

Arizona State University - AZ

HLC ID 1002

OPEN PATHWAY: Reaffirmation Review

Review Date: 4/24/2023

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Context and Nature of Review

Review Date

4/24/2023

Review Type:

Reaffirmation Review

Scope of Review

- Reaffirmation Review
- Federal Compliance (if applicable)
- On-site Visit
- Multi-campus Visit (if applicable)

There are no forms assigned.

Institutional Context

The 6 member team conducted a Reaffirmation Review following the Mid-Cycle Review conducted in 2017 and Multi-Site and Desk Reviews in 2021. ASU has four campuses in the greater Phoenix area and locations across the United States and world. The team physically visited the Tempe and Downtown campuses and engaged with stakeholders from various campuses and locations throughout the visit. The team also participated in a learning demonstration using virtual and 4-dimensional technology.

Arizona State University (ASU) is a public research university in Tempe, Arizona. It is the largest public university in the United States under one administration, with over 130,000 students and 5,000 academic staff. ASU is one of the nation's leading research universities, and it has been ranked among the top public universities in the United States by U.S. News & World Report, Forbes, and Kiplinger's Personal Finance.

ASU was founded in 1885 as the Territorial Normal School, and it has undergone a remarkable transformation over the past 137 years. In 2002, ASU appointed Michael M. Crow as its new president. Crow is a visionary leader who has helped to shape ASU into a world-class university. Under Crow's leadership, ASU has become a leader in innovation, sustainability, and social impact. In subsequent sections, the site team will refer to President Crow as "the president" in subsequent review statements.

ASU is committed to excellence, access, and impact. The university strives to be a model for the "New American University," one that is "measured not by whom it excludes, but by whom it includes." ASU pursues research and discovery that benefits the public good, and it assumes major responsibility for the economic, social, and cultural vitality of its community.

ASU has been redesigning itself as an outcome-oriented knowledge enterprise for two decades. This redesign is guided by the university's official charter and its accompanying design aspirations. ASU has engaged with numerous individuals and partners to demonstrate that it is possible to advance educational access, excellence, and social impact simultaneously. ASU has also continuously measured, assessed, and honed its practices, programs,

and services in order to bolster the student experience and add ongoing value to an ASU degree.

ASU's faculty and staff have remained laser-focused on meeting the growing demand for quality higher education at scale, even during a global pandemic. ASU has made rapid and substantive progress as a public knowledge enterprise uniquely committed to simultaneous egalitarian access, comprehensive achievement, and service.

Interactions with Constituencies

Executive Committee and Assurance Argument Team

Director of Assessment

Vice Provost for Academic Personnel

Associate Vice President

Vice President & Chief Operating Officer

Provost Fellow and Professor

Associate Director

Executive Vice President and University Provost

Project Manager

Vice President, Academic Enterprise Enrollment

Vice Provost for Academic Alliances

Vice Provost for Academic Innovation and Student Achievement

Vice Provost for Undergraduate Education

Senior Director

University Dean for Educational Initiatives and CEO of EdPlus

Senior Associate Dean and Professor

Vice President of Student Services

President

Provost

ASU Board of Trustees (Two voting members, One government relations liaison)

Summary of Open Forum Attendance

Criterion 1 Open Forum – Total Attendance- 7. Staff/administrators (7) attended

Criterion 2 and 5 Open Forum – Total Attendance - 64. faculty (20), staff/administrators (37) attended

Criterion 3 and 4 Open Forum – Total Attendance - 11. faculty (1) and staff/administrators (10) attended

Summary of Students Attendees Tempe, Downtown, Poly, West- Students (28)

Summary of Attendees Downtown Campus- Total Attendance 48. faculty (40) and staff/administrators (8)

Context of Student Interaction

Focus Sessions, Tours, Informal interactions.

List of titles of those who attended open forums or focus topic conversations

Director of Assessment

Vice President & Chief Operating Officer

Associate Director

Project Manager

Vice Provost for Undergraduate Education

Senior Director

Senior Associate Dean and Professor

Executive Vice President

Senior Vice President

Associate Dean for Academic Programs and Director of the Office for Veteran and Military Academic Engagement

Assistant Dean of Undergraduate Education

Executive Director for Academic Strategic Planning

Director of Assessment

Vice Dean of Academic and Student Affairs

Assistant Director of Teaching and Learning

Associate Dean and Professor

Director of Academic Services

Director, Academic Assessment

Associate Director and Professor of Research

Director of Writing Programs & Professor

Assistant Director Special Projects

Vice Provost for Undergraduate Education

Associate Dean

Associate Director and Professor

Assistant Professor

Associate Dean

Deputy Athletics Director

Deputy Chief Operating Officer

Chief Growth Officer and Chief Operating Officer

Deputy Vice President

Associate Vice President and Director

Associate Vice President

Senior Vice President

Vice President

Senior Associate Dean & Associate Professor

Associate Director and Clinical Associate Professor

Assistant Vice Provost for Academic and Global Engagement

Director

Executive Assistant to Associate Dean

Senior Associate Dean of Undergraduate Programs

Senior Associate Dean and Professor of Practice

Associate Dean and Associate Professor

Associate Dean for Academic Programs and Director of the Office for Veteran and Military Academic Engagement

Director and Professor

Executive Director for Academic Strategic Planning

Director of Assessment

Assistant Director of Academic Services

Director of Academic Services

Management Research Analyst

Director

Professor

Executive Director

Assistant Dean

Deputy Chief Operating Officer

Director

University Registrar

Vice Dean and Associate Professor

Executive Director and Professor of Practice

Associate Vice President and Dean of Students at ASU Polytechnic Campus

Vice Dean

Assistant Dean of Academic Services

Senior Director

Vice Provost for Academic Innovation and Student Achievement

Vice Provost for Undergraduate Education

Senior Director of Academic Services

Associate Dean

Associate Dean & Professor

Assistant Vice Provost for Academic and Global Engagement

Assistant Vice President

Assistant Vice Provost for Student Success Innovations

Executive Director

Senior Director of Academic Services

Senior Associate Dean of Undergraduate Programs

Associate Vice President

Vice President of Outreach Partnerships

Vice President of Student Services

Associate Professor

Senior Director of Online Engagement & Strategic Initiatives

Dean of Humanities

Dean of Social Sciences

Dean and Vice Provost for Academic Enterprise Strategy

Dean of Natural Sciences

Associate Dean of Liberal Arts

Departments Represented

Government and Community Relations

College of Health Solutions

Watts College

Edson College

Sandra Day O Connor Law

Cronkite School

SCRD

University Business Services

Human Resources

Business and Finance

College of Liberal Arts and Sciences

Office of Evaluation and Educational Effectiveness

Office of the President

Carey School

EdPlus

School of Life Sciences

School of Art

Office of the Provost

TW Lewis Center

SOLS Graduate Program

Educational Outreach and Student Services

Inclusive Excellence

University Affairs

Academic Enterprise

Evaluation and Educational Effectiveness

New College

Sun Devil Athletics

ASU Counseling

Pat Tilman

University Registrar

Enrollment Services

Graduate College

Integrative Sciences and Art

W.P. Carey

School of Earth and Space Exploration

Enterprise Technology

Fulton School

Library

ASU at Lake Havasu

Barrett, The Honors college

International Students and Scholars

Fulton School

Herberger Institute

Additional Documents

The ASU website was used to confirm several statements. All additional documents reviewed are in the addendum and are noted below:

- 1_Criteria_12_Federal_Compliance_Mission.pdf
- 2_Student_Complaints.pdf
- 3_Publication_of_Student_Outcome_Data.pdf
- 4_Recruiting_Admissions_and_Related_Practices.pdf
- 5a_Diversity_Rev.pdf
- 5b_Review_Processes.pdf
- 5c_General_Education_Implementatio.pdf
- 6a_Specialized_Accreditation_.pdf
- 6b_Unit_Response_Reports.pdf
- 6c_Transfer_Credit.pdf
- 6d_Graduation_Requirements_Rev..pdf
- 6e_Transfer_Credit_Rev.pdf
- 6f_General_Education-1.pdf
- 6g_Transfer_Credit_Not_Accepted_Rev2.pdf
- 7_Exit_Interviews.pdf
- Arizona_State_University_Federal_Compliance_Filing_03282023.pdf
- ASU_Course_Syllabi_Portfolio.pdf

1 - Mission

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

1.A - Core Component 1.A

The institution's mission is articulated publicly and operationalized throughout the institution.

1. The mission was developed through a process suited to the context of the institution.
2. The mission and related statements are current and reference the institution's emphasis on the various aspects of its mission, such as instruction, scholarship, research, application of research, creative works, clinical service, public service, economic development and religious or cultural purpose.
3. The mission and related statements identify the nature, scope and intended constituents of the higher education offerings and services the institution provides.
4. The institution's academic offerings, student support services and enrollment profile are consistent with its stated mission.
5. The institution clearly articulates its mission through public information, such as statements of purpose, vision, values, goals, plans or institutional priorities.

Rating

Met

Rationale

Arizona State University (ASU) has been evolving under the leadership of the president, who has outlined a new model for the university, the *New American University*, which is designed to enhance broad access to quality higher education, demonstrate comprehensive excellence, and create meaningful social impact. Nine design aspirations guide ASU's evolution toward becoming the New American University. The process was initiated by the president, who had a clear vision for what he wanted ASU to become. He consulted with faculty, staff, students, and alumni to get their input, and he also looked at other universities around the country to see what they were doing well. As evidenced in recorded video and meeting minutes, the 2014 Arizona Board of Regents (ABOR) ratified the Vision as ASU's official charter. In 2021, ASU introduced its ASU Public Enterprise organizational design anchored by three pillars: Academic Enterprise, Knowledge Enterprise, and Learning Enterprise. During the site visit, the ABOR corroborated how the charter aligns with the fabric of ASU and its allocations of resources. Budget priorities line up with the mission in that nearly 50% of the budget goes to instruction and academic support. The institution has achieved Hispanic Servicing Institution (HSI) designation which aligns with its demographic commitment. ASU has one of the most diverse student bodies in the country, with students from over 150 countries. During the visit, the diversity coalition and Inclusive Excellence leaders shared ASU's strong commitment to social justice, and its recognized work on issues such as climate change, poverty, and homelessness. ASU has a strong entrepreneurial spirit and has been ranked as one of the

top universities in the country for innovation. Circumstantial evidence was presented to the Team through various demonstrations including immersive 4-dimensional learning through Dreamscape Learn.

ASU demonstrates clear and convincing evidence that it is committed publicly and operationalized to its charter and mission of excellence, access, and impact. Everything ASU does is driven by its charter which states, “[ASU is] measured not by whom it excludes, but by whom it includes and how they succeed; advancing research and discovery of public value; and assuming fundamental responsibility for the economic, social, cultural and overall health of the communities it serves.” The charter is evidenced in the *New American University* document and circumstantial evidence is found in various supporting documents and on the ASU Mission and Goals webpage. The charter is displayed in campus facilities and community venues. During the site visit, the Team met with various stakeholder groups and community leaders who were able to corroborate how the charter informs instruction, scholarship, research, innovation, service, economic, and social responsibility.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

1.B - Core Component 1.B

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

1. The institution's actions and decisions demonstrate that its educational role is to serve the public, not solely the institution or any superordinate entity.
2. The institution's educational responsibilities take primacy over other purposes, such as generating financial returns for investors, contributing to a related or parent organization, or supporting external interests.
3. The institution engages with its external constituencies and responds to their needs as its mission and capacity allow.

Rating

Met

Rationale

ASU's educational responsibilities take primacy over other purposes. This means that ASU is free to focus on its mission and make decisions that are in the best interests of its students, its faculty, and its community. ASU is a public institution, and as such, it is not driven by the need to generate financial returns for investors. In addition, ASU does not have a parent organization to drive or influence activities that do not contribute to the responsibility for education. Instead, its mission is to "transform lives, ignite discovery, and create solutions for a changing world." This mission is reflected in ASU's commitment to providing affordable tuition and financial aid to students from all backgrounds, offering access to high-quality education to underserved populations, conducting research that addresses important social and environmental issues, partnering with community organizations to improve the quality of life for all, and advocating for policies that benefit the public good.

ASU maintains a commitment to social embeddedness as a design aspiration evidenced in its charter document. This includes the appointment of a Vice President of Social Advancement, a Vice President of Cultural Affairs, an Assistant Vice President of Cultural Relations, and a Senior Director of Social Embeddedness. The site visit included focused discussions with the above-mentioned stakeholders, and corroborating evidence was found through ASU's organizational chart. The locations of educational facilities and engagement with partners facilitate ASU students' learning and skill development, as well as contributions to surrounding communities. The site visit Team spent time on the Tempe and Downtown Phoenix campuses. The Sandra Day O'Connor College of Law is also located in Downtown Phoenix near the courts, agencies, county and municipal governments, and non-profit organizations in which law students gain experience serving clients through legal clinics and during externships. The Walter Cronkite School of Journalism and Mass Communication is located at the Downtown Phoenix campus with additional anchors in Los Angeles and Washington, D.C. Arizona PBS, the largest media outlet in the world operated by a journalism school, serves as the hub of the journalism "teaching hospital" and as a testing ground for innovative journalism.

ASU demonstrates clear and convincing evidence that it is committed to serving the public good in a

variety of ways including its affordable tuition and financial aid to students from all backgrounds. Central to the charter, this effort ensures that students from all walks of life can attend college, regardless of their financial means. Enrollment data and related cost of attendance data were evidenced through the assurance argument. During the site visit the Council of Student Government Presidents corroborated ASU's commitment to affordability. ASU offers a tuition-free college preparatory school referred as ASU Prep and an online school, both serving students in grades K–12. During the site visit, members of the ASU assurance argument steering committee described the above-mentioned initiative along with a host of other public goods partnering with community organizations to improve the quality of life for all. This includes working with organizations that address issues such as poverty, hunger, and homelessness. ASU's assurance argument evidenced a comprehensive strategic partnership with Starbucks that provides full tuition coverage for benefits-eligible employees and partners. Circumstantial evidence was shared about the Starbucks initiative during the site visit tour with members of the ASU administration.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

1.C - Core Component 1.C

The institution provides opportunities for civic engagement in a diverse, multicultural society and globally connected world, as appropriate within its mission and for the constituencies it serves.

1. The institution encourages curricular or cocurricular activities that prepare students for informed citizenship and workplace success.
2. The institution's processes and activities demonstrate inclusive and equitable treatment of diverse populations.
3. The institution fosters a climate of respect among all students, faculty, staff and administrators from a range of diverse backgrounds, ideas and perspectives.

Rating

Met

Rationale

ASU encourages curricular and co-curricular activities that prepare students for informed citizenship and workplace success in several ways. These include curricular requirements evidenced through ASU's general studies program which requires students to complete courses in cultural diversity and global awareness. Students in specific colleges are also required to complete credits in a foreign language or demonstrate proficiency. These requirements were circumstantially evidenced through discussions with deans during the site visit. ASU also offers a specialized study of human and cultural diversity via more than 41 undergraduate and 36 graduate degrees as evidenced in course catalogs. These offerings were substantiated during the visit through testimonies from students, faculty, and staff across the Tempe, West, Poly and Downtown campuses. Moreover, the team chatted with ASU stakeholders via zoom from locations outside the greater Phoenix area. ASU offers several co-curricular opportunities for students to learn and experience civic engagement in diverse, multicultural settings. These include the Next Generation Service Corps (NGSC), a four-year leadership development program where undergraduates study their chosen major, engage in practical elements of leadership, learn cross-sector collaboration, and complete summer internships in public, private, and nonprofit sectors while pursuing a social mission. ASU partners with several organizations to provide students with opportunities to learn and experience civic engagement. These include Peace Corps, Teach For America, and AmeriCorps. ASU also collaborates with service organizations to promote programming, prepare students for applications and interviews, and connect with service alumni. Corroborating evidence was presented by student tour guides who shared specific co-curricular involvement opportunities with the Site Team during the visit.

ASU is committed to creating a positive and inclusive educational and workplace environment as evidenced by the stories of diversity leaders across the institution. As part of this commitment, all members of the ASU community are required to complete Inclusive Communities training within 90 days of hire and with retraining every two years.

ASU's processes and activities demonstrate inclusive and equitable treatment of diverse populations as evidenced by its success metrics which are disaggregated by race, gender, mode of learning,

location, and other Title IX criteria. ASU has several initiatives, councils, committees, services, and resources in place to support students from all backgrounds. The Council of Coalitions collaborates to build community, foster a sense of belonging and respect, and provide community education. The Council offers diverse programming and activities, highlighting heritage months and incorporating the intersectionality of students through collaborations. The LIFT initiative, a university-wide effort launched to address social transformation, which is committed to implementing 25 actions designed to support Black faculty, staff, and students was evidenced in the assurance argument and discussed in detail during the Inclusive Excellence session with the Site Team. The American Indian Student Support Services (AISSS), which assumes fundamental responsibility for the academic and personal success of ASU's Indigenous students was highlighted as a source of strength along with the Pat Tillman Veterans Center, which aims to ensure military-connected learners and student veterans receive the support needed for success. As part of the Inclusive Excellence session during the site visit a student posited, "The greatest strength ASU continuously displays is its willingness to learn and grow. Pursuing DEI initiatives is dynamic and complex. ASU has taken every opportunity to learn from the community. There are several open lines of communication available for students, faculty, and staff to provide input. One of these is the Town Hall [the] President holds every semester to listen to the students." Opportunities for improvement include scaling communication across coalitions and councils focused on inclusive excellence. As one faculty member put it, "There is an opportunity to centralize multicultural communications to respective student, staff, and faculty audiences to explicitly convey and promote a sense of unified and intentional academic, professional, and personal support for our historically underserved communities." Furthermore, diversity across rank and track for faculty needs to be further explored. Further review of ASU faculty employment as of the fall of 2021, suggests males and females are equally represented in total headcount, 49.6% and 50.4% respectively. However, male faculty outpace females for more senior faculty roles including associate and full professor positions, whereas females tend to populate entry-level faculty roles including assistant professors, lecturers, and non-tenure track faculty positions.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

1.S - Criterion 1 - Summary

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

Rationale

The mission of ASU is clearly articulated through the charter and guides the university's vision, core values, and strategic framework. The mission drives ASU's planning and processes. ASU is a public research university that adopted the model of the New American University in 2002. This model is based on the belief that universities should be "measured not by whom they exclude, but by whom they include and how they succeed." In 2014, the Arizona Board of Regents (ABOR) endorsed ASU's vision as its Official Charter. ASU has grown significantly in recent years, and it is now one of the largest universities in the United States. It offers a wide range of programs and services, and it is known for its innovative research and its commitment to sustainability. ASU is a public enterprise supported by three pillars: Academic Enterprise, Knowledge Enterprise, and Learning Enterprise. Each pillar is led by an executive who ensures focus on increasing degree attainment, research and discovery, and broad access to learning resources at scale. ASU is committed to diversity, equity, and inclusion. The university has expanded its efforts in these areas, resulting in the continued growth of diversity among faculty, staff, and students. ASU is widely known for its long-term commitment to sustainability. The university has developed substantial private and public partnerships and initiatives that serve the public. ASU is a leading institution of higher education that is committed to serving the public. The university's mission, values, and initiatives reflect this commitment. Based on its charter, inclusion, innovation, sustainability, and community were major themes evidenced through the assurance argument, corroborated through testimonies from the leadership, and reinforced circumstantially through the site visit.

2 - Integrity: Ethical and Responsible Conduct

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

2.A - Core Component 2.A

The institution establishes and follows policies and processes to ensure fair and ethical behavior on the part of its governing board, administration, faculty and staff.

1. The institution develops and the governing board adopts the mission.
2. The institution operates with integrity in its financial, academic, human resources and auxiliary functions.

Rating

Met

Rationale

In 2014, the Arizona Board of Regents (ABOR) ratified the Vision as ASU's official charter, retaining original elements and committing to student success. ASU has provided evidence that integrity and ethics are critical in all university operations, including finances, academics, human resources, and auxiliaries. During the site visit, the regents could articulate the ASU's mission to serve the greater community and their role as regents. In our meeting with members of the ABOR, they aligned with the charter and were very informed about the fiscal health of ASU. In addition, the Assurance Argument provided evidence that ASU maintains a culture of integrity and ethics by reviewing policies and procedures to prevent and detect fraud, waste, and abuse. During the site visit, executive leadership team members shared that policies and practices are regularly evaluated and updated to ensure they are effective.

During the site visit, the CFO said the budgeting process supports the ASU charter. As cited in the Assurance Argument and affirmed by the Team's visit, ASU provided financial records that comply with all applicable laws and regulations. Also, ASU has created internal controls overseen by the Office of Business and Finance to prevent and detect financial improprieties.

As cited in the Assurance Argument and affirmed by the Team's visit, ASU upholds academic integrity by educating students about plagiarism, cheating, and other forms of academic misconduct. In addition, ASU has policies and procedures in place to investigate and address allegations of academic misconduct. Academic programs and faculty are evaluated regularly to ensure that they are meeting the highest standards of quality.

As cited in the Assurance Argument and affirmed by the Team's visit, ASU strives to ensure that all employees are treated fairly and respectfully. ASU has policies and procedures to mitigate discrimination, harassment, and retaliation. In addition, regular evaluations of employee

performance are conducted to ensure that all employees are meeting their job responsibilities and contributing to the charter.

As cited in the Assurance Argument and affirmed by the Team's visit, auxiliary functions, such as housing, dining, and transportation services, are critical components of the university operations. ASU ensures that these services are provided with integrity and ethics and that the safety and well-being of students and staff are a top priority. In some cases, auxiliary units also interact with outside agencies which provide review and accreditation to standards and expectations promulgated by those agencies (i.e., ASU Health Services accreditation by the Accreditation for Ambulatory Health Care).

In summary, ASU has provided sufficient evidence that maintaining integrity and ethics in all aspects of university operations is critical to ensuring the success and reputation of the institution. Reviewing materials and conversations with campus constituents affirms that ASU operates with integrity and follows policies and processes for fair and ethical behavior by its governing board, administration, students, faculty, and staff.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

2.B - Core Component 2.B

The institution presents itself clearly and completely to its students and to the public.

1. The institution ensures the accuracy of any representations it makes regarding academic offerings, requirements, faculty and staff, costs to students, governance structure and accreditation relationships.
2. The institution ensures evidence is available to support any claims it makes regarding its contributions to the educational experience through research, community engagement, experiential learning, religious or spiritual purpose and economic development.

Rating

Met

Rationale

As cited in the Assurance Argument and affirmed by the Team's visit, the ASU Charter provides an overlying framework of what the university hopes to accomplish in summary. ASU takes several measures to ensure the accuracy of any representations regarding academic offerings, requirements, faculty, and staff, costs to students, governance structure, and accreditation relationships.

As cited in the Assurance Argument, several key data stewards are responsible for data, including the Office of the Registrar, Human Resources, Enrollment Services, and the Office of Evaluation and Education Effectiveness. As affirmed by Team's visit, these units are responsible for the accuracy and maintaining data and undergo training and audits to ensure data integrity and collaboration across departments to maintain data consistency, appropriate usage, and accuracy. Students, staff, administrators, and faculty verified the collaborative and consultative process during the site visit.

As cited in the Assurance Argument and affirmed by the Team's visit, ASU enriches students' educational experiences through research, community engagement, and experiential learning. ASU maintains multiple data dashboards open to the campus community to mark progress toward strategic objectives and university benchmarks. In addition, ASU provides institutional analysis via publicly available reports, including enrollment statistics; ASU's Common Data Set; a ten-year review of students, faculty, and staff; and the State of Arizona master list submission. Additionally, ASU provides information to the university community through leadership via Academic Enterprise Dashboards (5.A.2.) to monitor its strategic planning efforts. During the site visit, the College of Liberal Arts and Science provided evidence on the Online Undergraduate Research Scholars (OURS) Program to demonstrate ASU's contributions to educational experiences through research and experiential learning. During the Team's visit, student tour guides shared other information on student resources, including community engagement opportunities, scholarships, study abroad opportunities, and internships.

As cited in the Assurance Argument and affirmed by the Team's visit, ASU is committed to providing accurate and up-to-date information to its students, faculty, staff, and other stakeholders, and takes several measures to ensure the accuracy of any representations it makes regarding

academic offerings, requirements, faculty, and staff, costs to students, governance structure, and experiential learning. The evidence supports that ASU presents itself clearly and completely to its students and the public.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

2.C - Core Component 2.C

The governing board of the institution is autonomous to make decisions in the best interest of the institution in compliance with board policies and to ensure the institution's integrity.

1. The governing board is trained and knowledgeable so that it makes informed decisions with respect to the institution's financial and academic policies and practices; the board meets its legal and fiduciary responsibilities.
2. The governing board's deliberations reflect priorities to preserve and enhance the institution.
3. The governing board reviews the reasonable and relevant interests of the institution's internal and external constituencies during its decision-making deliberations.
4. The governing board preserves its independence from undue influence on the part of donors, elected officials, ownership interests or other external parties.
5. The governing board delegates day-to-day management of the institution to the institution's administration and expects the institution's faculty to oversee academic matters.

Rating

Met

Rationale

ABOR consists of twelve members (eleven voting and one non-voting). In addition, ABOR includes the governor and superintendent of public instruction as ex-officio members, each serving while they hold office, and two student regents. Except for ex-officio members and student regents, and as noted, a regent's term is eight years. Arizona Revised Statute (A.R.S.) 15-1626 (general administrative powers and duties of the Board: definition) states, "...The Board shall appoint and employ and determine the compensation of presidents with such power and authority and for such purposes in connection with the operation of the institutions as the Board deems necessary." ABOR delegates the day-to-day management of the institution to each of the university presidents in the Arizona University System.

ABOR is responsible for overseeing the management and operation of ASU. The president is given the power to appoint persons to all positions within the institution and approves all faculty and staff changes, subject to ABOR policies and practices. During our site visit, the Regents affirmed that ABOR engages in professional development regarding board governance. To fulfill this responsibility, as evidenced by ABOR minutes (April 2023), the regents engage in annual training activities designed to enhance their knowledge and skills related to board governance.

As cited in the Assurance Argument and affirmed by the Team's visit, ABOR receives, reviews, discusses, and possibly acts upon information gathered from internal constituencies. For example, according to the ABOR website, the regents receive regular updates and reports from ASU's senior leadership team, including the President, Provost, and Chief Financial Officer. These reports cover various topics, including enrollment, academic programs, research activities, and financial performance. In addition, the Board also receives updates on key initiatives and strategic priorities, as well as updates on issues that may impact the university's operations or reputation.

Corroborated by ASU senior leadership, ABOR also receives information and updates from various internal constituencies, including faculty, staff, and students. For example, as evidenced by the Assurance Argument, the Board gets updates from the Faculty Senate, the Staff Council, and the Undergraduate Student Government. These updates provide the Board with insights into the perspectives and concerns of various stakeholders and help inform the Board's decision-making.

A review of ABOR websites and conversations with ABOR members, campus, and university administrators, indicate to the team that ABOR have a direct communication line to the University president. Therefore, the visiting team concludes that the relationship between ABOR and ASU is strong and does present opportunities for promoting the campus needs; however, it appears that the institution is sufficiently autonomous to make decisions that are in the best interest of its faculty, students, and staff.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

2.D - Core Component 2.D

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

Rating

Met

Rationale

In 2018, ABOR adopted Policy 1-124 (Free Expression), calling for establishing a committee on free expression composed of representatives from the three universities and ABOR. ASU values academic freedom and is committed to the principles of academic freedom and the free exchange of ideas. ABOR's academic freedom policy outlines the rights and responsibilities of faculty members, students, and staff in academic affairs.

According to the ASU policy on academic freedom, "The University affirms and protects the freedom of inquiry by faculty members and students to pursue and discuss knowledge and understanding in the classroom, in research and creative activity, and public forums, subject to the standards of professional ethics and the principles of academic responsibility as established by the appropriate disciplinary associations." The policy also states that "ASU supports the right of faculty members and students to explore and express controversial opinions, including opinions that are unpopular or that may be considered offensive by some." However, such expression is expected to be conducted respectfully and civilly that does not interfere with the rights of others.

As cited in the Assurance Argument and affirmed by the Team's visit, ASU is committed to fostering intellectual freedom and academic excellence environment where diverse perspectives are respected, and ideas are freely exchanged. ASU believes that academic freedom is the cornerstone of the academic enterprise and that the university's responsibility is to be the marketplace of free ideas, creating and disseminating new knowledge. Accordingly, the University Academic Council (2018) formally adopted the core principles of the Chicago Statement of Freedom of Expression.

As cited in the Assurance Argument and affirmed by the Team's visit, the President renewed ASU's commitment to free speech, civil discourse, and student conduct (2019). The president's statement reinforced that ASU condemns behaviors and actions that threaten or intimidate any individual or group of individuals based on race, color, religion, age, national origin, sex, sexual orientation, gender identity/expression, disability, veteran status, or any other particular status. As cited in the Assurance Argument, new students complete training about free speech as part of the orientation experience. Data are collected each fall to monitor the completion of this requirement; most (78.98%) new students viewed the video in the fall 2022. In part, the video tells students that "ASU respects the First Amendment and honors the marketplace of ideas even if the views differ from ours."

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

2.E - Core Component 2.E

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

1. Institutions supporting basic and applied research maintain professional standards and provide oversight ensuring regulatory compliance, ethical behavior and fiscal accountability.
2. The institution provides effective support services to ensure the integrity of research and scholarly practice conducted by its faculty, staff and students.
3. The institution provides students guidance in the ethics of research and use of information resources.
4. The institution enforces policies on academic honesty and integrity.

Rating

Met

Rationale

ASU is dedicated to the highest research integrity standards and is committed to responsible and ethical conduct for all research participants. ASU has demonstrated that it has standard protocols to ensure ethical practices and safeguard research integrity.

ASU is a research-intensive institution with a broad range of research activities spanning multiple fields, including science, engineering, social sciences, humanities, and the arts. Some notable research areas at ASU include sustainability, renewable energy, biomedicine, social and behavioral sciences, and global health. ASU established the Office of Knowledge Enterprise Research Administration, which offers oversight, training, and assistance in ensuring ethical research conduct.

ASU has several offices and committees that oversee research activities and ensure compliance with ethical and regulatory guidelines. ASU advisory and oversight groups include Institutional Review Boards (IRB), Institutional Animal Care and Use Committee (IACUC), and Institutional Biosafety Committee (IBC). Health and Safety issues are also monitored by the Public Safety Advisory Committee (PSAC). In addition, ASU regulations and policies ensure the responsible acquisition, discovery, and application of knowledge by its faculty, students, and staff.

As cited in Assurance Argument and affirmed by Team's visit, the Institutional Review Board (IRB) is one of the key oversight bodies at ASU. The IRB is responsible for reviewing and approving all research involving human subjects to ensure the research is conducted ethically and follows federal regulations. The IRB reviews research proposals to assess risks to human subjects, the adequacy of informed consent, and the overall ethical soundness of the research design.

As cited in the Assurance Argument and affirmed by the Team's visit, ASU provides training and support for students, faculty, and staff who engage in research to ensure they understand and adhere to ethical research standards. ASU requires all researchers to complete training in responsible conduct of research, which covers topics such as data management, conflicts of interest, authorship,

and research misconduct.

As cited in the Assurance Argument and affirmed by the Team's visit, ASU promotes ethical research practices. Researchers are encouraged to report any concerns or ethical violations during their research. The university has established policies and procedures for investigating and addressing any reported violations of ethical research standards.

ASU places a strong emphasis on teaching students about the ethics of research, including proper citation and avoiding plagiarism. Students are taught these topics through various channels, including classroom instruction, workshops, and online resources. Instructors across all disciplines at ASU are expected to include instruction on research ethics in their courses. Training includes teaching students about citing sources properly, avoiding plagiarism, and other ethical considerations when conducting research. The university takes these issues seriously and has resources available to assist students with questions or concerns about research ethics.

As cited in the Assurance Argument and affirmed by the Team's visit, ASU has a strict student academic dishonesty policy outlined in the Student Academic Integrity Policy. The policy defines academic dishonesty as any deception that misrepresents a student's work, including cheating, plagiarism, falsification, and facilitation of academic dishonesty. Overall, ASU takes academic dishonesty seriously and has a thorough adjudicated procedure. The university also takes proactive steps to prevent academic dishonesty through education and awareness, technology, faculty training, and an honor code.

The assurance argument provides evidence that appropriate processes and policies are implemented and enforced related to the responsible acquisition and application of knowledge at ASU.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

2.S - Criterion 2 - Summary

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

Rationale

Evidence shows that ASU acts with integrity and is conducted ethically and responsibly. ASU participants in the site visit stated that the charter serves as its “North Star.” As such, offices, systems, and procedures are in place to provide training regarding ethical standards, oversight and monitoring, and reporting Conflict of Interest. In addition, there are mechanisms to report violations of policies and practices and a hotline for third-party and anonymous reporting.

ASU provided the artifacts, evidence, and arguments for meeting this component, and the site visit corroborated the evidence within the Assurance Argument. ASU operates with integrity throughout the enterprise. ASU has policies and procedures to safeguard the integrity of its educational, fiscal, and human resources. ABOR upholds the mission of the University, participates in high-level strategic planning, and receives relevant information to make informed budgetary and strategic decisions to safeguard the institution’s future.

ASU provides data transparently and consistently, with stakeholders collaborating in numerous ways of disseminating the data, including University dashboards. The University also has policies to ensure academic freedom and freedom of expression to fulfill its charter.

As cited in the Assurance Argument and affirmed by the Team's visit, ASU acts with integrity, and its conduct is ethical and responsible. The university is committed to compliance with applicable laws and regulations, has established policies and procedures to ensure ethical behavior, and holds itself accountable for its actions. ASU also demonstrates its commitment to responsible behavior through community engagement and has received recognition for its sustainability efforts and commitment to social responsibility.

3 - Teaching and Learning: Quality, Resources and Support

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

3.A - Core Component 3.A

The rigor of the institution's academic offerings is appropriate to higher education.

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

Rating

Met

Rationale

As cited in the Assurance Argument and affirmed by the Team's visit, ASU offers more than 9,200 courses across 800 undergraduate and graduate degrees, minors, and certificates based on a collective search within the current course catalog. These courses are clearly delineated within the university catalog by student performance and expected outcomes by course level and program goals. Undergraduate, graduate, professional, and certificate courses are uniquely defined and complimented within the plans of study and catalog with omnibus courses across programs.

All courses and programs are reviewed at multiple levels within the institution as proposed by the Provost's, University Senate, and Graduate Council websites collectively. The review process using the Quality Matters (for online courses) and the Quali Course (KC) Management systems allow faculty and administrators to compare new courses to existing courses and programs. This ensures the unique contribution of courses and programs to the curricular offerings in terms of student performance expectations and learning outcomes. More about the review process is provided in Criterion 4.

All courses and programs, regardless of how they are delivered or which campus delivers the content, are initiated, reviewed, approved, and monitored using the same process described earlier according to the ABOR policy (2-224), the clear procedures on the University Provost's website, and individual websites for departments. Thus, the process requires all courses and programs to provide a rationale, assessment plan, curricular map, and outline the course content for the review process. Administrators and faculty noted the benefits of tools like the KC online platform for course development and Curriculum ChangeMaker for making connections across the university,

collaborating with faculty who are in similar areas, and avoiding duplication of courses. All courses and programs originate at the individual unit/department level and proceed through the college, school, senate/council, Provost, and ABOR process.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

3.B - Core Component 3.B

The institution offers programs that engage students in collecting, analyzing and communicating information; in mastering modes of intellectual inquiry or creative work; and in developing skills adaptable to changing environments.

1. The general education program is appropriate to the mission, educational offerings and degree levels of the institution. The institution articulates the purposes, content and intended learning outcomes of its undergraduate general education requirements.
2. The program of general education is grounded in a philosophy or framework developed by the institution or adopted from an established framework. It imparts broad knowledge and intellectual concepts to students and develops skills and attitudes that the institution believes every college-educated person should possess.
3. The education offered by the institution recognizes the human and cultural diversity and provides students with growth opportunities and lifelong skills to live and work in a multicultural world.
4. The faculty and students contribute to scholarship, creative work and the discovery of knowledge to the extent appropriate to their offerings and the institution's mission.

Rating

Met

Rationale

The 2017 HLC review previously described the impetus behind recent examinations of the general education curriculum at ASU. Since that review, the faculty in select colleges piloted a revised structure but the findings, which were presented to ABOR, revealed these changes were not scalable to the other campuses, particularly those with larger groups of students. In response to this finding, several document discussions between ASU and ABOR have resulted in a proposed plan for a different structure that would emphasize one dimension of the general education curriculum in a pilot rather than the entire program. Within faculty sessions of the site visit, faculty and administrators associated with the undergraduate curriculum noted they had started to map existing courses within the general education curriculum but had not completed this process and would not have the proposed structure or plan for several months. In the meantime, students may obtain general education using the previous model for general education according to the University General Studies Council Policies. Furthermore, general education designations within the class search from the ASU catalog and minutes from the University General Studies Council and the Curriculum and Academic Programs Committee (CAPC) minutes demonstrate that new courses have been proposed and approved under this structure for now.

As cited in the Assurance Argument and affirmed by the Team's review, the current general education curriculum for undergraduates at ASU represents between 29 (for associate degree) and 35 (for baccalaureate degree) credit hours of lower-division courses. As noted within the ASU catalog, credit transfer is possible for students within the Arizona system who have a cumulative grade point

average of 2.50 or higher because of the agreement and its alignment with the ASU mission and larger collegiate system in the state. Students from all campuses and online are required to complete lower level general education courses. ASU has scaled its general education resources to meet this need by both ensuring general education courses associated with degrees on a particular campus are physical present on that campus and that general education courses are also available online. Faculty in the site visit meetings describe this requirement as efficient rather than burdensome. Specifically, they note that having the online content makes it “moveable” for other purposes. Another faculty who offers writing courses expressed support for this effort from EdPlus and other campus services noting being present on all campuses ensures support of faculty and helps embed the curriculum early for students.

The general education courses are reviewed and approved by the University General Studies Council (UGSC). This council’s mission, composition, and processes are clearly listed on their website. Members include faculty, staff, student representatives and an ex officio member, which is the faculty senate president. According to the UGSC’s website, this review body determines general education course adherence to criteria, the sequence, and larger academic plan for the university. The current structure also continues to be assessed with recent reports from ASU’s quality initiative report in 2021.

In the near future, ASU faculty will be completing their course review and next pilot of a general education curriculum organization that aligns with ABOR policy 2-210 more closely. The goal is to test feasibility of this new structure prior to implementation. This new structure will draw inspiration from the ASU charter and include seven knowledge areas with six cross-cutting competencies.

As noted earlier, the structure and philosophy of the general education curriculum at ASU has been moving through a transition period since the last review and reporting period. Data from multiple pilots has shown one model and approach as not scalable at ASU. These initial efforts were completed as the first response to directives from ABOR for general education curricula among state institutions. Using that feedback as well as ongoing assessments of the existing general education curriculum, faculty and administrators described an ongoing process (tentatively set for completion in 2024) during the site visit that would set forth a different model/approach. Additional information and an update on this process would be advisable given the extent of the changes and alignment with ABOR.

The current (and proposed) structure incorporates courses representing diversity in the United States and globally. Additional elements emphasize diversity in the sciences and humanities as a thread within these batches/sequences. The proposed structure also incorporates applied experiences with diversity through learning objectives in the Global Communities, Societies, and Individuals course that include analyzing, interacting, recognizing and enhancing. This exposure to diverse student backgrounds is also obtained through the Global Education Office offerings and the online Global Tech Program.

As cited in the Assurance Argument and affirmed by the Team's visit, ASU's faculty have produced strong research and have increased productivity over the past review period. These efforts have been recognized in various national comparisons to peers as growing substantially over time. Faculty success incorporates student opportunities complimenting the graduate course offerings particularly for graduate students. During the site, faculty emphasized the importance of supporting graduate programs but also noted the need to increase non-grant related graduate stipends as the number of graduate students seeking emergency funding is rising.

Finally, student success is monitored also in terms of their work dissemination. Between 2017 and 2020, slightly less than half of current and graduated doctoral students published their work in peer-reviewed journals. More than 8,000 publications were documented during this period. During the site visit, faculty and students identified some factors that may have been associated with this increase. These factors included: a) increasing a product within courses that included the development of an initial manuscript draft; b) linking undergraduate to graduate opportunities thus increasing awareness of opportunities and potential funding; and c) increased assistance with navigating funding and writing proposals. The team did note that while the graduate productivity appeared to be increasing in many areas, attention should be given to other metrics of graduate productivity that have decreased during the review period. Information provided by the University Provost's Office from the past five years illustrated a gradual decline in total doctoral enrollment, achieved candidacy, and degrees awarded. Consideration of potential factors contributing to declining participation and completion of doctoral programs would be advisable as growth in the online, master's degrees, and breadth of offerings continues.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

3.C - Core Component 3.C

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

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

Rating

Met

Rationale

As cited in the Assurance Argument and affirmed by the Team's review, the ASU faculty is more diverse than it has been in the past decade. Minority representation within the university increased by 3% among faculty and 5.3% among staff during that period. The diversity among faculty and staff paralleled a 9.1% increased minority representation within the student body. The proportion of females also increased during this time among faculty, staff, and students. These documented changes of diversity within the university exceeded national expectations set in 2020. An increasingly diverse faculty, staff, and student body mirrors the charter and mission of ASU.

Recent reports from ABOR minutes note that 5,248 faculty are employed at ASU and that faculty size is enough to fulfill the current faculty responsibilities outlined in ASU policy. The team was mindful of comments made throughout the site visit, which suggested more faculty would be needed in the near future as the online student enrollment continues to grow. Currently, one-third of ASU faculty body have a regular contract, slightly less than one quarter have temporary positions, and another 39% are tenured or on the tenure-track. Representatives from the Provost's Office and administrators from select campuses noted the focus on tenure track positions at ASU in the coming years with targeted recruitment in select areas where growth in student enrollment has been documented. The current student to faculty ratio is 18.4:1 for campus and 25:1 for online.

As cited in the Assurance Argument and affirmed by the Team's visit, ASU has a documented process for reviewing candidates for instructor positions that emphasizes the qualifications, reviews candidates in terms of shared missions and employees that would exemplify ASU's mission and larger academic charter. Job descriptions specifically outline activities and qualifications needed for certain positions within certain departments/units who will be expected to complete specific activities for the university's mission. Expectations are sustained and further aligned through annual performance reviews and an established promotion and tenure process that reflects a fitting track and activities the employee is completing.

Multiple processes are in place at ASU to review the performance of instructors on a regular basis. These plans align with ABOR (6-201 and 6-211) and university (ACD 506-10) policies of all instructors on campus and online. These processes include student evaluations at course completion, annual performance reviews that incorporate the student evaluations as well as products developed by the instructor during the performance period. Promotion and tenure reviews occur at critical periods based on several established policies (ACD 506-05; 506-04). As an instructor progresses through his/her career, a post-tenure review is documented for sustained contribution in that role. Lastly, non-tenure eligible reviews occur for this particular group. Across all evaluations, criteria for those evaluations are clearly documented in promotion and tenure guidelines, evaluation procedures, and other policies.

As cited in the Assurance Argument and affirmed by the Team's review, there are many professional development opportunities at ASU for beginning faculty (new faculty orientation), sustained faculty involvement (orientation to campus resources), online instruction (Online Faculty Center, Master Class), and opportunities for growth, research, and innovation (internal funds for travel, development, continuing education). Faculty participating in the site visit highlighted the value of curriculum design and grant writing professional development opportunities in particular.

According to ASU policy ACD 305-05, any person who teaches a course is expected to be available to students beyond class meeting times regularly. Additional opportunities to meet by appointment beyond office hours is required to meet student needs. Faculty contact information is noted on key documents such as syllabi and key websites for departments. Faculty and staff directories are also available on the departmental websites.

Clearly defined education, experiences, and expectations for staff members providing student support services are available in hiring documents across the university. These individuals receive initial training after they are hired at ASU. Additional training is provided regularly based on their role and in line with the ASU charter and mission.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

3.D - Core Component 3.D

The institution provides support for student learning and resources for effective teaching.

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

Rating

Met

Rationale

As cited in the Assurance Argument and affirmed by the Team's review, ASU provides a breadth of resources for students designed to slowly orient them to the campus, curriculum, delivery of materials, available student services, and opportunities to build their own experiences while enrolled in the university. These resources start to be delivered before a student starts classes and continues (in various forms and purposes) throughout the first and second year of study. Introductions to services like peer coaching, career exploration, more advanced courses, and the university (campus and digital presence) are at the center of the early resources. Students can later access more applied resources (Smart Thinking 24/7) that are particular to an area of study and online as they move into more advanced studies. Collectively, these materials appear to be similarly structured for all ASU students.

ASU Advisors have particular job description requirements and continued professional development obligations to complete their job successfully based on examples of hiring documents in the assurance argument. When interacting with ASU students, advisors use electronic tools within eAdvisor to enhance and support student success. Other tools such as PeopleSoft incorporate sample planners for students to manage their time at ASU. Lastly, students often experience transfer credit, changes to their initial plans, major shifts, and more. Advisors may utilize and support student use of software from Credit Maximizer and other degree planning software to see opportunities for incorporating their existing credit, reducing their time and fiscal obligations due to the change, and modifying their career goals as needed. ASU additionally implements a 24/7 chatbot option (Sunny), which compliments advising time during business hours. Students and faculty referred to chatbot services during the site visit and noted the value of these options, particularly for graduate and online students.

As cited in the Assurance Argument and affirmed by the Team's review, there are several examples of enhanced learning environments. ASU has established instructional spaces with borderless

capacity for students to access materials from different locations with ease. Prior to the epidemic, large instructional spaces could be accessed without being there physically, making these spaces accessible to more people (students and the public). These spaces included experiential learning areas, clinic spaces, and instructional spaces used for creativity, performance, and applied learning. When the epidemic started, classrooms were quickly enhanced with tools necessary to connect instructors and students from remote settings. Zoom was a staple software during this period with synchronous courses largely used through ASU Sync as well. As the epidemic continued, the university focused on computing, instructional, and research areas. These efforts sustained labs, computing capacity and imaging to sustain learning in the applied levels of training and research. Collaborative opportunities such as Dreamscape Learn (merging advanced storytelling and virtual reality for instruction) was launched in 2021 noting growth in partnerships and student instructional support. Collectively, these environments are used by students on campus and online and are universally used across programs as means of delivering (and enhancing) the classroom experience.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

3.S - Criterion 3 - Summary

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

Rationale

The assurance argument and complimentary evidence accrued during the site visit supports ASU's commitment to high quality education for all students. The Team's review confirmed the rigor of each course and clear delineation of goals for programs. Despite being in current transition, the faculty, students, and administrators describe an equitable contribution to the development of an approach that is scalable to all ASU students and meets the expectations of the university charter. Continued review of their progress over time will be important to ensure continued work in the general education curriculum area. Faculty are highly competent to complete their roles and meet the established student outcomes across programs. The Team's review noted the need to regularly assess faculty student ratios as the student body grows. Student support staff are equally competent to providing increasingly sought services by all students. Technology and advanced learning environments compliment the workforce at ASU to provide a high quality environment for all ASU students.

4 - Teaching and Learning: Evaluation and Improvement

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

4.A - Core Component 4.A

The institution ensures the quality of its educational offerings.

1. The institution maintains a practice of regular program reviews and acts upon the findings.
2. The institution evaluates all the credit that it transcripts, including what it awards for experiential learning or other forms of prior learning, or relies on the evaluation of responsible third parties.
3. The institution has policies that ensure the quality of the credit it accepts in transfer.
4. The institution maintains and exercises authority over the prerequisites for courses, rigor of courses, expectations for student learning, access to learning resources, and faculty qualifications for all its programs, including dual credit programs. It ensures that its dual credit courses or programs for high school students are equivalent in learning outcomes and levels of achievement to its higher education curriculum.
5. The institution maintains specialized accreditation for its programs as appropriate to its educational purposes.
6. The institution evaluates the success of its graduates. The institution ensures that the credentials it represents as preparation for advanced study or employment accomplish these purposes. For all programs, the institution looks to indicators it deems appropriate to its mission.

Rating

Met

Rationale

As cited in the Assurance Argument and affirmed by the Team's visit, ASU conducts a formal internal program review of all existing undergraduate, graduate, and certificate programs every seven years as required by the Arizona Board of Regents (ABOR) Policy 2-225 (formerly 2-208). As outlined by the board policy, the program review is coordinated at the department level and in some cases at the college level. The review process is coordinated by the executive director of University Program Review and Accreditation. As reviewed by the Team, the program review schedule is available online through the University Program Review and Accreditation Office (UPRA Office). Programs are listed by colleges and schools, and then by specific programs currently ranging from 2022-2029.

Programs with specialized accreditation are allowed to use the accreditation report to substitute for

the Academic Program Review (APR). The APR Manual, available on the UPRA Office website, provided detailed directions for the APR process, including preparation, a self-study outline, guidance for the site visit, and the unit's response, which are consistent with the guidelines outlined in the ABOR Policy 2-225. The two examples of self-study reports affirmed that the schools and departments follow the guidelines provided by the UPRA Office.

As cited in the Assurance Argument and affirmed by the Team's visit, ASU utilizes the unit of credit as defined by the ABOR Policy 2-224. This policy defines a unit of credit as an hour of work equivalent to 50 minutes of class time or 60 minutes of independent study work. A minimum of 45 hours of work by each student is required for each unit of credit. Specific definitions are provided for workshops, studios, laboratory courses, field trips, internship or practicum, music instruction, as well as off-campus courses regardless of mode of delivery. In addition, definitions are provided for credit for courses developed under contract, credit for current or former military members, as well as undergraduate credit for advanced placement, Cambridge International, CLEP, Dantes Subject Standardized Tests, and International Baccalaureate Examination.

ASU has a robust website (which is part of their academic catalog) for transfer students that explains how ASU accepts college-level credit from students who have received a grade of "C" or better from regionally accredited colleges or universities. A maximum of 64 semester hours of lower-division credit will be accepted and an unlimited number of credit hours is accepted from four-year institutions. ASU utilizes the American Council on Education guidelines to determine transferability of military credits. In addition to the website, ASU also provides transfer students with the office of Academic Transfer Credit Solutions as a resource, as well as evaluates transfer credit. It was an intentional decision to place the office under the Vice Provost for Undergraduate Education, in order to emphasize ASU's commitment to the academic responsibility of transfer credit and not an additional function for enrollment or registration. Evaluation guidelines are defined in collaboration with the office of Academic Transfer Credit Solutions and faculty within the specific discipline. An additional resource provided to transfer students is the *MyPath2ASU* tool, which permits students an opportunity to identify which courses will transfer directly into an ASU degree program to minimize the loss of credits.

As cited in the Assurance Argument and affirmed by the Team's visit, ASU's faculty maintains authority over planning courses and degree programs. The ASU Academic Affairs Manual outlines faculty responsibilities which determine class duties such as examinations and grade posting. The manual also includes definitions for both the Graduate Council and the Academic Administration Advisory Council, which both are charged with procedural matters related to academic areas. The Curriculum and Academic Programs Committee [noted as one of the Academic Affairs committees within the Senate Standing committees- see Bylaw II of University Senate (ACD 112-01)] includes one representative from each college, serving two-year terms, replacing half of the membership each year. Similarly, the University Graduate Council includes representation from each of the colleges. Both groups oversee the development of courses and programs, determining the breadth, depth, and rigor; learning outcomes; as well as core and elective courses. The approval process is vetted from the committees through the University Senate and Office of the Provost utilizing the KC Management system. From the visit, faculty shared that as part of the course development process, student learning outcomes are defined before a course description is written. The KC system helps faculty guide the course development through student learning outcomes, as well as curriculum mapping to assist in the approval process. This "reverse engineering" concept is further evidence of the commitment ASU has for the emphasis on student learning. The faculty qualifications are defined within Criterion 3.

As cited in the Assurance Argument and affirmed by the Team's visit, ASU awards transfer credit coordinated by the AZTransfer system. The AZTransfer system is a collaboration between three public colleges, ten community colleges, and two tribal colleges within the state of Arizona. This organization of a steering committee of academic leaders supports the successful transfer of credits to Arizona's public universities. The AZTransfer Handbook & Policy Manual includes a course equivalency guide that identifies which courses from the Arizona community colleges transfers to the three public universities. To clarify, ASU does not directly award dual level credit. This service is through the community colleges and then credit is determined by the AZTransfer system.

As cited in the Assurance Argument and affirmed by the Team's visit, ASU offers over 50 academic degree programs with specialized accreditation. A review of six status letters from specialized accreditors demonstrated that these programs maintain quality and remain in good standing. Programs that are assessed through a specialized accreditation were identified at: <https://provost.asu.edu/accreditation/programs-specialized-accreditation>. According to the ABOR 2-225, an accreditation review may be used in place of the campus review process as long as it meets all the criteria established by the board and the university.

As cited in the Assurance Argument and affirmed by the Team's visit, ASU's Career and Professional Development Services provides students with numerous services for career exploration and readiness, career fair opportunities, as well as webinars designed to assist graduates for success. In addition, ASU partners with the National Association of Colleges and Employers (NACE's) First-Destination survey. This feedback provides the institution with insight regarding students' employment status, salary, job location, and job function. Also, the survey helps identify students who have continued their education, how students feel about career preparedness, and trends coupled to academic majors and employment characteristics. The institution shares the information with colleges to help them assess students' preparation for careers and other post-college results. Along with the surveys, ASU has utilized rankings as indicators to measure the success of their graduates. The Team's visit supports that data is reasonably utilized by ASU to provide evidence of their graduate's success.

No Interim Monitoring Recommended.

4.B - Core Component 4.B

The institution engages in ongoing assessment of student learning as part of its commitment to the educational outcomes of its students.

1. The institution has effective processes for assessment of student learning and for achievement of learning goals in academic and cocurricular offerings.
2. The institution uses the information gained from assessment to improve student learning.
3. The institution's processes and methodologies to assess student learning reflect good practice, including the substantial participation of faculty, instructional and other relevant staff members.

Rating

Met

Rationale

As sited in the Assurance Argument and affirmed by the Team's visit, ASU has an effective methodology for assessment of student learning. The University Office of Evaluation and Educational Effectiveness (UOEEE) oversees the assessment activities, including support to assist programs in the development of learning outcomes and program goals that are measurable and tied to the University's mission and charter, as well as on-going support through regular feedback to academic programs. In addition, the UOEEE website provides a vigorous set of resources to guide faculty through creating program goals, program learning outcomes, and measurable concepts and competencies that are directly tied to the learning outcomes. Definitions are also provided for direct and indirect measures.

As noted in the Program Assessment Handbook, assessment plans include the following elements: mission statement, program goals, program learning outcomes, concepts, competencies, assessment mapping, assessment process, measures, the performance criteria, as well as general education (for undergraduate programs). All programs and certificates are required to include the majority of these elements in their assessment plans. The UOEEE formally evaluates the unit's assessment plan during the curriculum proposal stage, as well as during the Academic Program Review process.

Every academic program (including degrees and certificates) is expected to participate in an annual assessment of student learning outcomes to demonstrate a continuous improvement process over an academic year from June to May. Specific due dates for the assessment reports are determined by each program's delegate, which are designated faculty or staff that oversees the reporting process. These reports are included in the Academic Program Review process as well. A review of the samples provided in the assurance argument demonstrated that direct feedback is presented to the programs from staff within the UOEEE on the strength of their outcomes and strategies for improvement are provided.

Since 2022 the UOEEE requested departments with online programs to disaggregate their report findings to help examine learning within this significant sub-population of students. Academic

programs have utilized ASU's EdPlus Action Lab to gain additional understanding on student progress and how to use data from multiple sources to make curriculum changes. This feedback provides evidence that the institution is committed to a continuous improvement process.

It was noted in the Assurance Argument that outcomes are available for public viewing from the institution's online academic catalog. However, from an exploration of Degree Search, it was discovered that a number of programs did not list outcomes. The Team encourages the university to review and recommend programs to incorporate the learning outcomes into their overview pages for each degree program. Outcomes may exist for the program, but consistency should be used in placing that information in the online academic catalog.

The Office of Educational Outreach and Student Services utilizes data to help their teams track actionable methods that promote student success. Evidence for Trio Student Support Services was presented as retention rates and sixth-year graduation rates. However, it was unclear if the program reported on the three elements noted in the assurance argument, including what was impacted, who was impacted, and the extent to which it was successful. While the surveys of different student populations provide guidance for establishing goals within numerous areas of the EOSS, these programs do not necessarily define goals that are directly tied to the academic mission of the university. The Team was not able to identify evidence that defined co-curricular activities within the Assurance Argument. The Team recommends that ASU spend time in developing a clear distinction between co-curricular activities and extra-curricular activities.

As cited in the Assurance Argument and affirmed by the Team's visit, ASU utilizes the information gained through the annual reporting and the Academic Program Review to improve curriculum and pedagogical initiatives. Based on the evidence presented, the annual report template provides programs with an opportunity to reflect on the assessment findings and propose initiatives for improvement. Notably, it is meaningful to observe that departments are beginning to appreciate the need for more direct evidence mapped to specific curriculum as compared to indirect (student surveys) evidence to help them improve student learning. In addition, the template identifies participating faculty and staff who played a role in the assessment report which supports good practice related to the academic assessment process.

The evidence presented in the Assurance Argument demonstrates that the institution is making great strides in developing and implementing efforts to assess student learning. In the UOEEE Assessment Update from the winter of 2023, the office manages more than 1,200 academic programs assessment activities. Academic programs are expected to perform assessment on three program learning outcomes each year. Each outcome has two measures resulting in a total of six measures or data points annually. Reporting exceptions are made for new programs with less than 20 students, small programs with less than 20 students, or programs that are in the process of being deleted and enrollment has dropped below 20 students. A rubric was added in 2022 to provide for systematic reviews of assessment reports, allowing programs to identify trends within the college. Additionally, delegates found that the rubric assisted with standardizing feedback and expectations. As a result, the rubrics have been implemented for both the assessment plans and annual reports. The rubric categories include exceptional, adequate, not adequate, and no evidence. Early results have demonstrated that 432 assessment reports were submitted by January 2023. In addition, the update included a status report on the number of academic program reviews by college including the number of plans that had been submitted, as compared with the number of plans that had been approved.

The UOEEE works closely with the academic units to incorporate best practices by providing assessment resources and training. Methodologies utilized by the colleges are moving away from

grades and exams to measurable outcomes which more closely align to strengths and weaknesses. The UOEEE continues to work with programs to adopt the practice of utilizing two indirect forms of assessment (exit and alumni surveys) with each assessment measure, along with a rubric-based direct measure. ASU also requires units to develop performance criteria for the majority of students to meet or exceed. Collecting feedback through delegates (assessment experts housed within each of the schools) provides for faculty and staff input into the advancement of assessment initiatives of the campus. After reviewing the evidence, the Team affirms that the processes and methodologies to assess student learning utilized by the institution reflects good practice.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

4.C - Core Component 4.C

The institution pursues educational improvement through goals and strategies that improve retention, persistence and completion rates in its degree and certificate programs.

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

Rating

Met

Rationale

As cited in the Assurance Argument and affirmed by the Team's visit, the ASU Strategic Enterprise Plan from 2022 contains defined objectives for first-year student retention rates and six-year graduation rates that appear to be consistent with the institution's mission of "...a comprehensive public research university, measured not by whom it excludes, but by who it includes and how they succeed..." The plan includes increasing the first-year retention rate to 90 percent. This objective seems realistic considering first-year retention rates reached 86.9 percent for the fall 2020 cohort, based on the 2022 strategic plan. The objective for the six-year graduation rates of 73 percent for the first-time, full-time freshman cohort is manageable considering that the 2015 cohort reached 70.1 percent. The institution included in their strategic plan a goal to provide academic and personal support to help support student success. In addition, the institution has outlined specific goals for their online student population, as well as their graduate population.

The evidence presented in the Strategic Enterprise Plan distinguished between online and campus resident students, online and campus non-resident students, as well as online and campus international students from 2002-2026. Demonstrating continuous growth across both student populations, it is reasonable for the institution to establish the goal of increasing student enrollment to 71,000 on-campus undergraduates and 14,000 graduate students by fall 2025, along with the goals of 73,000 undergraduate students and 23,000 graduate students for the online population by fall 2025.

As cited in the Assurance Argument and affirmed by the Team's visit, ASU collects and analyzes information on student retention, persistence, and graduation rates, through the University Office of

Institutional Analysis. Data are available for public viewing through the office's website and are presented through searchable dashboards and fast facts reports. According to the evidence presented, data regarding retention, persistence, and completion are often included on the Deans Council Agenda. Also, individual colleges utilize data reports to make informed decisions on planning and strategies that influence student success.

The evidence presented in the Assurance Argument supports ASU's dedication to utilizing data to improve student retention, persistence, and completion rates. Through the use of technological innovations, ASU has increased Pell students' retention rate from 71.7 percent in 2006 to 84.4 percent in 2019. Whereas non-Pell students improved from 78.3 percent to 87 percent during this same timeline. In addition, the evidence demonstrates that student success discussions happen frequently within ASU's central leadership, the institution has also made the colleges accountable for retention. Meetings between the deans and the provost are conducted monthly. Associate deans, as well as the senior staff of EOSS meet with the provost bi-monthly to specifically discuss student success.

Efforts for collecting and analyzing retention, persistence, and completion data are consistent with good practice. Consistent data definitions are used by both the University Office of Institutional Analysis and the UOEEE. Dashboards including retention data are made available to a variety of stakeholders that provide colleges with meaningful data to help them develop strategies around student success initiatives.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

4.S - Criterion 4 - Summary

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

Rationale

ASU demonstrates their commitment to the quality of their educational programs by complying with ABOR Policy 2-225 for conducting program reviews of all existing undergraduate, graduate, and certificate programs on a continuous basis. In addition, from the evidence presented, ASU follows the process outlined in the Academic Program Review Manual and the University Program Review and Accreditation Office. Although, the Team encourages the university to review and recommend programs to incorporate the learning outcomes into their overview pages for each degree program. Outcomes may exist for each program, but consistency should be used in placing that information where it is easily available for student access.

The Team's review confirms that ASU maintains effective practices and methodologies for its ongoing assessment of student learning as an integral part of its commitment to the educational outcomes of its students. Each academic program is expected to participate in an annual assessment of student learning outcomes. Direct feedback is presented to programs from staff within the UOEEE on the strength of their outcomes and strategies are presented for improvement. The UOEEE works closely with the academic units to incorporate best practices by providing assessment resources and training. During the visit, one faculty member noted that "assessment has been a unifier in helping faculty understand their role."

While the surveys of different student populations provide guidance for establishing goals within numerous areas of the EOSS, these programs do not necessarily define goals that are directly tied to the academic mission of the university. Additionally, the Team was not able to identify evidence that defined co-curricular activities within the Assurance Argument. The Team recommends that ASU spend time in developing a clear distinction between co-curricular activities and extra-curricular activities.

ASU has defined goals and strategies that improve retention, persistence and completion rates in its degree and certificate programs. The ASU Strategic Enterprise Plan incorporates objectives for first-year student retention rates and six-year graduation rates that are consistent with its mission. The plan distinguishes between online and campus residents, online and campus non resident students, as well as online and campus international students. The institutional goals are ambitious yet reasonable based on evidence presented from 2002.

5 - Institutional Effectiveness, Resources and Planning

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

5.A - Core Component 5.A

Through its administrative structures and collaborative processes, the institution's leadership demonstrates that it is effective and enables the institution to fulfill its mission.

1. Shared governance at the institution engages its internal constituencies—including its governing board, administration, faculty, staff and students—through planning, policies and procedures.
2. The institution's administration uses data to reach informed decisions in the best interests of the institution and its constituents.
3. The institution's administration ensures that faculty and, when appropriate, staff and students are involved in setting academic requirements, policy and processes through effective collaborative structures.

Rating

Met

Rationale

As evidenced in the Arizona Constitution and Arizona statute and confirmed through conversations with members of the ABOR, the board provides guidance and leadership for ASU, the University of Arizona and Northern Arizona University. ABOR selects and sets priorities for university presidents. To ensure alignment of operations, ASU administrators faculty and students are represented on ABOR councils and working committees to collaborate to further the mission of higher education in the state. The bylaws of ABOR are publicly available and sets forth board responsibilities over the ASU including academic offerings, finances, setting of tuition and fees, employment policies, facilities, technology, and other key aspects of university operations.

All ABOR meeting agendas and minutes are made available to the public and monthly board meetings and meetings are live streamed and archived. The public engages and has a voice in key decisions such as the tuition and fee setting process. As evidenced in ABOR recorded video and meeting minutes, students and community members have the opportunity to provide input as board members consider tuition and fee rates for the upcoming academic year.

As evidenced through the university website, ASU engages faculty, staff, students, and regional community partners through regular advisory meetings such as the Academic Council, ASU Staff Council Associated Students of Arizona State University and the Community Council. ASU has formalized engagement with university employees through the Academic Assembly and University

Senate as outlined in the Academic Affairs Manual. As evidenced through a review of meeting minutes from Staff and Faculty Council meeting minutes, the ASU President has engaged with members of the university community and responded to employee compensation concerns raised by faculty and staff.

In alignment with its charter, ASU has embarked on a mission to transform higher education by reaching more students through online programs, campus immersion and degree completion programs. Over the past decade ASU has more than doubled undergraduate enrollment. As Arizona (and more broadly U.S.) high school graduates enrolling in 4-year degree programs is levelling and projected to decline in the next several years ASU has significantly grown online enrollments. As evidenced through the ASU fiscal update provided to the ABOR, Fall 2022 enrollment was 142,616 with 62,551 online or (43.4%) of total enrollment. ASU is on its way to becoming a primarily online ASU with a strategic goal of enrolling 150,000 online degree-seeking students in the near future. Arizona residents comprise 45.8% of total enrollment with 7.4% international students and the remaining non-resident. Through a spirit of innovation, ASU has grown the institution through scale, thus keeping tuition rates competitive and has the lowest resident cost of the four-year universities in the state.

ASU employs several strategies to ensure data is developed and shared appropriately across campus to set goals, track progress, and meet desired outcomes. As evidenced through university websites and meeting minutes, several departments provide regular data and analysis supporting enrollment, student retention and other university goals. University departments supporting data analytics include the Office of Enterprise Planning, the Data Strategy, Analysis & Planning team, and the Office of the University Economist.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

5.B - Core Component 5.B

The institution's resource base supports its educational offerings and its plans for maintaining and strengthening their quality in the future.

1. The institution has qualified and trained operational staff and infrastructure sufficient to support its operations wherever and however programs are delivered.
2. The goals incorporated into the mission and any related statements are realistic in light of the institution's organization, resources and opportunities.
3. The institution has a well-developed process in place for budgeting and for monitoring its finances.
4. The institution's fiscal allocations ensure that its educational purposes are achieved.

Rating

Met

Rationale

ASU receives modest support from the State of Arizona, but is largely self supporting through tuition, externally sponsored research, philanthropic gifts and auxiliary enterprise revenues. State general fund allocations system wide increased by \$19.7 million from FY22 to FY23. Included in this funding increase, ASU received support for the New Economy Initiative and additional financial assistance funding for Pell eligible students. As evidenced through ASU fiscal updates to ABOR, State general fund appropriation per student has declined from \$9,439 in FY08 compared to \$4,447 in FY23. This decline does not account for inflation.

To support significant enrollment growth over the past ten years, ASU has increased employment by 48% since 2011 with faculty ranks growing by 56% to a total of 5,248. As evidenced in a spring 2023 ABOR report, ASU is prioritizing employee pay to retain faculty, staff, and graduate student employees supporting a request for a tuition rate increase proposed for academic year 2023-2024.

ASU's HR unit provides employees with opportunities to develop skills to be successful supervisors and leaders in support of the university Charter. As evidenced through HR online training programs, ASU provides opportunities to earn a certificate program to assist supervisors and team leaders. Grounded in four courses, managers learn the basics of human resources as well as development of skills needed to motivate employees around a common vision, understanding the business and compliance of HR as well as how to support and leverage diverse teams and cultures in building a successful team.

The growing ASU endowment supports the Charter of the institution, ending fiscal year 2022 with a market value of \$1.4 billion. Endowed funds supplement state appropriations, tuition, and fees by supporting student scholarships, faculty professorships, university research, athletics and other activities. As evidenced in the ASU endowment policy, ASU is governed by the board of directors and investments are managed by a ASU foundation board committee with support from an external investment firm with goals clearly defined by investment policy.

As evidenced through audit reports, ASU and affiliated units undergo an annual financial statement audit compliant with government auditing standards. The audit is completed by the Office of the Arizona Auditor General and is presented to the state legislature and the ABOR. Locally, ASU's University Audit and Advisory Services departments supports the institution by providing independent and objective assurance and consulting services by ensuring effective internal financial controls and making recommendations for operational improvement.

ASU supports several interdisciplinary initiatives and research centers to further scholarship addressing technological advancements, globalization, population growth and other disciplines that align with the university mission. As evidenced through university metrics, externally funded research continues to rise at ASU with projected research expenditures of \$840 million in fiscal year 2023.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

5.C - Core Component 5.C

The institution engages in systematic and integrated planning and improvement.

1. The institution allocates its resources in alignment with its mission and priorities, including, as applicable, its comprehensive research enterprise, associated institutes and affiliated centers.
2. The institution links its processes for assessment of student learning, evaluation of operations, planning and budgeting.
3. The planning process encompasses the institution as a whole and considers the perspectives of internal and external constituent groups.
4. The institution plans on the basis of a sound understanding of its current capacity, including fluctuations in the institution's sources of revenue and enrollment.
5. Institutional planning anticipates evolving external factors, such as technology advancements, demographic shifts, globalization, the economy and state support.
6. The institution implements its plans to systematically improve its operations and student outcomes.

Rating

Met

Rationale

ASU receives support from the State of Arizona, but operates in the context of a university enterprise and not as an agency of the state. As evidenced through conversations with the President and Chief Financial Officer, this framework provides ASU the flexibility to test the boundaries of higher education as it seeks to become the *New American University*. ASU takes measured risks for the purpose of innovating and encouraging entrepreneurship within the institution to further educate students in the state and around the world.

ASU was supported by a budget of \$3.4 billion in fiscal year 2022 with growing tuition revenues. Support from the state was \$349.3 million or 10.2% in FY22. Growth in students served provided revenue growth and allowed ASU to hold tuition and fees flat in FY21 and FY22. As evidenced through meeting minutes, the Associated Students of ASU provide undergraduate and graduate students with a voice in university leadership and the opportunity to engage in the tuition and fee vetting process. These student leaders also serve in an advisory role for services that impact their college experience. As evidenced during conversations with student leaders on the site visit, student committee members opportunities to advise priority and delivery of student services including student health, culture and heritage, parking, facilities, and student recreation services.

A charter based on innovation adds to complexities to fiscal planning. ASU has engaged in several partnerships to expand its educational reach in the Arizona community and beyond. As evidenced during the site visit, ASU is serving the Phoenix community through the ASU Prep Academy by providing tuition-free college preparatory school that serves over 7,000 K-12 students. As evidenced through conversations with university leaders at the ASU Downtown campus, ASU has also entered into partnerships with the City of Phoenix to provide several professional programs at the downtown

Phoenix campus including nursing, social work and criminology.

These innovative partnerships require expertise to conceive, develop financial plans and monitor ongoing resources. Contrary to many institutions that employ a fiscal framework of responsibility centered management, ASU allocates resources with consideration of student enrollment, intersession activities, faculty hiring, availability of student fees, research funding and faculty start-up needs. This budget process is evidenced in the Budget and Financial Considerations policy and the ABOR Annual Budget Process and Guidelines.

To manage a diverse educational enterprise, ASU leverages data and analysis provided by the Office of Enterprise Planning, the Data Strategy, Analysis & Planning team, and the Office of the University Economist. As evidenced through conversations with the Chief Financial Officers team, the finance team uses data from these offices to manage current education activities as well as anticipating changes that may impact the university. As mentioned previously, ASU has successfully grown online academic offerings. ASU is monitoring shifts in the online marketplace post COVID that could impact opportunities for program growth and tuition revenues. An example of monitoring competitive threats is evidenced through a recent report completed by the Office of Enterprise Planning of leading online education providers and trends in corporate employee learning programs. This type of market analysis provides information to understand external factors and anticipate the impact to the online enterprise.

ASU engages faculty, staff and student stakeholders through the University Services and Facilities Committees to guide university operations. These committees serve in an advisory role in support of decisions of strategic planning, resource allocation, technology, research, facilities planning and public relations. As evidenced through meeting minutes, each committee collaborates throughout the academic year and makes recommendations based on their findings for summation in the University Senate annual report.

ASU recently completed an initial faculty and staff engagement survey yielding a 46% response rate. As evidenced in the report summary, results included a strong tie to the university charter and pride in their work. Opportunities for improvement were identified in the areas of employee compensation, career development, change management and employee workload. ASU plans to use this initial feedback as a baseline for future surveys.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

5.S - Criterion 5 - Summary

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

Rationale

ASU has received consistent support from the State and has enhanced its resource base through entrepreneurial approaches to growing the teaching and research mission, aligning with like minded partners and leveraging philanthropy to support the university charter. ASU provides training and leadership opportunities to enable employees to develop professionally. ASU and affiliated units undergo an annual financial audit and operational process reviews to ensure effective operations. ASU uses data and engagement of the campus community in an inclusive approach to decision making. Based on the evidence provided through the assurance argument, corroborated through testimonies from the leadership, and reinforced circumstantially through the site visit this criterion is met.

FC - Federal Compliance

Rating

Met

Federal Compliance Filing Form

- Arizona_State_University_Federal_Compliance_2022

Rationale

1. ASSIGNMENT OF CREDITS, PROGRAM LENGTH AND TUITION

Conclusion:

The institution meets HLC's requirements.

Rationale:

- Arizona Board of Regents policy 2-224 clearly defines a unit of credit in accordance with Federal Guidelines. This policy includes various modes of instruction such as workshops and studios as well as tradition course work.
- A review of syllabi provided by the institution and found on their scheduling website provides evidence that courses not only follow this policy but often include either a reference or summary of the policy to give students clear expectation of time commitment. Variations of the statement – “Arizona Board of Regents (ABOR) requires 45 hours of coursework per credit for college-level courses” are included in many syllabi.
- Consistent application of this policy was found in online as well as tradition face to face courses.
- The Office of the Provost website provides extensive guidance on the process for new programs and new courses. The approval processes for new courses and new programs ensure that credit hour policy and program length are implemented. Reviews include administrative as well as faculty input.
- The institution's tuition website includes clear explanations for the cost of attendance as well as an online tuition estimator that addresses such factors as campus, college, residency, and degree type. Refund policies are included the billing section of this website.

2. INSTITUTIONAL MECHANISMS FOR HANDLING STUDENT COMPLAINTS

Conclusion:

The institution meets HLC's requirements.

Rationale:

- The Academic Affairs Manual includes policy on the prohibition against discrimination, harassment, and retaliation. The Office of University Rights & Responsibilities outlines the policy and procedures for filing a report. The manual also outlines policy for the University Ombudsperson Program which is available for both employees and students.
- The complaint procedure found on the ASU online website outlines a clear procedure for both academic issues and non-academic issues. For the online student, this also includes procedures for filing complaints according to State Authorization Reciprocity Agreement. These are described in terms of who to contact based on a student's home state.
- Some course syllabi include detailed procedures for academic grievances such as ENG 302.
- Policies and procedures for Student-Athlete grievances as well as Student Accessibility grievances are clear and well defined.
- Policies and procedures regarding student rights, responsibilities, and misconduct are clear for non-academic issues.
- The ASU Hotline allows for anyone in the campus community to raise concerns regarding ethical issues, compliance issues, or highly sensitive matters. This includes an option to raise an issue that has not been resolved at a lower level as well as NCAA rules.

3. PUBLICATION OF TRANSFER POLICIES

Conclusion:

The institution meets HLC's requirements.

Rationale:

- The institution has a well-organized portal for students wishing to transfer to one of its programs. (<https://admission.asu.edu/transfer/transferring-credits>) Extensive information on how to transfer credits, what types of credits do not transfer, and how military transcripts are evaluated is included.
- A key component is ASU's transfer admission guarantee using the "MyPath2ASU" tool. Here a student can select a degree to complete at ASU and their current institution. The tool provides a semester-by-semester pathway to the degree.
- The transfer credit evaluation policy is not only in the Student Services Policy manual but is also included on multiple pages within the transfer student portal.

4. PRACTICES FOR VERIFICATION OF STUDENT IDENTITY

Conclusion:

The institution meets HLC's requirements.

Rationale:

- A single portal is used for sign-on and identify verification. This portal uses a login along with a complex password. The institution has also implemented two-factor verification.
- Utilizing a the "Honorlock" proctoring solution, photo IDs are required for proctored exams.
- The institution does not charge fees that are specific to proctoring an exam. These costs are covered by general student-initiated fees.

5. PROTECTION OF STUDENT PRIVACY

Conclusion:

The institution meets HLC's requirements.

Rationale:

- The institution's "Get Protected" website (<https://getprotected.asu.edu>) is a comprehensive resource for digital trust and cybersecurity including the protection of student privacy. This portal provides information and procedures regarding compliance, regulations, policy, and training.
- Student Privacy is also addressed in the Academic Affairs Manual, ASU Online Course Policies, Student Service Manual, Data Handling Standards, and Information Security Policy.
- The Data Handling Standards provides clear guidance on types of data sensitivity levels; the use, storage, and transmission of data; guidance on handling breaches; and the roles and responsibilities of those handling data.
- Information Security Training as well as FERPA training for staff is required within one month of employment and annually thereafter.
- Third party contracts include specific provisions for student data security in accordance with institutional policy and FERPA.

6. PUBLICATION OF STUDENT OUTCOME DATA

Conclusion:

The institution meets HLC's requirements.

Rationale:

- Student outcome data is reported on three main university level websites: Office of the Provost, ASU Facts, and the ASU Office of Institutional Analysis. Program level data is found at individual college websites.
- The institution is transparent with data even providing copies of the latest IPEDS reports on the Institutional Analysis web page.
- Robust retention and completion data is provided both at the university level and college level.
- The Arizona Board of Regents Alumni Wages Report covers all universities in the state using data from the Arizona Department of Economic Security. This report supports some of the marketing claims made by the institution.
- Licensure exam pass data is published for nursing, communication disorders, audiology, clinical psychology, Urban planning, and law students.

7. STANDING WITH STATE AND OTHER ACCREDITORS

Conclusion:

The institution meets HLC's requirements.

Rationale:

- The institution's website provides detailed information on its accreditation by HLC.

Information on the site includes excellent detail on the current review and the overall HLC accreditation process.

- The institution's website lists over 100 programs with specialized accreditation by over 20 specialized accrediting agencies. Institutional Status Report (2/07/23) indicates that the institution is in good standing with listed specialized accrediting agencies, although this list of agencies does not include all that are on the institution's website.
- ASU is a member of NC-SARA and presents a clear list of member states as well as which programs are not approved for students from certain states. This is summarized at <https://admission.asu.edu/academics/authorizations>. This website notes that ASU has a physical presence in California in accordance with California law. It also notes that the physical presence in Washington DC is authorized for distance education.

8. RECRUITING, ADMISSIONS AND RELATED INSTITUTIONAL PRACTICES

Conclusion:

The institution meets HLC's requirements.

Rationale:

- The Arizona Board of Regents policy for Code of Conduct includes a list of activities prohibited by policy, these include "Forgery, unauthorized alteration or unauthorized use of any university document".
- Public Service Orientation is a training at ASU that covers laws, policies, and procedures relating to the proper conduct of business at the university. The training includes the following topics: bribery, conflicts of interest, contracting with the government, disclosure of confidential information, discrimination, nepotism, financial disclosure, gifts and extra compensation, incompatible employment, political activity, public access to records, open meeting laws, conduct after leaving one's position with the university and misuse of public resources for personal gain.
- Documented training also covers; FERPA, Information Security, Title IX, and Preventing Harassment & Discrimination
- The institution has a focused approach to developing a service mindset among employees toward students.
- New Student Code of Conduct for recruiters specifically addresses HLC policy on recruiting, admissions, and related enrollment practices.
- Recruitment services staff training material is robust and spans a three-week period.
- Documentation states that training is provided to Third party contractors, it is unclear who these contractors are and what role they play in this process.

APPENDIX A: TITLE IV PROGRAM RESPONSIBILITIES

Complete this section **only if** the institution has submitted an Appendix A. Review any negative actions taken against the institution since HLC's last Federal Compliance review and identify any implications for the institution's current compliance with the Criteria for Accreditation or other HLC requirements. Provide a detailed rationale for any Core Components identified as Met with Concerns or Not Met.

Rationale:

-

MANDATORY REPORTING: FRAUD, ABUSE OR FAILING TO MEET TITLE IV RESPONSIBILITIES

Federal regulations require HLC to notify the U.S. Department of Education related to the following item. Do not skip this section.

In the course of the peer review team's evaluation of this institution, have the reviewers encountered any reason to believe that (i) the institution is failing to meet its Title IV, Higher Education Act program responsibilities (if the institution participates in Title IV, HEA programs) or (ii) that the institution may be engaged in fraud or abuse?

Answer:

No, the Team did not encounter any reason to believe that ASU has failed to meet Title IV responsibilities.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

Review Dashboard

Number	Title	Rating
1	Mission	
1.A	Core Component 1.A	Met
1.B	Core Component 1.B	Met
1.C	Core Component 1.C	Met
1.S	Criterion 1 - Summary	
2	Integrity: Ethical and Responsible Conduct	
2.A	Core Component 2.A	Met
2.B	Core Component 2.B	Met
2.C	Core Component 2.C	Met
2.D	Core Component 2.D	Met
2.E	Core Component 2.E	Met
2.S	Criterion 2 - Summary	
3	Teaching and Learning: Quality, Resources and Support	
3.A	Core Component 3.A	Met
3.B	Core Component 3.B	Met
3.C	Core Component 3.C	Met
3.D	Core Component 3.D	Met
3.S	Criterion 3 - Summary	
4	Teaching and Learning: Evaluation and Improvement	
4.A	Core Component 4.A	Met
4.B	Core Component 4.B	Met
4.C	Core Component 4.C	Met
4.S	Criterion 4 - Summary	
5	Institutional Effectiveness, Resources and Planning	
5.A	Core Component 5.A	Met
5.B	Core Component 5.B	Met
5.C	Core Component 5.C	Met
5.S	Criterion 5 - Summary	
FC	Federal Compliance	Met

Review Summary

Conclusion

ASU is driven by its charter, innovation, and scale. The implementation of the strategic plan includes measurable outcomes for each activity. The entrepreneurial budgeting plan also has measurable outcomes. Diversity is an integral part of the charter and strategic plan and it is clear that this is important to students, faculty, and staff. Everyone is doing innovation, inclusivity, and sustainability work. The current administration and ABOR value a shared governance model and communication between faculty, staff, students, and administration is a strength. ASU shared an extensive portfolio of evidence to establish its achievement of all of the Criteria and Core Components. Therefore, ASU has provided substantial clear, and convincing evidence that it has "met" all criteria outlined in the assurance argument. ASU continues to demonstrate compliance with HLC criteria and continuing improvement since the last mid-cycle review in 2017. ASU has a comprehensive self-assessment process, and a commitment to continuous improvement. Based on these factors, the team recommends that ASU be eligible to choose its own pathway for its next review.

Overall Recommendations

Criteria For Accreditation

Met

Sanctions Recommendation

No Sanction

Pathways Recommendation

Eligible to choose

Federal Compliance

Met

No Interim Monitoring Recommended.

INTERNAL



Institutional Status and Requirements (ISR) Worksheet

Review Details

Institution: Arizona State University, Arizona

Type of Review: Open Pathway - Comprehensive Evaluation Visit

Description:

Review Dates: 04/24/2023 - 04/25/2023

No Change in Institutional Status and Requirements

Accreditation Status

Status: Accredited

No Change

Recommended Change:

Degrees Awarded: Associates, Bachelors, Doctoral, Masters

No Change

Recommended Change:

Reaffirmation of Accreditation:

Year of Last Reaffirmation of Accreditation: 2013 - 2014

Year of Next Reaffirmation of Accreditation: 2022 - 2023

No Change

Recommended Change: 2032-2033

Accreditation Stipulations

General:

The institution is approved at the following program level(s): Associate's, Bachelor's, Master's, Doctoral

The institution is not approved at the following program level(s): Specialist

The institution is limited to offer the following program(s), within the approved program levels listed above: Associate of Science in Cybersecurity, Associate of Science in Data Analytics, Associate of Science in Nuclear Technology, Associate of Science in Information Systems, Associate of Arts in Technical Communication, Associate of Arts in Management Science, Associate of Arts in Organizational Leadership, Associate of Professional Management in Emerging Technologies, Associate of Professional Management in Machine Learning, Associate of Professional Management in Logistics, and Associate of Professional Management in Security Studies

No Change

Recommended Change:

Additional Locations:

The institution has been approved for the Notification Program, allowing the institution to open new additional locations within the United States.

No Change

Recommended Change:

Distance and Correspondence Courses and Programs:

Approved for distance education courses and programs. The institution has not been approved for correspondence education.

No Change

Recommended Change:

Competency-Based Education:

No Change

Recommended Change:

Accreditation Events

Pathway for Reaffirmation of Accreditation: Open Pathway

No Change

Recommended Change: Eligible to choose

Upcoming Reviews:

No Upcoming Reviews

- No Change
- Recommended Change:

Upcoming Branch Campus or Additional Location Reviews:

No Upcoming Reviews

- No Change
- Recommended Change:

Monitoring

Upcoming Monitoring Reviews:

No Upcoming Reviews

- No Change
- Recommended Change:

Institutional Data

Academic Programs Offered:

Undergraduate Programs		
Associate Degrees:	2	<input checked="" type="checkbox"/> No Change <input type="checkbox"/> Recommended Change:
Baccalaureate Degrees:	215	<input checked="" type="checkbox"/> No Change <input type="checkbox"/> Recommended Change:
Graduate Programs		
Master's Degrees:	229	<input checked="" type="checkbox"/> No Change <input type="checkbox"/> Recommended Change:
Specialist Degrees:	0	<input checked="" type="checkbox"/> No Change <input type="checkbox"/> Recommended Change:

Doctoral Degrees:	103	<input checked="" type="checkbox"/> No Change <input type="checkbox"/> Recommended Change:
Certificate Programs		
Certificates:	245	<input checked="" type="checkbox"/> No Change <input type="checkbox"/> Recommended Change:

Contractual Arrangements:

No Contractual Arrangements

- No Change
- Recommended Change:

Off-Campus Activities

Branch Campuses:

No Branch Campuses

- No Change
- Recommended Change:

Additional Locations:

Central Arizona College, 8470 N. Overfield Road, Coolidge, Arizona 85228 UNITED STATES

ASU at the West Campus, 4701 W. Thunderbird Road, Glendale, Arizona 85306 UNITED STATES

Sonoran Sky Elementary (Pendergast PDS Site), 10150 W. Missouri Avenue, Glendale, Arizona 85301 UNITED STATES

Lake Havasu, 98 Swanson Plaza, Lake Havasu City, Arizona 86043 UNITED STATES

ASU at Mesa City Center, 50 Centennial Way, Mesa, Arizona 85201 UNITED STATES

Mesa Public Schools Administrative Services Center, 63 E. Main Street, Mesa, Arizona 85201 UNITED STATES

Red Mountain Campus (Mesa CC), 7110 E. McKellips Road, Mesa, Arizona 85215 UNITED STATES

ASU at the Polytechnic Campus, 7001 E. Williams Field Road, Mesa, Arizona 85212 UNITED STATES

Mayo Clinic Hospital, 5777 East Mayo Boulevard, Phoenix, Arizona 85054 UNITED STATES

Foundation for Blind Children, 1234 E. Northern Avenue, Phoenix, Arizona 85020 UNITED STATES

Phoenix College (Phoenix Metro Area), 1202 West Thomas Road, Phoenix, Arizona 85013 UNITED STATES

ASU at the Downtown Phoenix Campus, 411 N. Central Ave, Phoenix, Arizona 85004-0685 UNITED STATES

SkySong, 1475 N Scottsdale Road, Scottsdale, Arizona 85257-3538 UNITED STATES

ASU@Northeastern Arizona, Northland Pioneer Community College

1001 W Deuce of Clubs, Show Low, Arizona 85901 UNITED STATES

Cochise College - Downtown Center, 2600 East Wilcox Drive, Sierra Vista, Arizona 85635 UNITED STATES

Eastern Arizona College, 615 N Stadium Avenue, Thatcher, Arizona 85552 UNITED STATES

Pima Community College - West Campus, 2202 West Anklam Road, Tucson, Arizona 85709-0001 UNITED STATES

Tucson, 340 N. Commerce Park Loop, Tucson, Arizona 85745 UNITED STATES

Pima Community College - Northwest Campus, 7600 N. Shannon Rd., Tucson, Arizona 85709-7330 UNITED STATES

Arizona Western College, 2020 South Avenue 8 East, Yuma, Arizona 85365 UNITED STATES

California College at ASU, 515 South Flower Street, 18th Floor, Los Angeles, California 90071 UNITED STATES

ASU California Center - Grand, 919 S. Grand Avenue, Suite 220D, Los Angeles, California 90015 UNITED STATES

ASU at Los Angeles, 146 W. 11th Street, Los Angeles, California 90015 UNITED STATES

ASU California Center - Broadway, 1111 S. Broadway Street, Los Angeles, California 90015 UNITED STATES

Washington Center, 1800 I Street NW, Washington, District of Columbia 20006 UNITED STATES

Hainan University, 58 Renmin Ave.

Meilan District, Haikou Hainan Province, 57022 CHINA

Shanghai Advanced Institute of Finance, 211 West Huaihai Road, Shanghai, 200030 CHINA

Shanghai, 200 Panlong Road, Qingpu District, Shanghai, CHINA

No Change

Recommended Change: