trustees. | Commission's Requirement No. 8: Evidence that steps have been taken to improve shared governance, especially in documenting how campus input is solicited and considered in decision making at the System level. | <p>Do not apply summary sanctions in connection with the April – June 2010 student conflict.</p> <p>Expedite appealing processes related to the April – June 2010 conflict.</p> <p>Appoint ex judges as Examining Officers to evaluate administrative actions.</p> <p>Postpone implementation of Stabilization Fee to the second academic session of year 2010-2011.</p> <p>Calendar of Activities set in Certification 131 for the establishment of the new Tuition Exemption Policy.</p> <p>Explore alternatives for the offering of</p> | <p>Chancellors</p> <p>Board of Trustees</p> <p>Chancellors</p> <p>Board of Trustees</p> <p>Board of Trustees</p> <p>Chancellors</p> | <p>April – June 2010</p> <p>When submitted</p> <p>As needed</p> <p>Second session of year 2010-2011</p> <p>August 2010 – April 2011</p> <p>In progress</p> | <p>All agreements have been honored by the UPR</p> | <p>Agreement signed by court assisted mediation</p> <p>Certification Num. 131 (2009-2010) of the Board of Trustees</p> <p>All Examining Officers appointed are ex judges</p> <p>Certification Num. 146 (2009-2010) of the Board of Trustees</p> <p>Calendar of activities according to established calendar</p> <p>Set of alternatives for the offering of summer courses</p> |

| ACTIONS | COMMISSION'S ACTION | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | EXPECTED OUTCOMES | DESCRIPTION AND EVIDENCE OF OUTCOMES |
|---------|--|--|--|---|--|---|
| | | summer courses before considering using the Divisions of Continuing Education and Professional Studies for their financing. | | | | |
| | | Comply with activities set in Certification 131 for the establishment of the new Tuition Exemption Policy. | President VP for Academic Affairs University Board Board of Trustees | August 2010 – April 2011 | New Tuition Exemptions Policy | Posting of Policy Draft Feedback Received Reviewed Policy University Board suggestions and recommendations to the Board of Trustees |
| | <p>Commission's Requirement No. 8: Evidence that steps have been taken to improve shared governance, especially in documenting how campus input is solicited and considered in decision making at the System level.</p> <p>Commission's Requirement No. 9: Evidence that communication between the Central Administration and the institution and within the institution, is</p> | Draft a proposal for a new Summer Offering Policy to support continuity of Summer offerings with the available resources, taking into account the related recommendations in Certification 131 and feedback from the Academic Senates. | University Board VP for Academic Affairs Executive Secretary to the University Board Board of | <p>No later than April 2011</p> <p>May 2011</p> | New Summer Offering Policy issued by the Board of Trustees | <p>Agenda, minutes, of University Board Academic Affairs Committee</p> <p>VP for Academic Affairs reports to the Committee</p> <p>Policy draft submitted to the Academic Senates</p> <p>Feedback received</p> <p>Agenda, minutes, of University Board</p> <p>Proposal for a new Summer Offering Policy submitted to the Board of Trustees</p> <p>Agenda, minutes, of Board of Trustees Academic Affairs Committee</p> |

| ACTIONS | COMMISSION'S ACTION | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | EXPECTED OUTCOMES | DESCRIPTION AND EVIDENCE OF OUTCOMES |
|---|---|--|--|---------------|--|---|
| | clear, timely, and accurate, and that the sources of such communications are clearly defined and made available to all constituents (Standard 4). | | Trustees | | Assessment of Summer Policy Offering Policy implementation. | Agenda, minutes, of Board of Trustees Certification for New Summer Offering Policy |
| 2. Enforce compliance with the Code of Conduct contained in the Student's General Regulations. | Commission's Requirement No. 7: Evidence of implementation of clear institutional policies specifying the respective authority of the different governance bodies and their respective roles and responsibilities in shared governance | Continue administrative actions in the units in connection with the past student conflict. | Chancellors | In progress | Implementation of actions recommended by Examining Officers. | EVIDENCE AT UNIT LEVEL |
| 3. Promote active participation in leadership of students that model best academic practices and accomplishment of the institution's mission and goals toward its student body. | Commission's Requirement No. 7: Evidence of implementation of clear institutional policies specifying the respective authority of the different governance bodies and their respective roles and responsibilities in shared governance | Require all elected student leaders to maintain eligibility criteria established in Student Bylaws during the length of their terms. | President VP for Academic Affairs Director of Legal Affairs Board of Trustees | February 2011 | Students Bylaws amended | Proposal to amend Student Bylaws Certification amending Students Bylaws |
| 4. Clarify the scope and | Commission's Requirement | Continue judicial proceedings in | Director of Legal Affairs | Continuous | Delineate the confines of | Legal decisions |

| ACTIONS | COMMISSION'S ACTION | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | EXPECTED OUTCOMES | DESCRIPTION AND EVIDENCE OF OUTCOMES |
|--|--|--|---|---|---|---|
| reach of the state of law regarding what is a legal and valid exercise of freedom of speech within a public higher education institution. | No. 7: Evidence of implementation of clear institutional policies specifying the respective authority of the different governance bodies and their respective roles and responsibilities in shared governance | connection with student conflicts. | Office | | exercise of freedom of speech in the UPR. | Legislation |
| 5. Define the scope and reach of what is legal and valid exercise of University Autonomy in alignment with University Law, rules and regulations, and applicable accreditation standards regarding institutional integrity, leadership and governance. | Commission's Requirement No. 7: Evidence of implementation of clear institutional policies specifying the respective authority of the different governance bodies and their respective roles and responsibilities in shared governance Commission's Requirement No. 8: Evidence that steps have been taken to improve shared governance, especially in documenting how campus input is solicited and considered in decision | Identify and analyze the contexts in which the concept of University Autonomy appears in the University Law, rules and regulations. Draft a proposed definition of University Autonomy as applicable to the University as a whole in relation with the external community and to the respective units in relation with the system. - Present proposed definition to the University Board - Present proposed definition and University | President, Chancellors, VP for Academic Affairs, Director of Legal Affairs Deans for Academic Affairs | December – February 2010 March – May 2011 Next University Board meeting after draft statement. Next Board of Trustees meeting after draft statement. | Collect all references to Autonomy in University Bylaws and Certifications Delineate the confines of University Autonomy in the UPR University Board suggestions and recommendations Institutional University Autonomy Statement issued by the Board of Trustees | Reference documents Attendance lists, agendas and minutes Draft statement Reviewed draft statement Certification by the Board of Trustees |

| ACTIONS | COMMISSION'S ACTION | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | EXPECTED OUTCOMES | DESCRIPTION AND EVIDENCE OF OUTCOMES |
|--|---|--|--|--|--|--|
| | <p>making at the System level.</p> <p>Commission's Requirement No. 9: Evidence that communication between the Central Administration and the institution and within the institution, is clear, timely, and accurate, and that the sources of such communications are clearly defined and made available to all constituents (Standard 4).</p> | Board suggestions and recommendations to the Board of Trustees | | | | |
| 6. Revise governance structures' composition, roles and responsibilities to ensure their effective participation in carrying out the institution mission and goals in compliance with the applicable law and regulations | <p>Commission's Requirement No. 7: Evidence of implementation of clear institutional policies specifying the respective authority of the different governance bodies and their respective roles and responsibilities in shared governance.</p> | Charge an Ad Hoc Committee to: (1) evaluate the composition, roles and responsibilities of the advisory bodies to the President and Chancellors, in alignment with the applicable laws, regulations and standards, including benchmarking, to sustain the necessary balance for effective shared collegial governance; (2) develop guidelines for the review of internal | SEE APPENDIX: THE 7 COMMITTEES OF 7 OF THE UNIVERSITY OF PUERTO RICO | SEE APPENDIX: THE 7 COMMITTEES OF 7 OF THE UNIVERSITY OF PUERTO RICO | SEE APPENDIX: THE 7 COMMITTEES OF 7 OF THE UNIVERSITY OF PUERTO RICO | SEE APPENDIX: THE 7 COMMITTEES OF 7 OF THE UNIVERSITY OF PUERTO RICO |

| ACTIONS | COMMISSION'S ACTION | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | EXPECTED OUTCOMES | DESCRIPTION AND EVIDENCE OF OUTCOMES |
|--|---------------------|---|------------------------------|-----------|---|---|
| and accreditation standards regarding institutional integrity, leadership and governance, and best practices. | | regulations governing and advisory bodies as well as recognized students organizations. | | | | |
| 7. Ensure that all participants in leadership and governance are empowered and committed with their roles and responsibilities and best practices to effectively contribute in carrying out the institution mission and goals within the applicable law and regulations and in compliance with accreditation standards regarding institutional integrity, leadership | | Appoint Chancellors | President, Board of Trustees | | All Chancellors appointed between September 1, 2010 and October 26, 2010 | Certifications No. 1,2,3,4,10,11,14,26, and 27 (2010-2011) by the Board of Trustees |

| ACTIONS | COMMISSION'S ACTION | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | EXPECTED OUTCOMES | DESCRIPTION AND EVIDENCE OF OUTCOMES |
|-----------------|---|--|---|--------------------------------|--|---|
| and governance. | | | | | | |
| | <p>Commission's Requirement No. 7 Evidence of implementation of clear institutional policies specifying the respective authority of the different governance bodies and their respective roles and responsibilities in shared governance.</p> <p>Commission's Requirement No. 8: Evidence that steps have been taken to improve shared governance, especially in documenting how campus input is solicited and considered in decision making at the System level.</p> | Advise Chancellors on their roles and responsibilities, the scope and functions of the governance and advisory bodies at system and unit levels and solicit and consider their input on decision making at system level. | Assistant to the President VP for Academic Affairs Executive Secretary, University Board | September 2010 – December 2010 | Series of workshops offered | <p>Workshop on appeals process</p> <p>Workshop on Financial Statements</p> <p>Attendance lists, agendas and minutes of Chancellors meetings</p> |
| | <p>Commission's Requirement No. 4: Evidence of a procedure in place for the periodic objective assessment of the Board of Trustees in meeting stated</p> | Advise the Board of Trustees on their roles and responsibilities in alignment with the University Law, bylaws and related expectations in MSCHE standards including the | VP for Academic Affairs Executive Secretary Board of Trustees | Continuous January | Increase awareness of accreditation expectations on Governing Boards | Communications, attendance lists, agendas and minutes of meetings where the publication Governing Boards have been brought to their attention. |

| ACTIONS | COMMISSION'S ACTION | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | EXPECTED OUTCOMES | DESCRIPTION AND EVIDENCE OF OUTCOMES |
|--|---|---|--|--|---|---|
| | <p>governing body objectives and responsibilities.</p> <p>Commission's Requirement No. 7 Evidence of implementation of clear institutional policies specifying the respective authority of the different governance bodies and their respective roles and responsibilities in shared governance.</p> <p>Commission's Requirement No. 8: Evidence that steps have been taken to improve shared governance, especially in documenting how campus input is solicited and considered in decision making at the System level.</p> | <p>publication Governing Boards.</p> <p>Develop and implement a procedure for the objective periodic assessment in meeting its roles and responsibilities.</p> <p>Coordinate workshop on the Board's roles and responsibilities with emphasis on accreditation expectations</p> | | <p>2011</p> <p>February - March 2011</p> <p>January – June 2011</p> | <p>Draft a rubric to evaluate the roles and responsibilities of the Board of Trustees based on University Law, Bylaws, Certifications and applicable standards</p> <p>Board of Trustees develops an assessment tool and identify strengths and weaknesses, and discusses results</p> <p>Implement assessment procedure based on assessment and complete process</p> | <p>Rubric draft</p> <p>Attendance lists, agendas and minutes</p> <p>Attendance lists, agendas and minutes of meetings</p> <p>Official assessment tool and procedure</p> |
| 8. Foster gradual, harmonious, and organized transitions of leadership and governance at all | <p>Commission's Requirement No. 5: Evidence that steps have been taken to assure continuity and stability of institutional leadership, particularly in</p> | Charge an Ad Hoc Committee to evaluate the effectiveness of consulting and transition processes in the University | SEE APPENDIX: THE 7 COMMITTEES OF 7 OF THE UNIVERSITY OF PUERTO RICO | SEE APPENDIX: THE 7 COMMITTEES OF 7 OF THE UNIVERSITY OF PUERTO RICO | SEE APPENDIX: THE 7 COMMITTEES OF 7 OF THE UNIVERSITY OF PUERTO RICO | SEE APPENDIX: THE 7 COMMITTEES OF 7 OF THE UNIVERSITY OF PUERTO RICO |

| ACTIONS | COMMISSION'S ACTION | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | EXPECTED OUTCOMES | DESCRIPTION AND EVIDENCE OF OUTCOMES |
|--|-----------------------------------|---|---|------------|---|--|
| levels, with the adequate overlap for the substantive transfer of information critical for a seamless continuity of the University agenda. | times of governmental transition. | | | | | |
| | | Guarantee continuity of experience, expertise, institutional memory and adequate overlap across administrations | Board of Trustees President Chancellors | Continuous | Continuity and stability across administrations including adequate overlap between Presidents | List of senior leaders at the Board of Trustees and President's Office level that have remained providing leadership in key areas across administrations Succession measures with adequate overlaps across administrations. |
| | | | | | | EVIDENCE AT UNIT LEVEL |

II. Standard 11, Educational Offerings: The institution's educational offerings display academic content, rigor, and coherence that are appropriate to its higher education mission. The institution identifies student learning goals and objectives, including knowledge and skills, for its educational offerings.

The Institutional Action Plan along Standard 11 focuses in one main strategy: **Guarantee sustained length, rigor and depth of academic offerings.**

II. A. GUARANTEE SUSTAINED LENGTH, RIGOR AND DEPTH OF ACADEMIC OFFERINGS

GOAL: Guarantee the continuity and the appropriate content, rigor, coherence and length of the institution's academic and research endeavors at all times, to support an effective and seamless student learning process and advancement toward their degrees in harmony with the Open University Culture.

| ACTIONS | COMMISSION'S REQUIREMENTS | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | EXPECTED RESULTS | DESCRIPTION AND EVIDENCE OF OUTCOMES |
|---|---------------------------|---|---|------------|---|---|
| 1. Continue monitoring long term impact of April – June interruption and other disruptions on student learning. | | Complete analysis of the distribution of grades, incompletes, withdrawals, attrition, and other indicators of the impact of the interruption on students. | VP for Academic Affairs Deans for Academic Affairs Directors Offices of Planning and Institutional Studies | Continuous | Decision making/policy development at the appropriate level | Attendance lists, agendas and minutes of meetings Agreement on systemic parameters for analysis and assessment Report with findings, analyses and recommendations |
| | | Continue to review the progress of individual students to see if there is additional analysis needed in order to determine if there is a long-term impact. Incorporate collected outcomes assessment data into assessment plans and follow up to understand the impact of student learning, and meld into its overall assessment data. | Deans for Academic Affairs, Directors Offices of Planning and Institutional Studies | Continuous | Decision making/policy development at the appropriate level | Unit's reports with findings, analyses and recommendations Incorporation of findings into unit's learning assessment plans EVIDENCE AT UNIT LEVEL |

| ACTIONS | COMMISSION'S REQUIREMENTS | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | EXPECTED RESULTS | DESCRIPTION AND EVIDENCE OF OUTCOMES |
|--|---------------------------|--|--|------------|--|---|
| | | Continue to monitor the effects of the financial situation on the quality and rigor of the academic programs. | VP for Academic Affairs Deans for Academic Affairs, Directors Offices of Planning and Institutional Studies | Continuous | Decision making/policy development at the appropriate level. | Attendance lists, agendas and minutes of meetings Agreements on systemic parameters for analysis and assessment Report with findings, analyses and recommendations Incorporation of findings into academic planning policies |
| 2. Establish contingency plans and policy guidelines to ensure the effective accomplishment of student learning goals with the appropriate content, rigor and coherence in case of fortuitous interruptions of the academic process. | | Develop guidelines to accurately assess the degree of accomplishment of knowledge and skills development goals and objectives in order to prescribe the appropriate activities and length of time necessary to assure a coherent continuation of the learning process, in the event of a fortuitous interruption of an academic session. | VP for Academic Affairs Deans for Academic Affairs | Continuous | Draft guidelines based on findings, analyses and recommendations on Report of long term impact of April – June interruption and other disruptions on student learning. | Policy statement regarding licensing requirements on continuity Systemic guidelines issued at the appropriate administrative level |
| | | Establish contingency | Chancellors | Continuous | Contingency Plans established | EVIDENCE AT UNIT LEVEL |

| ACTIONS | COMMISSION'S REQUIREMENTS | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | EXPECTED RESULTS | DESCRIPTION AND EVIDENCE OF OUTCOMES |
|---------|---------------------------|---|-----------------------------|-----------|------------------|--------------------------------------|
| | | plans, including a crisis communication plan, for continuation of academic programs in the event of fortuitous interruptions. | | | at unit levels. | |

III. Standard 3, Institutional Resources: The human, financial, technical, facilities, and other resources necessary to achieve an institution's mission and goals are available and accessible. In the context of the institution's mission, the effective and efficient uses of the institution's resources are analyzed as part of ongoing outcomes assessment.

The Institutional Action Plan to preserve compliance with Standard 3 has two main dimensions: **Secure continuity and institutional effectiveness with available resources** and **Maintain and nurture additional sources of funding to continue advancing institutional education, research and service priorities.**

III.A. SECURE CONTINUITY AND INSTITUTIONAL EFFECTIVENESS WITH AVAILABLE RESOURCES

GOAL: Secure continuity and effective accomplishment of the institutional mission and goals with the available resources by developing and implementing the appropriate financial measures.

| ACTIONS | COMMISSION'S REQUIREMENT | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | EXPECTED OUTCOMES | DESCRIPTION AND EVIDENCE OF OUTCOMES |
|---|---|--|---|--------------------------------|---|---|
| 1. Revisit the current strategic planning agenda to set priorities in alignment with institutional assessment results, current and projected resources, and the development and implementation process of a long-term financial plan for the University of Puerto | Commission's Requirement No. 3: Evidence that the Board of Trustees assists in generating resources needed to sustain and improve the institution. | Revise the Capital Improvement Program (CIP) according to available and projected resources to continue with priority projects. Seek interim financing for priority projects. | Board of Trustees President Finance Director | 2007-2008 February 2011 | Reorganized CIP Interim financing for priority projects obtained | Certification No. 80 (2007-2008) of the Board of Trustees Certification by the Board of Trustees |

| ACTIONS | COMMISSION'S REQUIREMENT | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | EXPECTED OUTCOMES | DESCRIPTION AND EVIDENCE OF OUTCOMES |
|--|--------------------------|--|---|--|--|--|
| Rico to assure financial viability and sustainability. | | | | | | |
| | | Continue implementation of Control Measures established in Policy Statements. Revisit the Advisory Committee on Institutional Finances' Report (CAFI, 2007) and submit recommendations of financial measures. | Chancellors Budget Director Finance Director Unit's Budget and Finance Directors | Continuous January - April 2011 | Continue to identify and implement viable cost cutting measures to maintain institutional effectiveness with available resources | Policy statements on Control Measures Agreements on further cost cutting measures to implement and assess across the system |
| | | Charge an Ad Hoc Institutional Strategic Planning Committee with the identification of priorities and the development of guidelines for the reorganization of the institutional planning agenda based on the assessment of its outcomes and available resources. | SEE APPENDIX: THE 7 COMMITTEES OF 7 OF THE UNIVERSITY OF PUERTO RICO | SEE APPENDIX: THE 7 COMMITTEES OF 7 OF THE UNIVERSITY OF PUERTO RICO | SEE APPENDIX: THE 7 COMMITTEES OF 7 OF THE UNIVERSITY OF PUERTO RICO | SEE APPENDIX: THE 7 COMMITTEES OF 7 OF THE UNIVERSITY OF PUERTO RICO |
| 2. Continue evaluating the effectiveness of education | | Continue developing and implementing cost effective measures in academic | VP for Academic Affairs Chancellors Deans for Academic | Continuous | Analysis of building capacity based on budget adjustments, enrollment forecasting, | Academic Year 2010 - 2011 Carrying capacity for Admission |

| ACTIONS | COMMISSION'S REQUIREMENT | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | EXPECTED OUTCOMES | DESCRIPTION AND EVIDENCE OF OUTCOMES |
|--|--|--|-------------------------------------|----------------------------|---|--|
| al offerings in compliance with Certification Num. 43 (2006-2007) and Certification Num. 92 (2008-2009) of the Board of Trustees, which mandate periodic evaluation with emphasis on duplicated offerings to promote informed decision making regarding the continuation of academic programs. | | offerings while safeguarding quality and the institution's commitments with students. | Affairs | | among other factors, and effect of programs. Identify possible pause/adjustments in admission, consolidation and/or closure of academic programs based on assessment to maintain institutional effectiveness with available resources. | 2010 adjusted by 7.44% 131 ineffective transfer programs discontinued effective August 2010. Carrying capacity for traditional undergraduate courses set to a minimum of 30 students (Certification No. 135 (2009-2010) of the Board of Trustees). Measures for Academic Year 2011 – 2012 In process |
| | | Reorganize priorities and planning at unit level according to the academic program review, five-year financial projections, and cost cutting measures. | Chancellors | January - April 2011 | Planning aligned with available resources | EVIDENCE AT UNIT LEVEL |
| 3. Provide timely and accurate system | Commission's Requirement No. 1: Five-year | Five-year financial projections for the UPR System including | Finance Director Budget Director | No later than January 2011 | Increased communication between the units and Central | General guidelines to support the development |

| ACTIONS | COMMISSION'S REQUIREMENT | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | EXPECTED OUTCOMES | DESCRIPTION AND EVIDENCE OF OUTCOMES |
|---|---|---|---|--|--|---|
| and campus financial data for decision making to support the institution's mission and goals. | <p>financial projections for the UPR System including information from audited financial statements for fiscal year 2010.</p> <p>Commissions' Actions No. 2: Institutional pro-forma budgets that demonstrate the institution's ability to generate a balanced budget for fiscal years 2012 through 2015, including the personnel, compensation, and other assumptions on which these budgets are based (Standard 3).</p> | <p>information from audited financial statements for fiscal year 2010, no later than January 2011.</p> <p>Provide pro-forma budgets that demonstrate an ability to generate balanced budgets for each campus for FY 2012 through 2015. Include a specific set of assumptions, including personnel counts and compensation planning.</p> <p>Units submit quarterly date budgets to Central Budget Office.</p> <p>Provide monthly income/expense reports to each unit and Central Office.</p> | <p>Budget Director</p> <p>Budget Director</p> <p>Finance Director</p> | <p>January – February 2011</p> <p>January 2011; April 2011; July 2011</p> <p>June 2011</p> | <p>Administration for timely delivery of financial data for decision making.</p> | <p>of a long-term financial plan at the central and unit levels</p> <p>Five-year financial projections based on current information</p> <p>Pro forma budgets for each unit</p> <p>Quarterly budget update for each unit</p> <p>Monthly income-expense reports at system and unit levels</p> |

| ACTIONS | COMMISSION'S REQUIREMENT | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | EXPECTED OUTCOMES | DESCRIPTION AND EVIDENCE OF OUTCOMES |
|--|--------------------------|--|--|------------|---|--|
| 4. Evaluate administrative policies, practices, structures, processes and functions at all levels and implement the necessary changes to: (1) support an effective, fair and efficient finance and budget planning and allocation and a timely disclosure of financial information; (2) promote an efficient, non redundant and cost-effective management. | | <p>Continue efforts towards minimizing accounts receivables for improved financial stability.</p> <p>Evaluate effectiveness in debt collection practices at the unit level to identify effective practices to disseminate throughout the system.</p> | Finance Director Unit Finance Directors | Continuous | <p>Increased collection and cash flow according to established goals</p> <p>Recognize and disseminate best practices to better debt collection.</p> | <p>Evidence of debt collection efforts and results</p> <p>Progress report on identified best practices</p> |
| | | | | | | EVIDENCE AT UNIT LEVEL |

| ACTIONS | COMMISSION'S REQUIREMENT | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | EXPECTED OUTCOMES | DESCRIPTION AND EVIDENCE OF OUTCOMES |
|---------|--------------------------|--|---|---------------|---|---|
| | | Evaluate the effectiveness of the Financial Information Systems Software (UFIS) in providing necessary financial information for budget development with feedback from affected parties throughout the system. | Finance Director Unit Finance Directors, VP for Research and Technology Director Information Systems Office | In progress | Identification of programming features to be modified. Assess effects on unit making the changes, if needed. Improved timelines. Compare time processes used to take to carry out vs after improvements in systems established. | Attendance lists, agendas and minutes of meetings Progress report |
| | | Command compliance with institutional directives regarding strategic planning and budget allocation at the central and unit levels. | Budget Director | Continuous | Appropriate monitoring of planning and budget allocation at all levels in accordance with institutional directives. | Reports on: (1) unit's current versus budgeted expenses; (2) reviews, transfers, freezing of accounts; (3) expenditures versus budget by program; (4) quarterly reports by expense category and projections Attendance lists agendas and minutes of meetings, follow-up on meetings and agreements. |
| | | Appoint a Chief Financial Officer (CFO) to | Finance Director Budget Director | February 2011 | Proposal to create the position submitted to the | Draft of position definition and |

| ACTIONS | COMMISSION'S REQUIREMENT | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | EXPECTED OUTCOMES | DESCRIPTION AND EVIDENCE OF OUTCOMES |
|---------|--------------------------|--|--|--|---|--|
| | | overview Budget, Finance, Physical Plant and other areas related to the institution's Administrative and Management affairs to ensure appropriate guidance and monitoring of institutional operations at all levels. | President Board of Trustees | July 2011 | President for its presentation to the Board of Trustees. Appoint CFO | functions Certification of the Board of Trustees |
| | | Charge an Ad Hoc Budget and Finance Committee with: (1) evaluating the effectiveness of Certification Num. 100 (2005-2006) of the Board of Trustees as the instrument for budget development at the central and unit levels in the context of the University Law and regulations; (2) identifying best practices in the budgeting process, at the central and unit levels, and in comparable public universities; (3) making the corresponding recommendations for improvement. Charge an Ad Hoc Administrative | SEE APPENDIX: THE 7 COMMITTEES OF 7 OF THE UNIVERSITY OF PUERTO RICO | SEE APPENDIX: THE 7 COMMITTEES OF 7 OF THE UNIVERSITY OF PUERTO RICO | SEE APPENDIX: THE 7 COMMITTEES OF 7 OF THE UNIVERSITY OF PUERTO RICO | SEE APPENDIX: THE 7 COMMITTEES OF 7 OF THE UNIVERSITY OF PUERTO RICO |

| ACTIONS | COMMISSION'S REQUIREMENT | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | EXPECTED OUTCOMES | DESCRIPTION AND EVIDENCE OF OUTCOMES |
|---|--------------------------|--|-----------------------------|------------------------|--|--|
| | | Efficiency Committee supported by a process reengineering specialist to steer: (1) the evaluation of administrative structures processes and functions; (2) develop recommendation of measures to promote cost-effectiveness in management and improved service at the Central Administration and unit levels. | | | | |
| 5. Promote collaboration agreements with state and city governments in common areas of interest to promote short and long term economies. | | Develop and implement a Continuity and Security Plan in partnership with state and/or city governments to improve security in campuses and surrounding communities. | President Chancellors | November-December 2010 | A cost-effective Continuity and Security Plan implemented at each campus with short and long term positive impact in neighboring communities. Solicit input from units, assess strategies and make changes accordingly. | Continuity and Security Committee attendance lists Continuity and Security Plan Draft Status Reports |
| | | Promote the development of collaboration agreements with state and city governments that result in mutual economies. | Chancellors | Continuous | Increased cost reductions, assess impact and make changes accordingly. | EVIDENCE AT UNIT LEVEL |

III.B. MAINTAIN AND NURTURE ADDITIONAL SOURCES OF FUNDING TO CONTINUE ADVANCING INSTITUTIONAL EDUCATION, RESEARCH AND RESEARCH PRIORITIES

GOAL: Continue and develop initiatives to increase and diversify sources of funding to support the accomplishment of the institutional mission and goals.

| ACTIONS | COMMISSION'S ACTION | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | EXPECTED OUTCOMES | DESCRIPTION AND OUTCOME EVIDENCE |
|---|---|---|---|---|--|--|
| 1. Continue, increase and diversify new sources of funding to effective accomplish institutional mission. | Commission's Requirement No. 3: Evidence that the Board of Trustees assists in generating resources needed to sustain and improve the institution. | Implement Stabilization Fee on the second academic session of year 2010 to secure alternative funding sources. Obtain \$100 M credit line from the Government Development Bank in order to secure working capital during the current academic year Identify and implement additional student aid funding and expand existing programs to tackle the Stabilization Fee | Board of Trustees Finance Director Board of Trustees President | September 2010 October 2010 November 2010 – February 2011 | New sources of revenues and continue to seek grant opportunities. Short-term financial stability. | Certification Num. 146 (2009-2010) of the Board of Trustees Policy letters. An additional yearly income of not less than \$40 M is expected from its implementation. Certification Num. 5 (2010-2011) of the Board of Trustees \$30 million per year, for the creation of a Special Scholarship Fund for graduate and undergraduate student aids, approved by the Government of Puerto Rico (Law 176 of November 2010) |

| ACTIONS | COMMISSION'S ACTION | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | EXPECTED OUTCOMES | DESCRIPTION AND OUTCOME EVIDENCE |
|---------|---------------------|------------|-----------------------------|-----------|-------------------|--|
| | | | | | | <p>The Board of Trustees assigned \$1,662,256 from the profits of the University Endowment Fund to reactivate the <i>PASI</i> to provide aids to graduate students</p> <p>State Government assigned an additional \$1.7 M to the Federal Work Study Program funding of the UPR from the Workforce Investment Act (WIA) funds of the State. Over 2,000 students of the UPR System will benefit from work experiences in the private and public sectors</p> <p>UPR Endowment Fund was created in 1996 with an initial balance of \$5 M; current balance is over \$82 M</p> |

| ACTIONS | COMMISSION'S ACTION | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | EXPECTED OUTCOMES | DESCRIPTION AND OUTCOME EVIDENCE |
|--|---------------------|--|--|------------|--|---|
| 2. Continue stimulating the submission of proposals for external funding to advance the research and education strategic agenda of the University of Puerto Rico. | | Maintain the current level of institutional matching funds allocation. Continue implementing measures for stimulating submission of proposals for external funding to advance research. | Board of Trustees VP for Research and Technology Chancellors | Continuous | Maintain and increase the influx of external funding for research and education initiatives. | Budget 2010 - 2011 Certification by the Board of Trustees Report of systemic proposals submitted, granted, and matching funding commitments |
| | | | | | | EVIDENCE AT UNIT LEVEL |
| 3. Expand Division of Continuing Education and Professional Studies units (DCEPS) and other self-financing offerings in academic units to advance institutional service mission towards the community and increase revenues for the units. | | Increase and diversify course offerings and expand the reach of academic programs through self financing. Increase the number of degree granting academic programs available in the self-financing Extended University (UnEx) format aimed at non-traditional students. | VP for Academic Affairs Chancellors Deans for Academic Affairs DCEPS Directors | Continuous | Enhancement of the DCEPS offerings and outreach mission, and increased revenues at the unit level. | EVIDENCE AT UNIT LEVEL |

| ACTIONS | COMMISSION'S ACTION | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | EXPECTED OUTCOMES | DESCRIPTION AND OUTCOME EVIDENCE |
|--|---|--|--|-------------------|---|---|
| 4. Increase revenues derived from the Intramural Practice in proportion with the support provided by the University of Puerto to this activity. | Commission's Requirement No. 3: Evidence that the Board of Trustees assists in generating resources needed to sustain and improve the institution. | Evaluate the effectiveness of Certification Num. 123 (1996-1997) of the Board of Trustees, which establishes the policy for the Intramural Practice of faculty members, and make recommendations to help enhance institutional revenues. | Chancellors | March – June 2011 | Proposed changes in policy submitted to the President. Board of Trustees | Draft proposal for the Board of Trustees New Intramural Practice Policy issued with increased revenues for the supporting units. |
| 5. Strengthen institutional relationships with active students and faculty, alumni and retired faculty, community, private and government entities to attract funding at both central and unit levels. | Commission's Requirement No. 3: Evidence that the Board of Trustees assists in generating resources needed to sustain and improve the institution. | Organize a series of fund-raising activities to nurture the Endowment Fund. | Board of Trustees President Director Alumni and Development Office | Continuous | Increase influx of capital into the UPR Endowment Fund and the units. | Calendar of Activities and expected revenues |
| | | Continue fostering alumni donations through fundraising activities at the system and unit levels. | Chancellors Director Alumni and Development Office Directors Alumni Offices | Continuous | Increase influx of capital into the UPR Endowment Fund and the units. | EVIDENCE AT UNIT LEVEL |

| PRONG/GOAL/ACTION | COMMISSION'S REQUIREMENT | ACTIVITIES | RESPONSIBLE | TIMEFRAME | EXPECTED OUTCOMES | DESCRIPTION AND EVIDENCE OF OUTCOMES |
|--|--|--|---|--|---|--|
| University Culture that values diversity of ideas, guarantees and encourages freedom of speech and the right to dissent, while safeguarding the rights and responsibilities of all members of the University community with the continuity of the institutional education, research and service mission. I.B.1. ACTION: Encourage commitment with an Open University Culture in all sectors of the University Community to guarantee the continuity of the education, research and service mission. | Evidence of implementation of clear institutional policies specifying the respective authority of the different governance bodies and their respective roles and responsibilities in shared governance. | (a) drafting an Institutional Open University Statement; (b) recommending strategies, measures and protocols conducive to sustained compliance with policies that support continuity of the institutional mission. | Academic Affairs | February 2011 | community to assist in key institutional issues and receive feedback to fine tune their charge | through <i>Cartero AC</i> , posting in webpage and press Responses to open invitation Feedback received to Ad Hoc Committee's Charge Appointment letters to Committee members |
| I.C. REVISIT AND EMPOWER LEADERSHIP AND GOVERNANCE AT ALL LEVELS GOAL: Revisit the roles and responsibilities of all constituents of the institution's leadership and governance to foster an environment that stimulates and enforces compliance with the best practices in University rules and regulations, leadership, governance and institutional integrity accreditation standards, to ensure an empowered and committed leadership effectively supporting the accomplishment of the institution's mission in a manner appropriate to their charge. I.C.6. ACTION: Revise governance structures' | Commission's Requirement No. 7: Evidence of implementation of clear institutional policies specifying the respective authority of the different governance bodies and their respective roles and responsibilities in shared governance. | Charge an Ad Hoc Committee to: (1) evaluate the composition, roles and responsibilities of the advisory bodies to the President and Chancellors, in alignment with the applicable laws, regulations and standards, including benchmarking, to sustain the necessary balance for effective shared collegial governance; (2) develop guidelines for the review of internal regulations governing and | President Chancellors VP for Academic Affairs | January – February 2011 February 2011 | Recruit members of internal and external community to assist in key institutional issues and receive feedback to fine tune their charge | Open invitation to potential candidates through <i>Cartero AC</i> , posting in webpage and press Responses to open invitation Feedback received to Ad Hoc Committee's Charge Appointment letters to Committee members |

| PRONG/GOAL/ACTION | COMMISSION'S REQUIREMENT | ACTIVITIES | RESPONSIBLE | TIMEFRAME | EXPECTED OUTCOMES | DESCRIPTION AND EVIDENCE OF OUTCOMES |
|-------------------|--|---|---|---|---|--|
| | | Committee supported by a process reengineering specialist to steer: (1) the evaluation of administrative structures processes and functions; (2) develop recommendation of measures to promote cost-effectiveness in management and improved service at the Central Administration and unit levels. | | | | |
| | | Submit Report to the President | All Committees VP for Academic Affairs | Dates agreed with Committees | Recommendations or improvement | Attendance lists, agendas and minutes of meetings Updates introduced to Committee's charge Requests for feedback from internal and external community Report to the President |
| | Commission's Requirement No. 7: Evidence of implementation of clear institutional policies specifying the respective authority of the | Present Report to the University Board Present Report and University Board's suggestions and recommendations to the Board of | President VP for Academic Affairs | Next University Board meeting after receipt of Report Next Board of Trustees meeting after receipt | University Board suggestions and recommendations. President/Board of Trustees directives and/or determinations | Agendas, minutes, certifications Agendas, minutes, certifications |

| PRONG/GOAL/ACTION | COMMISSION'S REQUIREMENT | ACTIVITIES | RESPONSIBLE | TIMEFRAME | EXPECTED OUTCOMES | DESCRIPTION AND EVIDENCE OF OUTCOMES |
|-------------------|--|------------|-------------|-----------|-------------------|--------------------------------------|
| | <p>different governance bodies and their respective roles and responsibilities in shared governance.</p> <p>Commission's Requirement No. 8 Evidence that steps have been taken to improve shared governance, especially in documenting how campus input is solicited and considered in decision making at the System level.</p> <p>Commission's Requirement No. 9: Evidence that communication between the Central Administration and the institution and within the institution, is clear, timely, and accurate, and that the sources of such communications are clearly defined and made available to all constituents (Standard 4).</p> | Trustees. | | of Report | | |

**UNIVERSITY OF PUERTO RICO ACTION PLAN FOR SUSTAINED COMPLIANCE WITH THE
LEADERSHIP AND GOVERNANCE, EDUCATIONAL OFFERINGS, AND INSTITUTIONAL RESOURCES
STANDARDS OF EXCELLENCE OF THE MIDDLE STATES COMMISSION ON HIGHER EDUCATION**

IMPLEMENTATION AND ASSESSMENT REPORT

I. Standard 4, Leadership and Governance: The institution system of governance clearly defines the roles of institutional constituencies in policy development and decision-making. The governance structure includes an active governing body with sufficient autonomy to assure institutional integrity and to fulfill its responsibilities of policy and resource development, consistent with the mission of the institution.

The Institutional Action Plan along Standard 4 is organized in three prongs: **Foster an Enhanced Institutional Climate and Identity, Open University Culture, and Strengthening of Governance**

I. A. FOSTER AN ENHANCED INSTITUTIONAL CLIMATE AND IDENTITY

GOAL: Optimize the flow and exchange of timely and accurate information and broaden opportunities for productive communication and input to all sectors of the University Community, to stimulate a climate of trust, collaboration, commitment and identification with the institution's mission, goals, and challenges.

| ACTIONS | COMMISSION'S REQUIREMENTS | ACTIVITIES | ASSESSMENT | | | OUTCOMES |
|--|--|--|------------|-------------|---------------|--|
| | | | INITIATED | IN PROGRESS | IN COMPLIANCE | |
| 4. Develop strategies for clear, timely and accurate delivery of institutional information to the internal and external community, with sources of communication clearly defined and available to all constituents | Commission's Requirement No. 9: Evidence that communication between the Central Administration and the institution and within the institution, is clear, timely, and accurate, and that the sources of such communications are clearly defined and made available to all constituents | Broaden communication delivery channels including but not limited to, updates of institutional and unit's web pages, and other outlets | | | X | <ul style="list-style-type: none"> ▸ The Central Administration Office of Communications reengineered the Institutional Communication Plan to better support UPR's mission through different programming strategies and dissemination of relevant information. ▸ The primary objectives of the Communication Plan include: (1) optimizing the positioning of the UPR as the leading institution of higher education in Puerto Rico; (2) enhancing the international positioning of the UPR; (3) maximizing the use of UPR website and increasing and diversifying information resources (social networks, <i>Cartero AC</i> and <i>UPR Informa</i>) to communicate relevant information to internal and external and address main issues. ▸ A Crisis Management Plan was developed and deployed as part of the Communication Plan. ▸ To assure its efficient implementation of the Communication Plan, the Office of Communication coordinates and articulates the collaboration of communication officers and liaisons in the 11 campuses, to support disclosure through their web pages and other information resources. |

| ACTIONS | COMMISSION'S REQUIREMENTS | ACTIVITIES | ASSESSMENT | | | OUTCOMES |
|---------|---------------------------|------------|-------------|---------------|-----------------|--|
| | | | INIT IAT ED | IN PRO GRE SS | IN COM PLIAN CE | |
| | (Standard 4). | | | | | <ul style="list-style-type: none"> Strategies for timely and accurate delivery of institutional information to the internal and external community have been developed and implemented, including broadening communication delivery channels capitalizing in the diversity of outlets available throughout the UPR system, newspapers, web pages and radio stations. internal releases are sent through the official email <i>Cartero AC</i>. Items sent through this service include institutional evaluation and accreditation reports, documentation regarding the financial situation of the UPR, Certifications by the Board of Trustees, Presidents' messages (written and audio) and other information on main and critical issues of the institution, among others. The social networking—<i>UPR Informa</i>, Facebook, and Twitter—are used to provide information on institutional issues and to answer questions submitted through <i>Cartero AC</i> and network members http://www.facebook.com/pages/UPR-Informa/108647535820341; http://www.facebook.com/pages/Aguada/AguadillaAreciboBayamonCarolinaCayeyCiencias-Medicas-HumacaoMayaguezRio-PiedrasPonce/UPR-Informa/108647535820341?v=wall http://acweb.upr.edu/docs/Prensa/Ya_son_mas_de_20_mil_personas.pdf). When deemed essential, paid advertisements are posted through press, radio and TV to complement strategies to keep the internal and external community informed. Examples of links posted through <i>Cartero AC</i> to keep University Community continuously informed and updated. Among these: <ol style="list-style-type: none"> UPR Recertified to grant Pell Grants, August 2, 2010 http://acweb.upr.edu/docs/presidencia/UPR-REINSTALADA-OTORG-BECAS-PELL.pdf President's message rejecting possible closure or fusion of campuses, August 6, 2010 http://www.upr.edu/a_la_comunidad_universitaria/RechazoAPosibleCierreOFusionDeR |

| ACTIONS | COMMISSION'S REQUIREMENTS | ACTIVITIES | ASSESSMENT | | | OUTCOMES |
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| | | | | | | <p>ecintosYUn_dadesUPR.pdf)</p> <p>13) Invitation to the University Community to provide input for the New Tuition Exemption Policy, August 19, 2010 (https://sites.google.com/a/upr.edu/politica-exencion-matricula/)</p> <p>14) Call for input from the University Community to the proposed prongs and goals in the September 2010 CMR under preparation to achieve sustained compliance with standards under probation by the MSCHE (https://sites.google.com/a/upr.edu/msche-upr-monitoring-report/)</p> <p>15) Note on the MSCHE Special Team Visit to the UPR, September 17, 2010 (http://acweb.upr.edu/docs/presidencia/COMUNIDAD-UNIVERSITARIA-VISITA-DEL-EQUIPO-ESPECIAL-DE-LA-msche.pdf)</p> <p>16) Reminder by the UPR President of the posting of the Tuition Exemption proposal for community feedback, of the postponement of the fee to the second session of the academic year as agreed with students, and the development of a Summer Offer Policy considering students' suggestions contained in the agreement September 27, 2010 (http://acweb.upr.edu/docs/presidencia/com_univ_estandar.pdf)</p> <p>17) Call for input to proposed Amendments to the UPR General Student Bylaws for the implementation of the electronic vote, October 29, 2010 (http://www.upr.edu/docs/Junta_Sindicos/Reg_Gen_Est/Carta_Enm_RGE.pdf)</p> <p>18) Announcement of posting of all documents related to the institutional evaluation by the MSCHE, November 3, 2010 (www.upr.edu/docs-ma/)</p> <p>19) UPR Special Scholarship Program, November 30, 2010 (http://acweb.upr.edu/docs/presidencia/ComunicadoFondodeBecasUPR.pdf)</p> <p>20) Updates to the UPR Special Scholarship Program, December 16, 2010 (http://acweb.upr.edu/docs/presidencia/Com</p> |

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| | | | | | | <p>unicadoFondodeBecasUPR.pdf</p> <ul style="list-style-type: none"> Press releases, accessible at <i>Cartero AC</i> are the following: <ol style="list-style-type: none"> El Vocero Newspaper Editorial, <i>Llamado a la Calma en la UPR</i>, March, 16, 2010 http://acweb.upr.edu/docs/prensa/Vocero_15marzo20101.pdf UPR President reaffirms fiscal measures in place, November 12, 2010 http://www.upr.edu/docs/presidencia/medidas_fiscales.pdf UPR President informs the implementation of UPR Special Scholarship Fund Program, November 30, 2010 http://acweb.upr.edu/docs/presidencia/ComunicadoFondodeBecasUPR.pdf Announcing first meeting of the UPR Special Scholarship Fund Program Committee to define organization, bylaws and granting criteria, December 16, 2010 toda.la.comunidad@upr.edu Available Financial Assistance Programs to tackle Stabilization Tuition Fee, January 3, 2011(toda.la.comunidad@upr.edu) UPR Special Scholarship Fund Law, January 7, 2011 toda.la.comunidad@upr.edu Internal and External Call to join 7 Committees of 7 of the UPR, January 20 http://www.upr.edu/documentos/Comite_77_UPR_XL.pdf; http://www.upr.edu/documentos/Comite_77_UPR.pdf MSCHE Evaluation Status Report http://www.upr.edu/docs-ms/26-enero-2010-InformeEstadoTrabajosEvaluacionMSCHE-JU-20enero2011) Examples of postings at <i>Cartero AC</i> of TV, radio and press interviews on relevant institutional issues are the following: <ol style="list-style-type: none"> UPR President's live presentation at WIPR Channels 6 and 3, April 14, 2010 http://informa.upr.edu/?p=1151 TV Forum of the UPR President and the Río Piedras General Student Council President, |

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| | | | | | | <p>interview related to the student conflict, the financial situation and the budgetary measures under consideration, April 16, 2010 http://www.prnet.pr/04_14.htm</p> <p>9) Board of Trustees' President live presentation on Channel 24, dialogue related to the UPR situation, May 11, 2010 (toda.la.comunidad@upr.edu)</p> <p>10) <i>El Nuevo Día Newspaper</i>, President's interview related with institutional accreditation, newspaper clippings, November 17, 2010 (Evidence on site visit)</p> <p>11) Radio ad and CNN interview, December 21, 2010 http://www.upr.edu/content/Anuncio_Informativo-dic2010.mp3; http://www.upr.edu/content/EntrevistaJRdlT-CNN.wmv)</p> <p>12) Media campaign providing factual information on the implementation of the Stabilization Fee, December 2010 - January 2011</p> |
| | | | | | | EVIDENCE AT UNIT LEVEL |
| | <p>Commission's Requirement No. 6: Evidence that the UPR Action Plan is implemented, that it is assessed, and the data are used for continuous improvement of the institution's processes.</p> <p>Commission's Requirement No. 9: Evidence that communicati</p> | Maintain community informed about progress on implementation and assessment of the Action Plan | | | X | <p>The System-Wide Planning Process</p> <ul style="list-style-type: none"> Following the Commission's June 2010 actions, The Vice Presidency for Academic Affairs promptly constituted a Think Tank with representatives of the Chancellors, President staff, and its Accreditation Staff to set off a critical self assessment of the events, circumstances, internal and external factors that surrounded said actions, in context with the concerns and expectations contained in the Commission's actions and corresponding standards. This exercise led to a preliminary identification of areas in need of improvement and the goals and actions at all levels of the institution to promote and evidence ongoing and sustained compliance with the impacted standards. To guarantee systemic input, the then President appointed a Task Force with representatives from all units recommended by their Chancellors, that together with the Think Tank refined and added dimension to the initial critical self assessment, goals and actions with the particular perspectives from their respective |

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| | on between the Central Administration and the institution and within the institution, is clear, timely, and accurate, and that the sources of such communications are clearly defined and made available to all constituents (Standard 4). | Receive feedback from the community for the improvement of the plan and better accomplishment of goals (Certification No. 53 (2010-2011), Board of Trustees) | | | X | <p>units to assemble the UPR Action Plan, with the endorsement of the body of Chancellors and the President of the UPR.</p> <ul style="list-style-type: none"> Consequently, the Plan is 11-fold, with one Plan at system level and individual plans for each of the 10 units included in the Commission's actions, framed with a common set of Prongs and Goals. Multiple back and forth meetings were held with the Think Tank, Task Force, President Staff, Chancellors, President, and with the Board of Trustees to shape and validate the prongs, goals, actions and activities proposed in the Action Plan. Actions and activities were designed contemplating the input and participation of all sectors of the University Community and stakeholders in their further development and implementation in a manner appropriate to their charge, roles and responsibilities. To that end, the proposed goals and actions in the Plan were posted electronically as soon as they were matured, to inform the University Community at large and receive their continuous input from their inception until their successful implementation (https://sites.google.com/a/upr.edu/msche-upr-monitoring-report/). Only two questions regarding the evaluation process were received before submission of the September 2010 report. <p>The UPR Action Plan Implementation and Continuous Feedback Process</p> <ul style="list-style-type: none"> On September 6, 2010, the Río Piedras and Mayagüez Campus, the UPR in Cayey, Humacao, Arecibo, Bayamón, Ponce, Aguadilla, Carolina, and Utuado submitted to the MSCHE a Consolidated Monitoring Report (CMR) addressing the Commission's actions through the enactment of the Action Plan, which set specific actions and activities under each prong and goal to attain the expected observable outcomes towards sustained and ongoing compliance with the affected standards at the system and each unit level. On its November, 2010 actions the Commission |

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| | | | | | | <p>issued 9 requirements in full agreement with measures already contemplated in the Action Plan, including requiring to “Evidence that the UPR Action Plan is implemented, that it is assessed, and the data are used for continuous improvement of the institution's processes.”</p> <ul style="list-style-type: none"> • The Action Plan, both at system and unit level, is a dynamic instrument designed to guide and document the implementation of concrete actions and activities towards ongoing and sustained compliance with the specific standards of excellence and requirements addressed in the June and November 2010 MSCHE actions. Therefore, the participatory process to fine tune its actions and activities is still ongoing. • Through the alignment of the original Plan submitted in the CMR with the Visiting Team recommendations of September 2010, Commission's actions of November 2010, input and recommendations from the University Board, directives of the Board of Trustees, plus contributions from the Task Force and accreditation coordinators, it has evolved into an Implementation and Assessment Guide to the Action Plan (http://www.upr.edu/documentos/Guia-para-la-Implantacion-y-Evaluacion-del-Plan-de-Accion-Sistemico-de-la-UPR.pdf) to better monitor and document its progress. • For the implementation and assessment of this ambitious agenda, the President and Vice President for Academic Affairs also developed a Roadmap identifying the governance bodies, leadership, officers, groups and constituents at all levels of the institution responsible for leading, collaborating and participating in its implementation, and the proposed timeframe for their respective tasks (URL TBA). • Numerous meetings and work sessions have been held with all the aforementioned to initiate, monitor, evaluate and gather outcome evidence. As seen throughout this assessment report, input from various sources and formative evaluation findings have resulted in the review and improvement of many actions for better accomplishment of the goals. |

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| | | | | | | <p>The Dissemination and Ongoing Feedback Process</p> <ul style="list-style-type: none"> Constituents have been kept informed regarding the institutional evaluation process and progress to date on implementation and assessment of the UPR Action Plan. All information is posted in the Vice Presidency for Academic Affairs link in the UPR webpage (http://www.upr.edu/?type=page&id=ofrecimientos_academicos_bachilleratos&ancla=ofrecimientos_academicos_bachilleratos&r_type=items&r_id=2), including updates to the Action Plan. An email address has been created and disseminated to call and receive feedback from the community for its continuous improvement for better accomplishment of goals plande.accion@upr.edu. <p>Assessment of Sustained Compliance and Progress to Date</p> <ul style="list-style-type: none"> The implementation and assessment of the UPR Action Plan consists of documenting compliance evidence of the 64 specific activities at system level distributed under six goals. Progress reports, data and supporting documentation has been systematically collected, reviewed and organized in an Implementation and Assessment Report (URL TBA). The analysis the level of progress versus expected outcomes of the 67 activities in the UPR Action Plan shows that 61 or 91% of the proposed activities are already in compliance or in progress. |
| | | | | | | EVIDENCE AT UNIT LEVEL |
| | | Clear communication on the need and purpose of the 7 Ad Hoc Committees, the membership selection process, and their relation | | X | | <p>Need and purpose of the 7 Committees of 7</p> <ul style="list-style-type: none"> Among the numerous and diverse activities in place to advance the accomplishment of the prongs and goals in the Action Plan, the 7 Committees of 7 are conceived as work groups composed of University constituents and stakeholders charged with providing wise, experienced, expert and independent advice to help leadership and governance rethink critical aspects of the institution in this challenging juncture. Among other constructive recommendations |

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| | | to existing structures. | | | | <p>from MSCHE Liaisons since prior to the Commission's actions towards UPR units, was to examine the experience of Gallaudet University as perhaps the only precedent to the UPR regarding a probation action prompted by student stoppages. The creation of these ad hoc committees emulates Gallaudet's model to address similar challenges. http://aaweb.gallaudet.edu/documents/MSCHE/2008-04-Gallaudet-MSCHE-MonitoringReport.pdf.</p> <p>Membership Selection and Dissemination</p> <ul style="list-style-type: none"> Since the September 2010 Exit Meeting the University welcomed the Special Team's recommendations to the effect of bringing units into the process of membership selection and further developing the charge to the Committees, and that processes to be used by the Committees be open and transparent. Therefore, instead of appointing members by invitation based on their expertise and experience—as originally conceived in the Action Plan—on January 29, 2011 an open call was published through <i>Cartero AC</i> and the major circulation newspaper of the Island: (1) to apply to join the Committees to assist UPR leadership, advisory and governing bodies in identifying innovative alternatives to address critical areas and topics that advance stated goals of the UPR Action Plan; (2) to submit input to fine tune their charge (http://www.upr.edu/documentos/Comite_77_UPR_XL.pdf, http://www.upr.edu/documentos/Comite_77_UPR.pdf). This call has generated great interest and input. Numerous applications have been received from students, faculty, employees, alumni, former faculty and administrators, and other University stakeholders. <p>Relation of Committees with Existing Structures</p> <ul style="list-style-type: none"> All 7 Committees' charge will include devising ways to receive input from the University Community and stakeholders in the formulation of their analyses and recommendations. Also, as recommended by the University Board Certification No. 12 (2010-2011), on January |

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| | | | | | | 2011: (1) a Committee composed of one student representative and one faculty representative, one Chancellor and two members of the President staff, will evaluate candidates to the 7 Committees of 7 and make recommendations to the President; (2) the recommendations by the 7 Committees will be brought to their consideration to provide input before being brought to the Board of Trustees. |
| | <p>Commission's Requirement No. 8 Evidence that steps have been taken to improve shared governance, especially in documenting how campus input is solicited and considered in decision making at the System level.</p> <p>Commission's Requirement No. 9: Evidence that communication between the Central Administration and the institution and within the institution, is clear, timely, and accurate, and that the sources of such</p> | Charge a Focal Group including experts in communication to assess the effectiveness of internal and external communication during the past year and make recommendations for improvement. | | X | | <ul style="list-style-type: none"> One of the 7 Committees of 7, Internal and External Communication, is charged with assessing the effectiveness of internal and external communication during the past events and making recommendations for improvement. All 7 Committees' charge will include devising ways to receive input from the University Community and stakeholders in the formulation of their analyses and recommendations. Following suggestions received from discussions in the University Board, the Committee will not only include experts in Communication but also <i>consumers</i> of information from the internal and external community, as key elements to assist in the accomplishment of the Committee's charge. |

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| | communications are clearly defined and made available to all constituents (Standard 4). | | | | | |
| 5. Broaden and strengthen the opportunities for effective communication between the administration and the university community to receive input about their concerns and situations that affect the institution, as well as to share developments and achievements. | <p>Commission's Requirement No. 8: Evidence that steps have been taken to improve shared governance, especially in documenting how campus input is solicited and considered in decision making at the System level.</p> <p>Commission's Requirement No. 9: Evidence that communication between the Central Administration and the institution and within the institution, is clear, timely, and accurate, and that the sources of such</p> | Carry out periodic forums of the President and staff with elected leaders to the Student Councils of all units and student representatives to the University Board. | | | X | <ul style="list-style-type: none"> Among many lessons learned from the past and current events is the need to enforce that the General Student Council (GSC) duly elected at each institutional unit is the only entity recognized by Law and University Bylaws with the role and responsibility of channeling student input to the University administration, versus alternate groups that historically displace GSC leadership, particularly during conflicts. Therefore, following what stressed in the Action Plan and the input from the October 2010 meeting, the UPR administration at all levels reaffirmed its commitment with actively promoting an open and transparent dialogue with the Presidents of the GSC's, to listen and consider their concerns, share developments regarding issues that affect them, and jointly seek for new ideas and explore viable solutions to face the institution's current challenges, within the framework of an open and functioning University. As contemplated in the UPR Action Plan by the UPR Central Administration and the 10 units declared in probation on June 2010, periodic meetings are been held with recognized students reps at system level (UPR Action Plan I.A.2). On October 6, 2010, following an initiative of the Student Trustee, the Students Affairs Committee of the Board of Trustees invited the student representatives to the University Board (or the President of his unit's General Student Council if they chose so) to receive firsthand knowledge of their concerns about the impact of fiscal limitations on student services and on steps taken by the institution to promote compliance with MSCHE requirements in the framework of the probationary actions on 10 |

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| | communications are clearly defined and made available to all constituents (Standard 4). | | | | | <p>units of the system.</p> <ul style="list-style-type: none"> • The main concerns of the student representatives of the University Board included: (1) their opposition to the Stabilization Fee, their stance that other funding sources should be identified, and doubts about its implementation; (2) the possible impact of the Open University Culture initiative on campus security; (3) doubts about the implementation of the electronic vote and its impact on discussion and debate in assembly; (4) the increased carrying capacity of courses, reduction of class sections and library hours. Both students and Trustees were satisfied by the dialogue and agreed to meet again by the end of the academic year. • The first meeting of the President and staff with student leadership was held on October 22, 2010. Substantive input was gathered regarding security concerns related to Open University Culture initiative, questions about the current fiscal challenges and the implementation of the Stabilization Fee, among other systemic issues. There was also consensus on the need of reviewing both the composition and format of these listening sessions in order to appropriately and effectively channel students concerns. • The second meeting of the President and staff was held on Monday, December 13, 2010, with GSC Presidents only. The threat that illegal stoppages represent to institutional accreditation, licensing and eligibility to HEA funding was discussed and fully recognized by the students. It was agreed that the Presidents of the GSC's of the 11 units would submit a proposal with possible solutions to the fiscal situation to be evaluated by the administration and discussed on a next meeting. However, upon leaving the meeting the President of the GSC of the Rio Piedras Campus told the press that they would carry on with the strike vote. On December 18, 2010, the Board of Trustees issued Certification No. 56 (2010-2011) (http://www.certifica.upr.edu/PDF/CERTIFICACION/2010-2011/56%202010-2011.pdf) asking the President to continue dialoguing with the GSC Presidents with emphasis on informing them of all aids and programs available to |

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| | | | | | | <p>tackle the new Stabilization Fee.</p> <ul style="list-style-type: none"> Listening meetings continued, even during the Christmas slowdown period. On December 27, 2010, members of the Finance Committee of the Board of Trustees, the President of the University and members of his staff: (1) updated them in detail about the current fiscal situation at both the state and University levels; (2) discussed the viability of their proposals, and; (3) explained the numerous financial assistance, student loan, work-study, payment methods and tax breaks opportunities in place to directly address the Stabilization Fee. At their request, all the financial information discussed was posted on the UPR webpage to facilitate reporting to their peers (http://www.upr.edu/docs-ms/CertificacionNum56(2010-2011)JuntaSindicos.pdf; http://www.upr.edu/docs-ms/CertificacionNum56(2010-2011)JuntaSindicos.pdf; http://www.upr.edu/docs-ms/UPR-AuditedFinancialStatements-June30-2009.pdf; http://www.upr.edu/docs-ms/IngresosFormula-y-TransfondoHistorico-2010-2011.pdf; http://www.upr.edu/docs-ms/SituacionFiscalFondoGeneralUPR-2010-2011.pdf; http://www.upr.edu/docs-ms/PlanFinanciero-delFondoGeneralUPR-2011-2013.pdf; http://www.upr.edu/docs-ms/UnderstandingFinancialStatements.pdf; http://www.upr.edu/docs-ms/ConvocatoriaPrograma-deBecasLeyNum176-30noviembre2010.pdf). On January 4th, 2011, representatives of the Government Development Bank, the Government of Puerto Rico's central fiscal agent, offered a detailed presentation of its current financial situation, measures to overcome the deficit, fiscal projections and implications on UPR appropriations for the coming years. As a result of these conversations: (1) the possibility of jointly approaching town mayors towards creating job opportunities for students, and; (2) pursuing UPR participation on revenues derived from certain tax laws are being explored by Board members; (3) a directive was issued by the Vice President for Academic Affairs on January |

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| | | | | | | <p>12, 2011, to guarantee that professors exert appropriate flexibility regarding textbooks and other materials required for the courses while student aids are disbursed.</p> <ul style="list-style-type: none"> Another meeting with Council Presidents was held by Acting President Muñoz on Monday, February 21, 2011 to continue the dialogue with student leadership and to update them on the status and progress in the implementation of the special \$30 million Student Scholarship Fund approved by the Government of Puerto Rico. |
| | | Conduct regular unit visits by senior leaders and hold informational and listening sessions open to all constituents. | | | X | <ul style="list-style-type: none"> As suggested in the Special Team's Report (http://www.upr.edu/docs-ms/3-UPR-Visiting-Team-Final-Report.pdf), during the month of February 2011, members of the Board of Trustees conducted campus visits to hold listening sessions with Academic Senates (UPR Action Plan I.A.2). In agreement with the Commission's VisitingTeam recommendations, Chancellors embrace a tradition to hold listening sessions with constituency groups to consider their input in the decision making processes. Moreover, to reinforce an institutional climate of mutual trust and respect, Acting President Muñoz expressed as a top priority in his leadership agenda to conduct campus visits beginning in the month of March, 2011, for face to face dialogues with constituents on major institutional issues and concerns. |
| | | Carry out periodic meetings of Chancellors and staff with elected leaders to the Student Councils and the Academic Senate. | | | | EVIDENCE AT UNIT LEVEL |
| | Commission's Requirement | Conduct periodic on-line surveys | | X | | <ul style="list-style-type: none"> The Vice President of Academic Affairs, capitalizing on the expertise on institutional research of the Offices of Planning and |

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| | No. 8: Evidence that steps have been taken to improve shared governance, especially in documenting how campus input is solicited and considered in decision making at the System level. | about situations and issues that concern and affect the university community. | | | | <p>Institutional Research (OPIR) throughout the system, is coordinating the design and administration of studies and periodic electronic surveys about situations and issues that concern and affect the University Community, to relay their results to the appropriate officers for action leading to improve shared governance (UPR Action Plan I.A.2).</p> <ul style="list-style-type: none"> Currently, among other activities, OPIR Directors are developing three pilot surveys around the prongs that guide Section I of the Action Plan for ongoing and sustained compliance with Standard 4, Leadership and Governance: (1) Foster an Enhanced Institutional Climate and Identity; (2) Open University Culture; (3) Strengthening of Governance. |
| 6. Ensure opportunities for students to freely participate and provide input in decisions that directly affect them. | Commission's Requirement No. 7: Evidence of implementation of clear institutional policies specifying the respective authority of the different governance bodies and their respective roles and responsibilities in shared governance. | Implement the electronic vote mechanism for students' elections and assemblies as mandated by Law 128 of August 11, 2010 | | | X | <ul style="list-style-type: none"> The UPR endorsed the approval of Law No. 128 of August 11, 2010, which amended the University Law to implement a secret and electronic vote mechanism for students' elections and assemblies. The UPR President submitted to the Board of Trustees the corresponding amendments to the General Student Bylaws in compliance with Law 128. On October 29, 2010 the Board of Trustees posted the proposed amendments to receive input from the community. Comments were received from several sectors of the university community and changes were incorporated to the final version approved by the Board of Trustees. Among others, the revised Bylaws clearly state that the only the official representative of the student body is the General Student Council of each unit. In consultation with the Chancellors, the Vice President for Students Affairs coordinated the implementation of the electronic vote mechanism in collaboration of the Deans for Academic Affairs and the support of the Information Systems Office. The process to celebrate student consultations, the result of which is the only official expression of the student body is in place. Any decision not in compliance with the Bylaws is null and void. |

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I.B. DEVELOP AN OPEN UNIVERSITY CULTURE

GOAL: Support an Open University Culture that values diversity of ideas, guarantees and encourages freedom of speech and the right to dissent, while safeguarding the rights and responsibilities of all members of the University community with the continuity of the institutional education, research and service mission.

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| 4. Encourage commitment with an Open University Culture in all sectors of the University Community to guarantee the continuity of the education, research and service mission. | Commission's Requirement No. 7: Evidence of implementation of clear institutional policies specifying the respective authority of the different governance bodies and their respective roles and responsibilities in shared governance | Advise on the need for ongoing and sustainable compliance with accreditation and licensing standards and criteria regarding continuity of academic offerings to maintain eligibility for funding from the Higher Education Act and other external funds to advance the institution's mission. | | | X | <ul style="list-style-type: none"> Certification No. 90 (2004-2005) of the Board of Trustees (http://www.certifica.upr.edu/PDF/CERTIFICATION/2004-2005/90%202004-2005.pdf) explicitly requires University authorities to guarantee access to premises at all times, encourages the broad participation of all sectors of the University Community to voice their concerns and propose solutions through the appropriate channels and within their roles and responsibilities, while being emphatic in rejecting the obstruction to facilities as a valid recourse. Student Bylaws similarly forbid stoppages, strikes, or any form of expression that entails the disruption or interruption of University operations and academic activities violating the rights of others (http://www.certifica.upr.edu/PDF/CERTIFICATION/2009-2010/13%202009-2010.pdf). Provided that policies to support the continuity of operations and the academic process are in place, the University faces the challenge of transforming cultural elements into an Open University Culture that encourages freedom of speech, provides and protects the appropriate spaces for respectful debate and dissent germane to the very nature of a higher education environment, while safeguarding the rights and responsibilities of all members of the University community and the continuity of the institutional education, research and service mission. |

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| | | | | | | <ul style="list-style-type: none"> ▸ To that end and in compliance with UPR Action Plan (I.B.1), the President and the Vice President for Academic Affairs have been actively encouraging commitment with the Open University Culture in all sectors of the University Community to guarantee the continuity of the education, research and service mission. ▸ Since the onset of the April – June 2010 student conflict, the President and the Vice Presidency for Academic Affairs have advised the Board of Trustees, the University Board, the Chancellors, the Deans for Academic Affairs, Deans for Student Affairs, and with other groups with the capability of disseminating the message throughout the system and to University stakeholders, on the need for ongoing and sustainable compliance with accreditation and licensing standards and criteria regarding continuity of academic offerings to maintain eligibility for funding from the HEA and other external funds to advance the institution's mission. ▸ Evidence of internal dialogue and advice on these topics include: <ul style="list-style-type: none"> 19) Presentations to the President, Chancellors and staff: February 8, 2010; May 22, 2010; June 26, 2010; September, 13, 2010 20) President's meetings with Chancellors and staff: March 17, 2010; May 11, 2010; August 18, 2010; September 28, 2010; October 13, 2010; November 17, 2010; November 24, 2010; December 1, 2010; December 22, 2010; January 19, 2011. 21) Presentations to the University Board: November 10, 2010; December 1, 2010; January 26, 2011 22) Board of Trustees meetings: October 21, 2009; May 22, 2010; June 26, 2010; June 29, 2010; August 28, 2010; September 7, 2010; November 3, 2010; December 3, 2010 23) Finance Committee of the Board of Trustees meeting: February 2, 2011 24) Academic Deans' meetings: June 30, 2010; August 25, 2010; September 29, |

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| | | | | | | <p>2010; November 2, 2010; December 14, 2010; January 21, 2011.</p> <p>25) Student Affairs' Deans meetings: October 7, 2010; February 2, 2011</p> <p>26) Finance and Budget Directors meeting: February 28, 2011</p> <p>27) Presidents of the General Student Councils about accreditation and eligibility requirements to HEA funding meeting: December 13, 2010</p> <ul style="list-style-type: none"> ▸ Releases to the Internal and External Community: <ul style="list-style-type: none"> 5) MSCHE Publication Governing Boards Expectations (2010) sent to the Executive Secretary of the Board of Trustees: March 10, 2010 6) President's interview on institutional accreditation: <i>El Nuevo Día</i> Newspaper, November 17, 2010 ▸ Electronic Releases: <ul style="list-style-type: none"> 5) All information regarding the evaluation process is posted in the Vice Presidency for Academic Affairs link in the UPR webpage http://www.upr.edu/?type=page&id=ofrecimientos_academicos_bachilleratos&ancla=ofrecimientos_academicos_bachilleratos&r_type=items&r_id=2. 6) Postings at <i>Cartero AC</i>, the Central Administration electronic outlet, regarding accreditation: <ul style="list-style-type: none"> ➤ Press release, <i>Se juega la acreditación la UPR</i>, November 9, 2010 (UPR's accreditation at risk) ➤ Actions of the Middle States Commission on Higher Education, November 30, 2010 http://www.upr.edu/docs-ms/ComunidadUniversitaria-AccionesMiddleStateCommission-on-HigherEducation.pdf ➤ Open invitation to the 7 of 7 UPR Committees, January 29, 2011 http://www.upr.edu/documentos/Comite_77_UPR_XL.pdf ; http://www.upr.edu/documentos/Comite |

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| | | | | | | 77 UPR.pdf ➤ Communications with to the Federal Department of Education, November 2010 (http://www.upr.edu/docs-ms/Consulta al DE sobre Referendum RRP Texto Ingles.doc.pdf) • In order to broaden and strengthen the opportunities for effective communication between the administration and the University Community about their concerns and situations that affect them, as well as to share developments and accomplishments at system and unit levels, several forums and listening meetings have been held with elected student leadership. • Certification No. 11 (2010-2011), on December 2010 of the University Board supporting the Vice Presidency's efforts to sustain accreditation (http://www.upr.edu/docs-ms/Certificacion11-2010-2011-Junta.pdf). |
| | Commission's Requirement No. 7: Evidence of implementation of clear institutional policies specifying the respective authority of the different governance bodies and their respective roles and responsibilities in shared governance | Disseminate the Code of Conduct contained in the Student's General Bylaws and its relevance to maintain eligibility for funding from the Higher Education Act and other external funds to advance the institution's mission. | | | X | • Framed by its commitment with an Open University Culture and the implementation of clear policies specifying the respective constituents' roles and responsibilities in shared governance (UPR Action Plan, I.B.1), the University has remained firm in enforcing compliance with Student's General By Laws, demonstrated by the fact that during the past semester the system has remained operational and actively accomplishing its mission for the first time after a long history of labor and student lockouts. • A compilation of the rules of student conduct contained in the General Student Bylaws—the UPR Student Code of Conduct (SCC)—has been posted in the UPR webpage (http://estudiantes.upr.edu/) and deployed to the Deans for Students Affairs to disseminate widely in multiple formats, share it and discuss it with elected student leadership. • The SCC will also be sent and explained to every freshman along with the admission letter to the UPR (UPR Action Plan I.B.1). |
| | | | | | | EVIDENCE AT UNIT LEVEL |
| | Commission's | Charge an | | X | | • One of the 7 Committees of 7, the Open |

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| | s Requirement No. 7: Evidence of implementation of clear institutional policies specifying the respective authority of the different governance bodies and their respective roles and responsibilities in shared governance. | Open University Committee with: (a) drafting an Institutional Open University Statement; (b) recommending strategies, measures and protocols conducive to sustained compliance with policies that support continuity of the institutional mission. | | | | <p>University Committee, will be charged with drafting an official statement with the principles and expectations that entail the Open University Culture, and recommending a set of strategies, measures and protocols conducive to sustained compliance with policies that support uninterrupted continuity of institutional mission.</p> <ul style="list-style-type: none"> • All 7 Committees' charge will include devising ways to receive input from the University Community and stakeholders in the formulation of their analyses and recommendations. |
| | Commission's Requirement No. 7: Evidence of implementation of clear institutional policies specifying the respective authority of the different governance bodies and their respective roles and responsibilities in shared governance | <p>Require from all administrators at all levels a written commitment with an Open University Culture.</p> <p>Require from all users of the University net to accept commitment with an Open University Culture as a condition to log in.</p> | <p>X</p> <p>X</p> | | | <ul style="list-style-type: none"> • One of the 7 Committees of 7 to be appointed by the President, the Open University Committee, is being charged with drafting an official statement with the principles and expectations that entail the Open University Culture, and recommending a set of strategies, measures and protocols conducive to sustained compliance with policies that support uninterrupted continuity of institutional mission (UPR Action Plan I.B.1) • After considering the draft statement and the input from the University Board, the Board of Trustees will issue the Institutional Open University Culture Statement. • Administrators at all levels will be required a written commitment with the Open University Culture, as well as every user of the University net. Along with the Student Code of Conduct, the Statement will also be widely disseminated among the student body to stimulate their commitment with the sustained continuity of the institutional mission and educational offerings. |

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| | | Require from all students upon registration a written commitment with the Open University Culture and Students' Code of Conduct. | X | | | EVIDENCE AT UNIT LEVEL |
| | Commission's Requirement No. 7: Evidence of implementation of clear institutional policies specifying the respective authority of the different governance bodies and their respective roles and responsibilities in shared governance | Require administrators at all levels to participate in trainings on conflict resolution strategies Coordinate conflict resolution trainings at all levels of the institution | | X X | | <ul style="list-style-type: none"> Administrators at all levels will also be required to participate in conflict resolution trainings, to guarantee an effective prevention and managing of potentially conflicting situations (Evidence on site visit.). The first activity is currently being programmed by the President's Office. |
| 5. Achieve the incorporation of campuses to their surrounding communities in accordance with the goals of the UPR | Commission's Requirement No. 7: Evidence of implementation of clear institutional policies specifying the respective authority of the different | Implement the Architectural Plan for the integration of campuses to their communities in accordance with their respective master plans. | | X | | <ul style="list-style-type: none"> Goal No. 6 of the UPR Planning Agenda Ten for the Decade, related to developing leadership in community service and investment, was key in the development of the concept of an Open University Culture. This endeavor is geared toward strengthening ties to the community served by the UPR for increased success of its service mission. Certification No. 83 (2008-2009) of the Board of Trustees (http://www.certifica.upr.edu/PDF/CERTIFICATION/2008-2009/83%202008-2009.pdf) call for the University System to strengthen community service opportunities for students |

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| Planning Agenda Ten for the Decade and the Open University Culture to ensure uninterrupted fulfillment of institutional mission and commitments with its internal and external stakeholders. | governance bodies and their respective roles and responsibilities in shared governance | | | | | <p>and faculty to develop their social responsibility and contribute to the betterment of Puerto Rican Society. Since 2009 a registry of courses with community service components and other community service initiatives at the units was prepared by the Vice Presidency of Academic Affairs. Currently, the registry is currently being updated to be displayed in the institutional webpage (Evidence on site visit).</p> <ul style="list-style-type: none"> • The UPR is committed with culminating the blending of campuses to their surroundings to ensure uninterrupted fulfillment of institutional commitments and service to the internal and external community. Accordingly, as stated in the UPR Action Plan (I.B.2), in consultation with the Chancellors, the Director of the Central Administration Design and Construction Office (DCO) has developed and implemented the Open University Community Integration Project (OUCIP) in harmony with units' master plans, which include among others, the transformation and replacement of some barriers with vegetative material, adequate levels of illumination at parking lots, streets and sidewalks and building entrances, and the installation of mechanical bars at controlled parking areas. The OUCIP is divided into three phases. Phase I is being implemented at campuses primary and secondary entrances. On November-December 2010 main entrances to all campuses and premises were kept open guaranteeing free access at all times, while following the President and Chancellors' Continuity and Security Plan in partnership with state and city governments, security and prevention measures were strengthened for the welfare of the academic and general community. • From December 3, 2010 to January 31, 2011 the DCO Director conducted comprehensive site evaluations of all units, including collecting data and assessing particular needs in order to implement appropriate security measures. Significant progress is observed with added lighting fixtures, mechanical arms, cameras, etc. Security guards have also been given the task of recording visitors at the campuses |

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| | | | | | | during evening hours. Phase I is estimated to be completed by the end of 2011 with security elements purchased and installed and full evaluation documented. |
| | | | | | | Community Service Initiative Progress Reports EVIDENCE AT UNIT LEVEL |
| 6. Develop strategies for ongoing and sustainable compliance with related accreditation and licensing requirements and Certification 90 (2004-2005) of the Board of Trustees and dispositions in the General and Students Bylaws, which mandate continuity of the institutional education, research and service mission. | Commission's Requirement No. 7: Evidence of implementation of clear institutional policies specifying the respective authority of the different governance bodies and their respective roles and responsibilities in shared governance | Develop and implement a Continuity and Security Plan in partnership with state and/or city governments to improve security in campuses and surrounding communities. | | | X | <ul style="list-style-type: none"> Together with the President, Chancellors developed and implemented the Continuity and Security Plan that allowed all campus to remain open and operational in spite of the unrest experienced during the past semester, for the first time after a long history of labor and student stoppages. The Plan defines, among other elements, the internal/external channels and levels of communication, strategies and means to guarantee the continuity of operations and safeguard the integrity of the institution both under normal and extraordinary circumstances (UPR Action Plan, III.A.5). From December 3, 2010 to January 31, 2011 the Design and Construction Office Director visited all units to conduct comprehensive site evaluations, including collecting data and assessing particular needs in order to implement appropriate security strategies. Significant progress is observed with added lighting fixtures, mechanical arms, cameras, etc. Security guards have also been given the task of recording visitors at the campuses during evening hours. |
| | Commission's Requirement | Extend the UPR Identification | | | | EVIDENCE AT UNIT LEVEL |

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| | No. 7: Evidence of implementation of clear institutional policies specifying the respective authority of the different governance bodies and their respective roles and responsibilities in shared governance. | Cards Project in Policy Statement Num. R-0708-03 (2009-2010) to all members of the University Community as a key element for the success of the Continuity and Security Plan. | | | | |

I.C. REVISIT AND EMPOWER LEADERSHIP AND GOVERNANCE AT ALL LEVELS

GOAL: Revisit the roles and responsibilities of all constituents of the institution's leadership and governance to foster an environment that stimulates and enforces compliance with the best practices in University rules and regulations, leadership, governance and institutional integrity accreditation standards, to ensure an empowered and committed leadership effectively supporting the accomplishment of the institution's mission in a manner appropriate to their charge.

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| 9. Honor the agreements with students in Certification Num. 131 (2009-2010) of the Board of Trustees. | Commission's Requirement No. 8: Evidence that steps have been taken to improve shared governance, especially in documenting how campus input is solicited and | Do not apply summary sanctions in connection with the April – June 2010 | | | X | <ul style="list-style-type: none"> During the April – June 2010 student conflict related with the development of a new tuition exemption policy and the implementation of a Summer Course Fee to reduce costs and enhance funding sources, the President of the UPR, President of the Board of Trustees, Chancellors and staff, maintained constant dialogue with (informally appointed) student leadership until agreements were reached and ratified through Certification No. 131 (2009-2010) of the Board of Trustees (http://www.certifica.upr.edu/PDF/CERTIFICACION/2009-2010/131%202009-2010.pdf) UPR Action Plan I.C.1). |

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| | considered in decision making at the System level. | <p>student conflict.</p> <p>Expedite appealing processes related to the April – June 2010 conflict.</p> <p>Appoint ex judges as Examining Officers to evaluate administrative actions.</p> <p>Postpone implementation of Stabilization Fee to the second academic session of year 2010-2011.</p> <p>Calendar of Activities set in Certification 131 for the establishment of the new Tuition Exemption Policy.</p> <p>Explore alternatives for the offering of summer courses before considering using the</p> | | | <p>X</p> <p>X</p> <p>X</p> <p>X</p> | <p>• The agreements can be summarized as follows:</p> <p>1) Do not apply summary sanctions in connection with the April – June 2010 student conflict. No summary sanctions in connection to these events were applied.</p> <p>2) Expedite appealing processes related to the April – June 2010 conflict. No appeals have been submitted so far. Any appeal regarding the April – June 2010 events will be taken care of according to stipulations in Certification 131.</p> <p>3) Appoint ex judges as Examining Officers to evaluate administrative actions. All Examining Officers appointed to date have been ex judges, also, those appointed to evaluate administrative actions after the April – June 2010 events.</p> <p>4) Postpone implementation of Stabilization Fee to the second academic session of year 2010-2011. Certification No. 146 (2009-2010) of the Board of Trustees postponed the Fee to the second session.</p> <p>5) Calendar of Activities set in Certification 131 for the establishment of the new Tuition Exemption Policy. See new Tuition Exemption Policy section.</p> <p>6) Explore alternatives for the offering of summer courses before considering using the Divisions of Continuing Education and Professional Studies for their financing. See new Summer Offering Policy.</p> |

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| | | Divisions of Continuing Education and Professional Studies for their financing. | | | | |
| | | Comply with the Calendar of Activities set in Certification 131 for the establishment of the new Tuition Exemption Policy. | | | X | <ul style="list-style-type: none"> ▸ The proposal for the new tuition exemption policy including all elements agreed in Certification 131 regarding its implementation was published from August to December 2010 to receive feedback from the community (http://acweb.upr.edu/docs/presidencia/EXENCIONES_DERECHOS_MATRICULA_EN_UMPR1.pdf). ▸ On September 27, 2010, the President: (1) sent a reminder of the posting of the proposal for community feedback, and of the postponement of the fee to the second session of the academic year as agreed with students; (2) informed about the charge to the University Board to develop a Summer Offer Policy in consultation with unit's Academic Senates considering students' suggestions contained in the agreement (http://acweb.upr.edu/docs/presidencia/comuniv_estandar.PDF). ▸ A reviewed tuition exemption policy draft considering the suggestions and comments received during that period will be submitted to the University Board to be considered on their March 2011 meeting, which in turn will submit its recommendations to the Board of Trustees, to issue the new Tuition Exemption Policy for the UPR effective on academic year 2011-2012 no later than April – May 2011 (UPR Action Plan I.C.1). |
| | Commission's Requirement No. 8: Evidence that steps have been taken to | Draft a proposal for a new Summer Offering Policy to support | | | X | <ul style="list-style-type: none"> ▸ Given the extent of the April – June 2010 interruption, for the first time in many years the 10 impacted units of the UPR did not offer a summer session on year 2010. Therefore, it is crucial to devise a summer offer for year 2011, to promote student's academic progress. |

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| | <p>improve shared governance, especially in documenting how campus input is solicited and considered in decision making at the System level.</p> <p>Commission's Requirement No. 9: Evidence that communication between the Central Administration and the institution and within the institution, is clear, timely, and accurate, and that the sources of such communications are clearly defined and made available to all constituents (Standard 4).</p> | continuity of Summer offerings with the available resources, taking into account the related recommendations in Certification 131 and feedback from the Academic Senates. | | | | <ul style="list-style-type: none"> ▸ The University Board approved Certification No. 34 (2009-2010), to draft a proposal for a new Summer Offering Policy to support continuity of summer offerings with available resources, taking into account related recommendations in Certification 131 and feedback from the Academic Senates (UPR Action Plan I.C.1). ▸ The charge was referred to the Academic Affairs Committee of the University Board, composed of student, faculty and administration representatives, which established the following schedule: <ul style="list-style-type: none"> September 2010 – January 2011 - Draft new Summer Offering Policy February 1st, 2011 – March 15, 2011 - Receive input from the University Board Budget Committee and from unit's Academic Senates March 18, 2011 - Review Policy draft considering suggestions and recommendations received. April 6, 2011 - The proposed Policy is considered by the University Board and submitted to the Board of Trustees with the request that they issue a resolution regarding the 2011 Summer Offer on May 2011 ▸ Considering the current fiscal situation, instead of proposing a long term Summer Offering Policy, the Committee focused on |

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| | | | | | | <p>identifying possible scenarios for a feasible summer 2011 offering framed on: (1) promoting a financing model where students, faculty and the institution proportionately contribute to that end; (2) supporting a uniform scale throughout the system both for course charges and faculty compensation.</p> <ul style="list-style-type: none"> ▸ The draft currently being considered by the Budget Committee of the University Board and unit's Academic Senates proposes several scenarios or combinations of carrying capacity per course, charge per course, and faculty compensation that balance as much as possible percentage reductions in summer compensation with the resulting percentage increase in the charge per summer course, with the institution covering indirect costs. ▸ Substantive evidence of the proceedings of the University Board Academic Affairs Committee on this subject will be available upon request at the Office of the Executive Secretary of the University Board to be examined during the visit. |
| 10. Enforce compliance with the Code of Conduct contained in the Student's General Regulations . | Commission's Requirement No. 7: Evidence of implementation of clear institutional policies specifying the respective authority of the different governance bodies and their respective roles and responsibilities in shared governance | Continue administrative actions in the units in connection with the past student conflict. | | | | EVIDENCE AT UNIT LEVEL |
| 11. Promote active | Commission's | Require all elected | | | X | ▸ In compliance with UPR Action Plan (I.C.3), a proposal to amend the General Student |

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| participation in leadership of students that model best academic practices and accomplishment of the institution's mission and goals toward its student body. | Requirement No. 7: Evidence of implementation of clear institutional policies specifying the respective authority of the different governance bodies and their respective roles and responsibilities in shared governance | student leaders to maintain eligibility criteria established in Student Bylaws during the length of their terms. | | | | <p>Bylaws requiring all elected student leaders to fully meet eligibility criteria, not only in order to qualify to be elected but also throughout the length of their terms, is being submitted to the Board of Trustees to be considered at their March 2011 meeting (Evidence on site visit).</p> <ul style="list-style-type: none"> Though consistent with the quest of excellence that shapes UPR's mission, the current Bylaws are not sufficiently clear to that effect. This action will promote active participation in leadership of students that model best academic practices and accomplishment of the institution's mission and goals. |
| 12. Clarify the scope and reach of the state of law regarding what is a legal and valid exercise of freedom of speech within a public higher education institution. | Commission's Requirement No. 7: Evidence of implementation of clear institutional policies specifying the respective authority of the different governance bodies and their respective roles and responsibilities in shared governance | Continue judicial proceedings in connection with student conflicts. | | | X | <ul style="list-style-type: none"> Judicial proceedings in connection with student conflicts have helped clarify the level of scope and reach of the state of law regarding what is a legal and valid exercise of freedom of speech within a public higher education institution. Judicial decisions and legislation that have delineated its confines are the following. <ul style="list-style-type: none"> 5) The Supreme Court of Puerto Rico clearly established that the UPR is a semipublic forum of expression. Hence, it can validly regulate freedom speech rights within campus to guarantee discipline and institutional order. Specifically, the Court established that student's right to express themselves within campus does not entail activities aimed at obstructing academic affairs, closing of facilities or any activity that limits free access to the institution. In sum, the University may validly regulate the time, place and manner in which students may express within campus <u>UPR vs. Laborde</u>, CT-2010-008. 6) The Court of Appeals sustained the constitutionality of the General Student Bylaws. Specifically, dispositions related to the rules of conduct and disciplinary |

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| | | | | | | <p>proceedings. Likewise, the Court validated the Río Piedras Campus Chancellor's resolution to ban all activities and manifestations within campus for 30 days in view of violent acts perpetrated by students <u>Vélez & Ríos vs. UPR, KLAN2010-01745; Pelot, et als. Vs. Guadalupe, et als. KLAN2010-01891.</u></p> <p>7) On December 13, 2010 the President of the UPR approved the Protocol for the Activation of Article 2.19 of the General Student Bylaws under which all manifestations and similar activities may be suspended for 30 days in case of clear and imminent danger of interruption or disruption of academic and administrative affairs. Protocol (R-1011-14)</p> <p>8) The Governor of Puerto Rico recently signed Law 3 of February 4, 2011 prohibiting obstruction of access to an educational institution as well as the destruction, damage or alteration of its property.</p> |
| 13. Define the scope and reach of what is legal and valid exercise of University Autonomy in alignment with University Law, rules and regulations, and applicable accreditation standards regarding institutional integrity, | Commission's Requirement No. 7: Evidence of implementation of clear institutional policies specifying the respective authority of the different governance bodies and their respective roles and responsibilities in shared governance | <p>Identify and analyze the contexts in which the concept of University Autonomy appears in the University Law, rules and regulations.</p> <p>Draft a proposed definition of University Autonomy as</p> | | <p>X</p> <p>X</p> | | <ul style="list-style-type: none"> It is also crucial for the institution to define the scope and reach of what is a legal and valid exercise of University Autonomy in alignment with University Law, rules and regulations, and related accreditation standards, as applicable to the University as a whole in relation with the external community and to the respective units in relation with the system (UPR Action Plan, I.C.5). To this end, the Legal Affairs Office and the Vice Presidency for Academic Affairs completed the phase of collecting references to Autonomy in University Bylaws and Certifications. The President has charged the Chancellors and the Vice Presidency of Academic Affairs, with the support of Academic Deans, to draft a definition to be presented to the University Board for suggestions and recommendations, and further consideration of the Board of Trustees. |

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| leadership and governance . | <p>Commission's Requirement No. 8: Evidence that steps have been taken to improve shared governance, especially in documenting how campus input is solicited and considered in decision making at the System level.</p> <p>Commission's Requirement No. 9: Evidence that communication between the Central Administration and the institution and within the institution, is clear, timely, and accurate, and that the sources of such communications are clearly defined and made available to all constituents (Standard 4).</p> | <p>applicable to the University as a whole in relation with the external community and to the respective units in relation with the system.</p> <ul style="list-style-type: none"> - Present proposed definition to the University Board - Present proposed definition and University Board suggestions and recommendations to the Board of Trustees | | | | |

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| 14. Revise governance structures' composition , roles and responsibilities to ensure their effective participation in carrying out the institution mission and goals in compliance with the applicable law and regulations and accreditation standards regarding institutional integrity, leadership and governance , and best practices. | Commission's Requirement No. 7: Evidence of implementation of clear institutional policies specifying the respective authority of the different governance bodies and their respective roles and responsibilities in shared governance. | Charge an Ad Hoc Committee to: (1) evaluate the composition, roles and responsibilities of the advisory bodies to the President and Chancellors, in alignment with the applicable laws, regulations and standards, including benchmarking, to sustain the necessary balance for effective shared collegial governance; (2) develop guidelines for the review of internal regulations governing and advisory bodies as well as recognized students organizations . | | X | | <ul style="list-style-type: none"> One of the 7 Committees of 7, the Leadership and Governance Committee, once appointed, is being charged with revising institutional leadership and governance structures, roles and responsibilities, based on a rigorous analysis of the Law and regulations in alignment with the Institutional Integrity and Leadership and Governance standards, as well as the best current practices in higher education, and making recommendations to promote their effective participation in carrying out the institution's mission and goals. Their task includes suggesting guidelines for the review of the internal regulations of all leadership, advisory and governing organizations and bodies, including the Board of Trustees, in compliance the applicable law and regulations, accreditation standards and best practices. |
| 15. Ensure that all participants | | Appoint Chancellors | | | X | <ul style="list-style-type: none"> All Chancellors appointed between September 1, 2010 and October 26, 2010 - Certifications No.1,2,3,4,10,11,14,26, and 27 |

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| in leadership and governance are empowered and committed with their roles and responsibilities and best practices to effectively contribute in carrying out the institution mission and goals within the applicable law and regulations and in compliance with accreditation standards regarding institutional integrity, leadership and governance . | | | | | | (2010-2011) by the Board of Trustees. |
| | Commission's Requirement No. 7 Evidence of implementation of clear institutional policies specifying the respective authority of | Advise Chancellors on their roles and responsibilities, the scope and functions of the governance and advisory bodies at system and | | | X | <ul style="list-style-type: none"> As proposed in UPR Action Plan (I.C.1), the President has required Chancellors and staff to participate in a series of workshops and trainings to prompt a collective understanding of their task in collaboration with their constituents in policy development and decision making, as well as within the University system, among others: <ul style="list-style-type: none"> 4) Parliamentary Procedures: November 24, 2009 5) Appeal Processes Workshop: October 13, 2010 |

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| | <p>the different governance bodies and their respective roles and responsibilities in shared governance.</p> <p>Commission's Requirement No. 8: Evidence that steps have been taken to improve shared governance, especially in documenting how campus input is solicited and considered in decision making at the System level.</p> | unit levels and solicit and consider their input on decision making at system level. | | | | <p>6) Conflict Management Strategies Workshop: TBA</p> <ul style="list-style-type: none"> ▸ In addition, the first of a series of workshops to support the self evaluation process of the Board of Trustees took place on February 25, 2011. Also, administrators at all levels will also be required to participate in conflict management trainings, to guarantee an effective prevention and managing of potentially conflicting situations (Evidence on site visit.). ▸ Chancellors and key campus leadership are crucial to support coherence and articulation of the University as a system. Chancellors, Deans, Department and Office Directors and other campus leadership participate actively in policy development and decision making at system level (UPR Action Plan I.C.7).. <p>11) Chancellors are members of the University Board.</p> <p>12) The President meets with Chancellors as frequently as needed, and not less than twice a month.</p> <p>13) The Vice President for Students Affairs meets monthly with Student Deans, Financial Aid Directors and other student service officers.</p> <p>14) The Vice President for Academic Affairs meets monthly or as frequent as necessary with Academic Deans, Professional Accreditations Committees, Institutional Research and Planning Directors, and as frequently as necessary with the institutional accreditation Task Force of the University of Puerto Rico and unit's institutional accreditation coordinators, at least twice a semester with Registrars, Directors of the Divisions of Continuing Education and Professional Studies, as well as other committees, groups, University Community members and stakeholders.</p> <p>15) The Vice President for Research and Technology meets periodically funded researchers and visits their work areas to assess their needs. He also meets periodically with unit Information System specialists as part of the efforts towards implementing the Update of Technology</p> |

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| | | | | | | <p>and Information System Project (PATSI, by its Spanish acronym).</p> <ul style="list-style-type: none"> • The following are evidenced examples of active participation of Chancellors and other key campus leaders on policy development and implementation and decision making (UPR Action Plan I.C.7). <p>25) Deans for Academic Affairs and one designated faculty representative to the University Board constitute the Board for Degree Recognition, which validates degrees granted by international higher education institutions of potential faculty of the University system.</p> <p>26) Deans for Academic Affairs are actively working in the development of a systemic policy on Minors, Double Majors and Double Degrees.</p> <p>27) Chancellors and Deans for Academic Affairs collaborated in the development of a set of short term criteria for academic planning to guide decision making towards guaranteeing institutional effectiveness in the face of projected reductions for academic year 2011-2012.</p> <p>28) Together with the President, Chancellors developed and implemented the Continuity and Security Plan that allowed all campus to remain open and operational in spite of the unrest experienced during the past semester, for the first time after a long history of labor and student stoppages. The Plan defines, among other elements, the internal/external channels and levels of communication, strategies and means to guarantee the continuity of operations and safeguard the integrity of the institution both under normal and extraordinary circumstances (UPR Action Plan, III.A.5).</p> <p>29) Chancellors play a key role in budget development set in Certification No. 100 (2005-2006) of the Board of Trustees (http://www.certifica.upr.edu/PDF/CERTIFICACION/2005-2006/100%202005-2006.pdf). Besides, in the face of the expected additional decrease of 5% in government revenues during FY 2011-</p> |

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| | | | | | | <p>2012, the President and Chancellors together with the Central Budget Director are aggressively identifying additional cost control measures and other corrective actions, incorporating assessment results of institutional planning, to assure balanced budgets, sufficient financial resources to carry out UPR mission and execute its plans effectively.</p> <p>30) Together with Budget and Finance Directors at system and unit levels, the President and Chancellors are developing a long term financial plan, also at system and unit levels, and examining structures and processes to integrate more efficient and effective practices.</p> <p>31) Deans for Academic Affairs and Registrars collaborated with the Vice Presidency for Academic Affairs in the development of the procedure required by the Board of Trustees for the implementation of the Academic Amnesty Admission Policy.</p> <p>32) At the request of the Student Affairs Committee of the Board of Trustees, Deans for Students Affairs provided substantive input for the implementation of the UPR Special Scholarship Fund Bylaws, as well as the improvement of students' services, tuition process, programmatic offerings, and the implementation of the electronic vote. Concerns with specific recommendations were considered and referred to the President for appropriate action.</p> <p>33) Chancellors, Deans for Students Affairs and Financial Aid Directors are actively working together towards the uniform implementation throughout the UPR System of the By Laws of the Special Scholarship Fund of the UPR, considering the input related to the point above by the President (http://www.certifica.upr.edu/PDF/CERTIFICACION/2010-2011/70%202010-2011.pdf).</p> <p>34) Consistent with UPR's goals that</p> |

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| | | | | | | <p>promote an integrated learning process enriched by experience, Deans for Students Affairs collaborated in the development of Student's Code of Conduct and are charged with its dissemination in their respective units.</p> <p>35) Whenever an institutional unit proposes a change in specifications of an existing course that is offered in other units, the Vice Presidency consults those units to get their approval before incorporating the changes. In case of objections, the Vice Presidency calls the corresponding Department heads to reach the necessary agreements for the coherent implementation of changes in common courses throughout the system.</p> <p>36) The Vice Presidency for Academic Affairs designated a systemic committee with members recommended by the Deans for Academic Affairs to address the University Board referral of Certification No. 09-06 of the Academic Senate of the Mayagüez Campus, which objects the policy established in Certification No. 130 (1999-2000) of the Board of Trustees for the design, revision and registration of courses, and syllabi structure. Committee members are examining the policy and evaluating its implementation to identify strengths and best practices, challenges and areas for improvement in the context of the reservations expressed by the Mayagüez Campus Academic Senate, to ensure a uniform and nimble process throughout the system, safeguarding compliance with programs' mission, and applicable licensing and institutional and professional accreditation applicable requirements.</p> |
| | Commission's Requirement No. 4: Evidence of a procedure in place for the periodic objective | Advise the Board of Trustees on their roles and responsibilities in alignment | | | X | <p>▸ Advisory and governing bodies at all levels, each with its own formal structure, rules, regulations, roles and responsibilities, include faculty and student participation: Academic Senates and Administrative Boards at campus level, and the University Board and Board of Trustees at system level.</p> <p>▸ University structure provides formal means to</p> |

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| | <p>assessment of the Board of Trustees in meeting stated governing body objectives and responsibilities.</p> <p>Commission's Requirement No. 7 Evidence of implementation of clear institutional policies specifying the respective authority of the different governance bodies and their respective roles and responsibilities in shared governance.</p> <p>Commission's Requirement No. 8: Evidence that steps have been taken to improve shared governance, especially in documenting how campus input is solicited and</p> | with the University Law, bylaws and related expectations in MSCHE standards including the publication Governing Boards. | | | | <p>channel ideas from faculty and students through Faculty meetings, representatives to Academic Senates, Administrative Boards, the University Board and the Board of Trustees. Administrative Boards and Academic Senates of each unit meet periodically; the University Board and its several committees meet monthly; the Board of Trustees and its several committees also meet monthly.</p> <ul style="list-style-type: none"> Roles and responsibilities of faculty and student representatives include keeping their peers informed of proceedings in these forums as well as to relay their input to these forums, to ensure back and forth flow of timely and accurate information within each unit as well as from Central Administration to campuses. Abundant evidence to appraise the timeliness, accuracy and efficiency of faculty and student representatives in carrying out this responsibility will be available upon request at the Executive Secretaries Offices of the Academic Senate and Administrative Board of each unit, as well as the Executive Secretaries Offices of the University Board and the Board of Trustees at the Central level. The Chancellors and the Vice Presidency for Academic Affairs have kept both the Board of Trustees and the University Board informed throughout the evaluation process, in compliance with its responsibility of advising on the need for ongoing and sustainable compliance with accreditation and licensing standards to advance the institution's mission. All information regarding the evaluation process is posted in the Vice Presidency for Academic Affairs link in the UPR webpage (http://www.upr.edu/?type=page&id=ofrecimientos_academicos_bachilleratos&ancla=ofrecimientos_academicos_bachilleratos&r_type=items&r_id=2). The University Board has issued the following resolutions regarding these processes: <ol style="list-style-type: none"> 5) Certification No. 8 (2010-2011), on November 2010, requesting: (1) an |

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| | considered in decision making at the System level. | | | | | <p>extraordinary meeting to consider the probationary process and the action plans for compliance by Central administration and the 10 impacted units; (2) that the recommendations by the 7 Committees of 7 be brought to the consideration of the University Board to provide recommendations before being brought to the Board of Trustees.</p> <p>6) Certification No. 10 (2010-2011), on December 2010, requesting the President and the Board of Trustees to maintain the University open and prevent any lockout that may threaten accreditation and eligibility to HEA funding (http://www.upr.edu/docs-ms/Certificacion10-2010-2011-Junta.pdf).</p> <p>7) Certification No. 11 (2010-2011), on December 2010, supporting the Vice Presidency's efforts to sustain accreditation (http://www.upr.edu/docs-ms/Certificacion11-2010-2011-Junta.pdf).</p> <p>8) Certification No. 12 (2010-2011), on January 2011, recommending the creation of a Committee composed of one student representative and one faculty representative, one Chancellor and two members of the President staff, to evaluate candidates to the 7 Committees of 7 and make recommendations to the President.</p> <ul style="list-style-type: none"> Following the body's request three University Board meetings were dedicated to the discussion of these matters, which focused mostly on clarifying: (1) their role on the implementation of the Action Plan; (2) the charges to the 7 Committees of 7 versus the roles and responsibilities of the University Board. The Board of Trustees, on the other hand, has issued the following resolutions regarding this process: <p>3) Certification No. 39 (2010-2011), on November 2010, endorsing the Institutional Response to the Special Team report and requesting the President and Chancellors to discuss the Team's report, the Institutional Response and the Action Plan with the University</p> |

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| | | | | | | <p>Board and Academic Senates (http://www.upr.edu/docs-ms/Cert39-2010-2011.pdf; http://www.upr.edu/docs-ms/4-UPR-Institutional-Response-to-MSCHE-Visiting-Team-Report-Oct21.2010.PDF).</p> <p>4) Certification No. 53 (2010-2011), on November 2010, requesting the President and the Chancellors to continue implementing the Action Plan and to continue receiving feedback that help accomplish its goals from the University Community (http://www.certifica.upr.edu/PDF/CERTIFICACION/2010-2011/53%202010-2011.pdf).</p> |
| | | <p>Develop and implement a procedure for the objective periodic assessment in meeting its roles and responsibilities.</p> <p>Coordinate workshop on the Board's roles and responsibilities with emphasis on accreditation expectations</p> | | <p>X</p> <p>X</p> | | <ul style="list-style-type: none"> On February 10, 2011 the Vice Presidency for Academic Affairs submitted to the Board of Trustees' President a rubric draft developed based on expectations contained in Standard 4, Leadership and Governance, and MSCHE publication Governing Boards, to assist the body in identifying areas of strength and areas in need for improvement in their current practices. On February 25, 2011 an external consultant with extensive expertise in accreditation and experience as a Governing Board member met with the Board to assist them on refining the rubric according to their particular profile, needs and priorities, and on launching the self assessment process. Based on the self assessment findings, the external consultant will design and offer a workshop or series of workshops to the Board of Trustees beginning no later than April 2011 (UPR Action Plan I.C.7). In addition, one of the 7 Committees of 7, to be appointed by the President, Leadership and Governance Committee, has among its tasks suggesting guidelines for the review of the internal regulations of all leadership, advisory and governing organizations and bodies, including the Board of Trustees, in compliance the applicable law and regulations, accreditation standards and best |

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| | | | | | | practices. <ul style="list-style-type: none"> Both the self assessment and the external evaluation processes of the Ad Hoc Committee on Leadership and Governance explained in a previous action (UPR Action Plan I.C.6) will feed each other to assist the Board of Trustees in further improving its effectiveness in the exercise of its roles and responsibilities towards advancing the institution's mission, goals, planning and priorities. |
| 16. Foster gradual, harmonious , and organized transitions of leadership and governance at all levels, with the adequate overlap for the substantive transfer of information critical for a seamless continuity of the University agenda. | Commission's Requirement No. 5: Evidence that steps have been taken to assure continuity and stability of institutional leadership, particularly in times of governmental transition. | Charge an Ad Hoc Committee to evaluate the effectiveness of consulting and transition processes in the University | | X | | <ul style="list-style-type: none"> One of the 7 Committees of 7, Consulting and Transition Processes Committee, to be appointed by the President, will be charged with evaluating the effectiveness of search, consulting and transition processes in the University and to draft a proposal to review and update all aspects of such processes. |
| | | Guarantee continuity of experience, expertise, institutional memory and adequate overlap across administrations | | | X | <ul style="list-style-type: none"> The UPR has undergone periodic changes in leadership while maintaining the necessary level of continuity and stability in key areas to carry on with its mission. During the impending transition of leadership in September 2009 The Board issued Certification No. 21 (2009-2010) http://www.certifica.upr.edu/PDF/CERTIFICATION/2009-2010/21%202009-2010.pdf which created a Transition Committee charged with facilitating a coordinated transition period to guarantee institutional stability. |

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| | | | | | | <ul style="list-style-type: none"> ▸ The Board of Trustees also issued specific guidelines and requirements for Presidents' candidates in Certification Num. 10 (2009-2010), established the consultation (Community input) process and appointed the search Committee through certification Num. 11 (2009-2010). Among others, candidates were required to present a proposal to warrant continuity of the University Planning Agenda, Ten for the Decade. ▸ On October 1st, 2010, the Board of Trustees appointed Dr. Miguel Muñoz as Acting President. In compliance with applicable University regulations, he filled most vacant positions in Central Administration staff with former associates or people that held these posts in the past, therefore, with the credentials, extensive experience and knowledge so as to assure a smooth continuation of the institutional endeavor. ▸ On February 1, 2010 Dr. José Ramón de la Torre was appointed President of the UPR by the Board of Trustees, with the recommendation of consulting committees (Community input) at both campus and systemic levels. Based on institutional commitment to foster an organized transition with the appropriate overlap for the substantive transfer of information critical for the seamless continuity of the University agenda, the Board required an overlap period of two months between the Acting President and the newly appointed President (Evidence at site visit). ▸ On February 11, 2011, President de la Torre presented his resignation for family reasons. On February 14, 2011, the Board of Trustees appointed Dr. Miguel Muñoz as Acting President. Dr. Muñoz credentials, experience as former Acting President and Chancellor of the Mayaguez Campus, rendered a transition period unnecessary due to the fact that he is in full command of current issues and challenges faced by the Institution. This in turn provided the necessary institutional continuity and stability critical at its present juncture. |

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| | | | | | | <ul style="list-style-type: none"> Both former President de la Torre and current Acting President Muñoz have respectively maintained a significant number of key leadership, and filled most vacant positions with personnel with vast experience in the same post, to warrant the adequate expertise and historic memory to assure continuity and stability in institutional leadership. The Board of Trustees has pledged to expedite the consultation process for the formal appointment of a President and will consider Dr. Miguel Muñoz as a possible candidate if nominated. Though informal leadership transition processes have traditionally existed in the UPR System, the Board of Trustees is committed to developing a formal succession policy with the recommendations of the Consulting (Community input) and Transition Processes Committee which and the University Community in order to receive input and further improve the development of a formal systemic transition or succession policy. |
| | | | | | | EVIDENCE AT UNIT LEVEL |

II. Standard 11, Educational Offerings: The institution's educational offerings display academic content, rigor, and coherence that are appropriate to its higher education mission. The institution identifies student learning goals and objectives, including knowledge and skills, for its educational offerings.

The Institutional Action Plan along Standard 11 focuses in one main strategy: **Guarantee sustained length, rigor and depth of academic offerings.**

II. A. GUARANTEE SUSTAINED LENGTH, RIGOR AND DEPTH OF ACADEMIC OFFERINGS

GOAL: Guarantee the continuity and the appropriate content, rigor, coherence and length of the institution's academic and research endeavors at all times, to support an effective and seamless student learning process and advancement toward their degrees in harmony with the Open University Culture.

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| 3. Continue monitoring long term impact of April – June interruption and other disruptions on student learning. | | Complete analysis of the distribution of grades, incompletes, withdrawals, attrition, and other indicators of the impact of the interruption on students. | | X | | <ul style="list-style-type: none"> • The Vice Presidency for Academic Affairs is coordinating with the Deans of Academic Affairs and Directors of Offices of Planning and Institutional Studies the development of studies of the long-term impact of the April-June 2010 conflict on student learning; graduation and retention; as well as on admissions. • To date a set of relevant parameters has been agreed and data collection is in progress in order to analyze findings. |
| | | <p>Continue to review the progress of individual students to see if there is additional analysis needed in order to determine if there is a long-term impact.</p> <p>Incorporate collected outcomes assessment data into assessment plans and follow up to understand the impact of student learning, and meld into its overall assessment data.</p> | | | | <p>EVIDENCE AT UNIT LEVEL</p> |
| | | Continue to monitor the | | X | | <ul style="list-style-type: none"> • The Vice Presidency for Academic Affairs is coordinating with the Deans of Academic |

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| | | effects of the financial situation on the quality and rigor of the academic programs. | | | | <p>Affairs and Directors of Offices of Planning and Institutional Studies the development of methods to monitor the short term impact of the fiscal situation on academic offerings.</p> <ul style="list-style-type: none"> To date a set of relevant parameters has been agreed and data collection is in progress in order to analyze findings. |
| 4. Establish contingency plans and policy guidelines to ensure the effective accomplishment of student learning goals with the appropriate content, rigor and coherence in case of fortuitous interruptions of the academic process. | | Develop guidelines to accurately assess the degree of accomplishment of knowledge and skills development goals and objectives in order to prescribe the appropriate activities and length of time necessary to assure a coherent continuation of the learning process, in the event of a fortuitous interruption of an academic session. | X | | | <ul style="list-style-type: none"> The Vice Presidency for Academic Affairs is coordinating with the Deans of Academic Affairs the development of guidelines to accurately assess the degree of accomplishment. Guidelines have been developed at unit level. The goal is to develop uniform systemic guidelines that will permit benchmarking among the units. To date the deans have begun comparing each unit's practices in order to reach a consensus regarding the systemic guidelines to be developed. |
| | | Establish contingency plans, including a crisis communication plan, for continuation of academic | | | | EVIDENCE AT UNIT LEVEL |

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| | | programs in the event of fortuitous interruptions. | | | | |

III. Standard 3, Institutional Resources: The human, financial, technical, facilities, and other resources necessary to achieve an institution's mission and goals are available and accessible. In the context of the institution's mission, the effective and efficient uses of the institution's resources are analyzed as part of ongoing outcomes assessment.

The Institutional Action Plan to preserve compliance with Standard 3 has two main dimensions: **Secure continuity and institutional effectiveness with available resources** and **Maintain and nurture additional sources of funding to continue advancing institutional education, research and service priorities.**

III.A. SECURE CONTINUITY AND INSTITUTIONAL EFFECTIVENESS WITH AVAILABLE RESOURCES

GOAL: Secure continuity and effective accomplishment of the institutional mission and goals with the available resources by developing and implementing the appropriate financial measures.

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| 6. Revisit the current strategic planning agenda to set priorities in alignment with institutional assessment results, current and projected resources, and the development and implementation process of a long- | Commission's Requirement No. 3: Evidence that the Board of Trustees assists in generating resources needed to sustain and improve the institution. | Revise the Capital Improvement Program (CIP) according to available and projected resources to continue with priority projects. Seek interim financing for priority projects. | | X | X | <ul style="list-style-type: none"> The Board of Trustees revisited the CIP and established a revised plan adjusted to projected and available resources. In November 2010, the Board authorized the President to find the necessary financing for their completion (http://www.certifica.upr.edu/PDF/CERTIFICACION/2010-2011/41%202010-2011.pdf), by seeking a \$60 M interim line of credit from the Government Development Bank. Over 35 projects directly related to the academic and research endeavors that were given priority in the original CIP, are among those currently under construction throughout the system and are scheduled to be finished between years 2011 and 2013. |

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| term financial plan for the University of Puerto Rico to assure financial viability and sustainability. | | | | | | |
| | | Continue implementation of Control Measures established in Policy Statements. | | | X | <ul style="list-style-type: none"> • The 2011-2012 Budget Project in progress continues with the cost control measures established by the Board of Trustees and the President in areas which do not materially affect the quality and continuity of academic offerings. • All units except for the Medical Sciences Campus proposed significantly reduced faculty compensations, 8 units proposed an additional Summer Course Fee that ranged from \$5 to \$35 per credit, while the Río Piedras Campus identified the necessary funds to offer the summer session without requiring a fee. • In the face of the expected additional decrease of 5% in government revenues during FY 2011-2012, the President and Chancellors together with the Central Budget Director are aggressively identifying additional cost control measures and other corrective actions, incorporating assessment results of institutional planning, to assure balanced budgets, sufficient financial resources to carry out UPR mission and execute its plans effectively. |
| | | Revisit the Advisory Committee on Institutional Finances' Report (CAFI, 2007) and submit recommendations of financial | | X | | <ul style="list-style-type: none"> • The Budget Director and Finance Director are revisiting the CAFI report to identify possible financial measures recommended by the committee that may be feasible to address the current fiscal challenges faced by the Institution. |

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| | | measures. | | | | |
| | | Charge an Ad Hoc Institutional Strategic Planning Committee with the identification of priorities and the development of guidelines for the reorganization of the institutional planning agenda based on the assessment of its outcomes and available resources. | | X | | <ul style="list-style-type: none"> One of the 7 Committees of 7, the Institutional Strategic Planning Committee, to be appointed by the President, will be charged with helping identify institutional priorities to develop guidelines for the reorganization of the institutional planning agenda based on the assessment of its outcomes and the available and expected resources. Recommended guidelines will be widely disseminated for discussion with University constituents in order to develop a final draft for each unit to use as a guide when revisiting their respective strategic plans. |
| 7. Continue evaluating the effectiveness of educational offerings in compliance with Certification Num. 43 (2006-2007) and Certification Num. 92 (2008-2009) of the Board of Trustees, which mandate | | Continue developing and implementing cost effective measures in academic offerings while safeguarding the institution's commitments with students. | | | X | <ul style="list-style-type: none"> As part of the ongoing evaluation of educational offerings mandated by institutional policies to promote informed decisions regarding the continuation of academic programs: <ol style="list-style-type: none"> Since 2009-2010, Deans for Academic Affairs started evaluating the 321 active articulated transfer programs between units throughout the system based on their effectiveness in demand, retention, transfer and graduation rates, among others. Articulated transfer programs, established by signed agreements between Chancellors and the President, allows a unit of origin to offer the first two years of an academic program from another unit, to which the student will transfer to complete the degree. Based on the findings, 129 transfer programs were inactivated in 2010 and another 7 in 2011, allowing for the reallocation of resources to the degree granting offerings of units of origin. 185 articulated transfer programs found effective by the evaluation process remain |

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| periodic evaluation with emphasis on duplicated offerings to promote informed decision making regarding the continuation of academic programs. | | | | | | <p>active throughout the system.</p> <p>2) Likewise, 7 degree granting academic programs were closed (moratorium) effective year 2010-2011.</p> <p>3) As agreed with Chancellors and Deans of Academic Affairs, a freshman admission carrying capacity aligned with the available resources is being set by each unit to safeguard institutional commitment with both freshman and active students, leading to slight downward adjustments of 7% and 10% respectively in the overall first year 2010 and 2011 admission.</p> |
| | | Reorganize priorities and planning at unit level according to the evaluation of academic offerings, five-year financial projections and cost cutting measures. | | | | EVIDENCE AT UNIT LEVEL |

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| 8. Provide timely and accurate system and campus financial data for decision making to support the institution's mission and goals. | Commission's Requirement No. 1: Five-year financial projections for the UPR System including information from audited financial statements for fiscal year 2010, no later than January 2011. | Five-year financial projections for the UPR System including information from audited financial statements for fiscal year 2010, no later than January 2011. | | X | | <ul style="list-style-type: none"> ▸ The actions in progress to address the financial challenges, implement external auditors' recommendations, issue FY 2010-2011 Audited Financial Statement no later than May 2011, and guarantee timely issuance of future Audited Financial Statements. To this end, the Finance Office has taken the following measures: ▸ To speed up the flow of financial information needed to issue the statement draft to be submitted to the external auditors, an external firm with expertise in government accounting processes was contracted to: <ol style="list-style-type: none"> 1) assist the units and Central Administration in reconciling and verifying information for the external auditors; 2) troubleshooting problems in accounting processes, assess financial processes, review accounts receivable practices and submit recommendations for improvement. |
| | Commissions' Actions No. 2: Institutional pro-forma budgets that demonstrate the institution's ability to generate a balanced budget for fiscal years 2012 through 2015, including the personnel, compensation, and other assumptions on which these budgets are based (Standard 3). | Provide pro-forma budgets that demonstrate an ability to generate balanced budgets for each campus for FY 2012 | | | X | <ul style="list-style-type: none"> ▸ Eight (8) report formats to develop pro-forma budgets have been deployed to each institutional unit by the Budget director. These efforts have significantly improved compliance with budget procedures at central and unit levels, while avoiding additional costs associated with appointing Internal Financial Monitors, as originally contemplated in the Action Plan. |

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| allocation and a timely disclosure of financial information ; (2) promote an efficient, non redundant and cost-effective management | | | | | | |
| | | | | | | EVIDENCE AT UNIT LEVEL |
| | | Evaluate the effectiveness of the Financial Information Systems Software (UFIS) in providing necessary financial information for budget development with feedback from affected parties throughout the system. | | X | | <ul style="list-style-type: none"> ▸ A firm of software specialists has also been recruited to revise UFIS implementation, devise solutions to improve its performance and develop reports to facilitate access to the necessary financial information to draft financial statements: <ol style="list-style-type: none"> 1) Manuals have been developed to guide units in accounting processes needed to ensure efficient monthly closings. 2) Reports such as "Statement of Net assets", "Expenses vs. Budget", and "Statements of Revenues and Expenses" have been incorporated to the UFIS system to facilitate generating reports required by IPEDS and the Government Development Bank. 3) Implementation of the "Cash Management Module" is underway with the trial phase scheduled to begin at Central Administration, the Resources Center for Science and Engineering and the Board of Trustees. 4) Unit accounting personnel are currently being trained in account creation and purchasing modules. 5) A committee with representatives from various units, along with the insight of the consulting firm are developing and implementing recommendations for improvement to the UFIS system. 6) Unit income and expense reports will be produced to monitor their monthly and |

| ACTIONS | COMMISSION'S ACTION | ACTIVITIES | ASSESSMENT | | | OUTCOMES |
|---------|---------------------|--|------------|-------------|---------------|--|
| | | | INITIATED | IN PROGRESS | IN COMPLIANCE | |
| | | | | | | <p>quarterly performance when the current UFIS accounting system is updated.</p> <ul style="list-style-type: none"> A committee with representatives from various units, along with the insight of the consulting firm is developing and implementing recommendations for improvement to the UFIS system. |
| | | <p>Command compliance with institutional directives regarding strategic planning and budget allocation at the central and unit level.</p> <p>Appoint a Chief Financial Officer (CFO) to overview Budget, Finance, Physical Plant and other areas related to the institution's Administrative and Management affairs to ensure appropriate guidance and monitoring of institutional operations at all levels.</p> | X | | X | <ul style="list-style-type: none"> To avoid additional costs associated with appointing Internal Financial Monitors as originally contemplated, the Budget Director has enforced compliance with institutional directives regarding strategic planning, budget allocation, and cost control measures at the central and unit levels. The Action Plan contemplates creating the position of Chief Financial Officer (CFO) by July 2011, responsible for providing guidance on institutional, strategic financial planning, budget and direct budgeting at the central and unit level (Action Plan III.A.4). The proposal for the position has been drafted (Evidence at site visit). Nonetheless, if significant progress is achieved from the corrective actions currently being implemented in these areas, as was the case of the original intent of appointing Financial Monitors, the appointment of a CFO may be postponed to avoid the additional costs. |
| | | Charge an Ad Hoc | | X | | <ul style="list-style-type: none"> The Ad Hoc Budget and Finance Committee, once appointed by the President, will have the |

| ACTIONS | COMMISSION'S ACTION | ACTIVITIES | ASSESSMENT | | | OUTCOMES |
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| | | | INITIATED | IN PROGRESS | IN COMPLIANCE | |
| | | <p>Budget and Finance Committee with: (1) evaluating the effectiveness of Certification Num. 100 (2005-2006) of the Board of Trustees as the instrument for budget development at the central and unit levels in the context of the University Law and regulations; (2) identifying best practices in the budgeting process, at the central and unit levels, and in comparable public universities; (3) making the corresponding recommendations for improvement.</p> | | | | <p>charge of assessing the effectiveness of the existing budget development process and make the corresponding recommendations for improvement to be reviewed and further developed by the University Community.</p> <ul style="list-style-type: none"> • The Ad Hoc Budget and Finance Committee has a completely different purpose and charge from the Institutional Budget Committee. While the Institutional Budget Committee, created through Certification 100, assists in developing the Annual Budget Project, the Ad hoc Committee will assist in evaluating the effectiveness of the budget development process. |

| ACTIONS | COMMISSION'S ACTION | ACTIVITIES | ASSESSMENT | | | OUTCOMES |
|--|---------------------|--|------------|-------------|---------------|---|
| | | | INITIATED | IN PROGRESS | IN COMPLIANCE | |
| | | Charge an Ad Hoc Administrative Efficiency Committee supported by a process reengineering specialist to steer: (1) the evaluation of administrative structures processes and functions; (2) develop recommendation of measures to promote cost-effectiveness in management and improved service at the Central Administration and unit levels. | | X | | <ul style="list-style-type: none"> ▸ The Administrative Efficiency Committee, once appointed by the President, is expected to assist in developing administrative efficiency measures, additional to those already in place. Examples of measures already implemented at unit level include, restructuring administrative offices, redistributing tasks, and revising executive positions. ▸ The Administrative Efficiency Committee is expected to recommend measures to promote cost effectiveness and efficiency in management with the purpose of improving services at the system and unit levels. It is an ambitious longer term undertaking, projected over a two year period. ▸ Recommendations emitted by the Committee will be widely disseminated to receive constituents input prior to implementing measures. |
| 10. Promote collaboration agreements with state and city governments in common areas of interest to promote short and long term economies. | | Develop and implement a cost-effective Continuity and Security Plan in partnership with state and/or city governments to improve security in campuses and surrounding | | | X | <ul style="list-style-type: none"> ▸ The President and Chancellors' Continuity and Security Plan in partnership with state and city governments, is expected to strengthen security and prevention measures for the welfare of the academic and general community, while promoting short and long term economies. |

| ACTIONS | COMMISSION'S ACTION | ACTIVITIES | ASSESSMENT | | | OUTCOMES |
|---------|---------------------|--|------------|-------------|---------------|------------------------|
| | | | INITIATED | IN PROGRESS | IN COMPLIANCE | |
| | | communities. | | | | |
| | | Promote the development of collaboration agreements with state and city governments that result in mutual economies. | | | | EVIDENCE AT UNIT LEVEL |

GOAL: Continue and develop initiatives to increase and diversify sources of funding to support the accomplishment of the institutional mission and goals.

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| ACTIONS | COMMISSION'S ACTION | ACTIVITIES | ASSESSMENT | | | OUTCOME |
|--|--|---|------------|-------------|---------------|--|
| | | | INITIATED | IN PROGRESS | IN COMPLIANCE | |
| and education strategic agenda of the University of Puerto Rico. | | measures for stimulating submission of proposals for external funding to advance research. | | | | continue to increase and diversify sources of funding for these activities. |
| 8. Expand Division of Continuing Education and Professional Studies units (DCEPS) and other self-financing offerings in academic units to advance institutional service mission towards the community and increase revenues for the units. | | <p>Increase and diversify course offerings and expand the reach of academic programs through self financing.</p> <p>Increase the number of degree granting academic programs available in the self-financing Extended University (UnEx) format aimed at non-traditional students.</p> | | | | EVIDENCE AT UNIT LEVEL |
| 9. Increase revenues derived from the Intramural Practice in proportion with the support provided by the | Commission's Requirement No. 3: Evidence that the Board of Trustees assists in generating resources needed to | Evaluate the effectiveness of Certification Num. 123 (1996-1997) of the Board of Trustees, which establishes the policy for | | X | | <ul style="list-style-type: none"> ▸ The President and Chancellors, in collaboration with the President of the Education, Non Profit Organizations and Cooperatives of the House of Representatives of Puerto Rico submitted an amendment to the University Law. The amendment will require all governmental departments, boards, administrations, offices, subdivisions and public corporations under the Executive Branch to commit not less than 15% of their total budget to contract professional, consulting, academic, research, training services |

| ACTIONS | COMMISSION'S ACTION | ACTIVITIES | ASSESSMENT | | | OUTCOME |
|--|---|---|------------|-------------|---------------|--|
| | | | INITIATED | IN PROGRESS | IN COMPLIANCE | |
| University of Puerto to this activity. | sustain and improve the institution. | the Intramural Practice of faculty members, and make recommendations to help enhance institutional revenues. | | | | and the like, from the Divisions of Continuing Education and Professional Studies and Intramural Practice by faculty and researchers of the UPR System. Currently, the amendment is under review by the House of Representatives Commission. |
| 10. Strengthen institutional relationship with active students and faculty, alumni and retired faculty, community, private and government entities to attract funding at both central and unit levels. | Commission's Requirement No. 3: Evidence that the Board of Trustees assists in generating resources needed to sustain and improve the institution. | Organize a series of fund-raising activities to generate additional resources and nurture the Endowment Fund. | | | X | <ul style="list-style-type: none"> As part of the President and the Board of Trustees efforts to assist in generating resources a series of fund raising activities are underway coordinated by the Director of the Office of Development and Alumni. A string of special events and other fundraising activities are organized on a recurring basis to attract donations from alumni, parents of students and employees of the University, including telephone monitoring or phonathon, concerts, dinners, etc. As part of the ongoing efforts to foster donations to the Endowment Fund the Board of Trustees endorsed Law Num. 113 of July 16 2008 which declared all donations to the UPR Endowment Fund 100% tax exempt. Board members began donating their diet stipends since 2003 that to date have generated \$154,968 in donations to the Endowment Fund. |
| | | Continue fostering alumni donations through fundraising activities at the system and unit levels. Strengthen alliances with community, private and | | | | EVIDENCE AT UNIT LEVEL |

| ACTIONS | COMMISSION'S ACTION | ACTIVITIES | ASSESSMENT | | | OUTCOME |
|---------|---------------------|--|------------|-------------|---------------|---------|
| | | | INITIATED | IN PROGRESS | IN COMPLIANCE | |
| | | government entities to develop additional funding sources. | | | | |

UPR Action Plan Outcomes Assessment

| Goal | Number of Activities under Goal | Activities Initiated | Activities in Progress | Activities in Compliance |
|---------------|---------------------------------|----------------------|------------------------|--------------------------|
| I.A | 9 | -- | 3 | 6 |
| I.B | 10 | 3 | 4 | 3 |
| I.C | 20 | -- | 6 | 14 |
| II.A | 3 | 1 | 2 | -- |
| III.A | 18 | 2 | 10 | 6 |
| III.B | 7 | -- | 1 | 6 |
| | 67 | 6 | 26 | 35 |
| Totals | 100% | 8.95% | 38.81% | 52.24% |

