



AMERICAN UNIVERSITY
WASHINGTON, D.C.



AMERICAN UNIVERSITY SELF-STUDY

Prepared for the Middle States Association Commission
on Higher Education and the AU Community

December 2003

TABLE OF CONTENTS

Executive Summary	i	Faculty Composition.....	60
Chapter 1: Introduction	1	Roles, Responsibility, Standards, and Hiring	
Background: A Sketch of American University	1	Procedures for Faculty	63
A Brief History	2	Faculty Support.....	65
The Last 10 Years.....	3	Summary and Recommendations.....	67
About American University's Self-Study	5	Chapter 6: Learning Resources and Campus Life	69
Chapter 2: Mission, Goals, and Objectives	9	Overview	69
Introduction	9	Academic Support Services	69
Missions and Strategic Plans in the Last Decade	9	Student Support Services	78
Making the 15-Point Plan a Reality: Institutional		Campus Life	81
Planning and Assessment.....	13	Other Campus Services.....	85
Communicating the 15-Point Plan and Its Progress.....	15	Assessment of Learning Resources and Campus Life.....	85
Assessing the Current Implementation of Strategic		Recommendations	87
Priorities	15	Chapter 7: Undergraduate Education	89
Conclusion.....	19	Student Profile	89
Recommendations	19	Overview of Undergraduate Education	90
Chapter 3: Institutional Resources	21	Enrollment Management and Financial Aid.....	93
Introduction	21	Educational Program and Curriculum	95
Financial Health.....	22	General Education Program.....	95
Budget Process That Supports the University's		Emerging Programs as a Result of Long-Term	
Mission, Goals, and Strategic Plan.....	24	Planning.....	97
Operating Efficiency	28	Other Academic Programs	99
Development, Endowment, and Other		Outcomes Assessment	102
New Revenue Sources.....	29	Conclusion.....	106
Facilities Planning.....	33	Recommendations	106
Information Resource Needs.....	34	Chapter 8: Graduate and Professional Education	109
Short- and Long-Term Technology Resources.....	35	Introduction	109
Information Resources to Support Teaching,		Educational Offerings	111
Learning, and Research.....	37	Student Body Profile.....	112
Conclusion.....	38	Efforts to Improve Student Quality.....	116
Recommendations	39	Assessment of Graduate Programs and Learning	120
Chapter 4: Leadership, Governance, and Administration	41	Conclusions and Recommendations	127
Introduction	41	Chapter 9: Engagement	129
Organizational Structure	41	Introduction	129
Board of Trustees	45	Engagement Inside the Classroom	130
Faculty	48	Engagement on Campus Outside the Classroom	131
Students	49	Engagement in Service	133
Staff	51	Engagement in Experiential Learning	137
Recommendations	53	Engagement with the Global Community	138
Chapter 5: Faculty	55	Conclusion.....	143
Faculty Scholarship, Creative Activity, and		Recommendations	143
Professional Development.....	55	Chapter 10: Conclusion	145
Faculty Teaching	56	Fulfilling the American University Paradigm.....	145
Faculty Service	58	Recommendations	146



EXECUTIVE SUMMARY

EXECUTIVE SUMMARY

In the fall of 1994, immediately following American University's last self-study, a Statement of Common Purpose was adopted by the university's Board of Trustees. It states that American University's

distinctive feature, unique in higher education, is its capacity as a national and international university to turn ideas into action and action into service by emphasizing the arts and sciences, then connecting them to the issues of contemporary public affairs writ large, notably in the areas of government, communication, business, law, and international service.

Since American University's last decennial review, much progress has been made towards realizing our mission. Signs of change and growth are everywhere. The financial health of the university is strong, major academic and student buildings have been renovated, student services have been expanded, student quality has increased, and faculty compensation and quality have improved.

The many accomplishments detailed in this report have not come by chance. They are, in part, the result of a concerted strategic planning effort. This effort was noticeable in 1997 with the adoption of a new strategic plan. It has been advanced by the university's latest planning efforts, led by President Benjamin Ladner in 2000.

In fall 2000, President Ladner initiated a series of Campus Conversations about the future of the university. Students, faculty, and staff from across campus discussed issues related to enrollment, academic excellence, globalism, management, and revenue. As President Ladner pointed out, the conversations were designed to answer the question, "Which priorities will enable us to build a distinctive, high-quality academic community for the long term?"

The conversations culminated in an address by President Ladner to the university community on October 3, 2001. In this speech, the president said that to fulfill the paradigm expressed by the Statement of Common Purpose, AU would implement three integrated priorities:

- the quality of academic inquiry
- the quality of student experience
- the quality of extensive engagement with Washington and global affairs

These priorities are manifested in what has come to be known as the 15-point plan. While a more detailed description of this plan is discussed in the report, a brief mention of the points is in order:

- 1) We will undertake and complete the largest and most successful fund-raising campaign in AU's history. . . .
- 2) We will become a smaller university. . . .
- 3) The undergraduate experience will become the central focus of the university. . . .
- 4) There will be significantly fewer master's and doctoral programs but with much higher academic quality and support. . . .
- 5) As a smaller university, we will reduce cost and increase operational efficiency. . . .
- 6) We will add to our reputation as a Washington-based, global university. . . .
- 7) Faculty teaching, research, and service will have added meaning and resources. . . .
- 8) The number of adjunct faculty will be reduced sharply, with no more than 10 percent of undergraduate courses taught by adjuncts. . . .
- 9) We will establish a system of differential teaching and research loads for faculty. . . .
- 10) The academic advising system will be restructured significantly and will become the single most important administrative service to students. . . .
- 11) We will enhance our profile as a values-based institution, emphasizing long-held university commitments to such values as human rights and dignity, social justice, environmental protection, diversity, and individual freedom. . . .
- 12) A new Office of Campus Life will be created, headed by the current vice president of student services. . . .
- 13) A new model of governance will be created to provide a more flexible, consultative, and efficient system of decision making. . . .
- 14) A new University Enterprise Center will be established under the direction of the vice president of finance and treasurer to pursue institutional development through financial opportunities. . . .
- 15) We should take seriously our responsibility to encourage physical fitness throughout our community. . . .

American University's priority is excellent education. As President Ladner put it in his October 2001 address, "Our primary obligation will always be to prepare a generation of leaders who are broadly educated, spiritually deep, passionately engaged, and capable of translating in a complex and dangerous environment

the lasting values of truth, beauty, and goodness, which are the hallmarks of a humane and civilized world.” It is this sense of purpose, this mission, that drives American University today.

About the Self-Study Report

American University’s decennial institution-wide self-study has provided the university a unique opportunity to examine further the extent to which the priorities of the university are being realized. Given the extensive nature of the president’s strategic view for the university and the important role that engagement plays in fulfilling our mission, American University elected to use the Comprehensive Self-Study Model with an emphasis on engagement. For purposes of the study, engagement is defined as “The systematic encouragement and implementation of active, deep connections between elements of the student experience that integrate academic programs and campus life and the larger local, national, and international communities.” In January 2002, the university established a 20-person Self-Study Steering Committee consisting of faculty, staff, and students. Chairing the Steering Committee was David Culver, professor of biology. Dr. Culver was appointed to the faculty in 1987 and has served as the chair of the biology department, coordinator of the Environmental Studies Program, and associate dean for academic affairs in the College of Arts and Sciences.

The goal has been to examine the extent to which American University is meeting the accreditation standards as articulated in the Middle States Commission on Higher Education’s *Characteristics of Excellence*. In order to optimize the benefits of such an examination, these standards were viewed within the context of our own mission and objectives. The following is a brief summary of the some of the findings of the report, organized by the fourteen standards listed in *Characteristics of Excellence in Higher Education*.

Standard 1: Mission, Goals and Objectives

American University is an institution committed to academic excellence. It is grounded in the premise that the quality of the student experience and engagement with the community, nation, and world matters. American University’s primary goal for the next century is to build a distinctive, global university identified by its extraordinary connections to Washington, D.C., and marked by the highest levels of academic excellence and creativity. This sense of purpose is accurately reflected in the 15-point plan. The 1997 strategic plan and 15 points have guided faculty, administration, staff, governing bodies and students in making decisions that advance the university’s mission. Planning mechanisms facilitate the advancement of the 15-point plan and provide administrators, faculty, and staff opportunities to evaluate candidly institutional effectiveness.

Now that fulfillment of the 15-point plan is well under way, the challenge is to find ways to prioritize and reevaluate the plan, to move forward with continuous, long-term planning, and to overcome any challenges in communicating these issues to the university community.

Details of this standard are laid out in Chapter 2.

Standard 2: Planning, Resource Allocation, and Institutional Renewal

Financial planning and proper resource allocations are an integral part of the implementation process of the university’s strategic plan. The implementation of a two year rather than a one year budget cycle helps to provide continuity in planning and resource allocation.

One important program to assure appropriate planning, allocation, and renewal is the staff Performance Management Program. The program is designed to stimulate more dynamic goal setting at the university, ensure alignment of goals, reinforce behaviors that support the university’s strategic direction, and create better communication between administrators and staff. The program consists of three distinct phases—planning performance expectations, managing performance, and assessing results at the end of the performance cycle.

The President, his Cabinet, and the Board of Trustees have taken the leading role in long range planning and institutional renewal. Details of this standard are laid out in chapters 2 and 3.

Standard 3: Institutional Resources

The financial health of the institution has improved. The institution received an A rating from Standard and Poor’s (2002). The endowment grew from under \$40 million in FY1995 to more than \$160 million in FY2002. The AU budget has gone from \$180 million in FY1995 to \$310 million in FY2004.

The university is proud of making great progress towards improving the level of institutional resources during the past decade in that it: 1) exercised self-discipline in implementing important financial assessment procedures; 2) obtained updated and higher credit ratings; 3) achieved operating efficiency while maximizing technology; 4) became a pioneer in wireless technology; 5) provided information resources effectively to the university to support teaching, learning and research; and 6) improved academic and student life spaces on campus. These achievements, made with limited resources, are a reflection of sound fiscal management and continuous improvement initiatives.

The university is embarking on its most ambitious capital campaign ever, \$200 million. The campaign’s priorities are in line with the mission of the university and the 15-point plan:

- Campaign for the arts
- University endowments of chairs, professorships and scholarships
- Academic enhancement of centers and the library
- Student life
- Fund for Excellence (unrestricted dollars)
- Facilities, including School of International Service and School of Communication buildings
- WAMU Public Radio

There have been substantial improvements to both academic and student life spaces on campus. Major renovations include the Washington College of Law, the Ward Circle Building, the Battelle-Tompkins Building, and the Kogod School of Business Building. In 1991, the first floor of the Mary Graydon Center was renovated, and in 2002, the second floor of the center was renovated in order to provide student clubs and organizations and some student services with better facilities. As a result of generous gifts, the university opened the William I. Jacobs Fitness Center in 1998 and the Harold and Sylvia Greenberg Theatre in 2003. The Dr. Cyrus and Myrtle Katzen Arts Center is scheduled to open in spring 2005.

Considerable progress has been made in the area of technology resources. From 1998 to 2002 more than 20 separate and largely incompatible administrative information systems were replaced by a single enterprise-wide system of relational databases. In 1997 American University was voted one of the 50 most “wired” campuses in the country. Today, American University is not only wired but wireless. In 2003, it became one of the few institutions that offer wireless access in all buildings and campus grounds. Since the last self-study, numerous on-line services are now available to faculty, students, and staff.

Details of this standard are laid out in Chapter 3.

Standard 4: Leadership and Governance

The legal powers of the institution are vested in the Board of Trustees. AU seeks to recruit participants to its Board of Trustees who can represent constituent and public interests and carry out the board’s fiduciary responsibilities. The official screening criteria for potential trustees favor nominees who understand the university; are willing to promote its interests; possess local, national, or international influence; are willing to make significant financial contributions to the university and assist in its fund-raising activities; have proven leadership ability; and are able to attend and be involved regularly in board and university activities.

The constituencies making up American University play an important role in university governance. The university has written governing documents that

clearly delineate the governance structure. Students have input in a number of ways and play an integral role on many committees on campus.

Working with the administration, the teaching faculty has reorganized the system of faculty governance. The new faculty governance structure is built upon four basic principles: (1) that a democratic and inclusive faculty governance system that strengthens the ability of the faculty to meet its responsibilities to the institutions and our students is important; (2) that faculty time is valuable, and the demands of our primary responsibilities for teaching, research and service are substantial; (3) that whenever possible, decisions should be made at the school, college, and library (i.e. “academic unit”) or department level by those most affected by them; and (4) that duplication of functions should be avoided.

Details of this standard are in Chapter 4.

Standard 5: Administration

President Benjamin Ladner has provided leadership and administrative oversight for the university through many significant actions since being appointed president in July 1994. These actions include: leading the institution in the development of its mission statement, the Statement of Common Purpose (1994); the development and successful implementation of the strategic plan, described in *Building a Global University in the Nation’s Capital: American University in the Next Century* (1995–2001); the development and organization of the Campus Conversations (2000–2001); and the development and current implementation of the university’s 15-point plan, described in: *Ideas into Action, Action into Service: Fulfilling the American University Paradigm* (2002–present). Members of the President’s cabinet are also well qualified and experienced in university administration. The institution’s commitment to becoming a global university has been strengthened through the creation of a vice presidency of international affairs.

Details of this standard are in Chapter 4.

Standard 6: Integrity

The university takes integrity, in all of its forms, very seriously. Examples of integrity permeate the *Self-Study Report*. For example, the academic integrity code for students is discussed in chapter 7, rules governing conflict of interest of trustees in chapter 4, disability support services, judicial affairs, and grievance procedures are discussed in chapter 6. The university works very hard to maintain and nurture a climate of respect and diversity on campus in the faculty, students, and staff. These efforts take several forms, including hiring initiatives for minority faculty and staff, recruitment of underrepresented groups of students, and student support services that include the Office for Multicultural Affairs and Disability Support Services.

Standard 7: Institutional Assessment

At American University assessment is not something separate and apart from what we do. It is so engrained in how we plan and manage that it is integrated into almost every office and department.

Assessment takes place at all levels of the institution. With the Performance Management Program (PMP), staff members create written plans that state goals and ways to assess progress towards goals. The PMP process has helped to give staff members a sense of how those goals contribute to the overall mission of the department, division, and university. In many cases, the process has resulted in shifts in priorities, as staff members move away from activities that once seemed important to activities that most directly benefit the institution as a whole.

Assessment happens at the department and division level as well. Chapter 2 discusses how units set goals based on university priorities and how progress is documented in annual reports. The ways in which assessment results are used by units can be seen throughout the *Self-Study Report*. In Chapter 3, for example, the library's collection assessment project is discussed. Chapter 6, Learning Resources and Campus Life, reviews how academic advising, the Health Center, the Office of the Registrar, the Career Center and others assess their units. It provides examples of how assessment has been used to improve services.

Institutional assessment is discussed throughout the report. Chapter 2 highlights many of the assessment mechanisms used by the university. Chapter 3 discusses the assessment procedures in place to ensure that AU has the resources it needs to fulfill its mission. Chapter 4 reviews assessment of the Board of Trustees, Chapter 5 discusses assessment of faculty, and chapters 7 and 8 discuss assessment of learning outcomes.

Standard 8: Student Admissions

American University has become an increasingly selective university, based upon lower undergraduate admissions rates and rising high school GPAs. Entering SAT scores have remained near the 1200 composite mark (allowing for the re-centering of SAT scores in fall 1996), reaching 1226 in 2003. Significantly, AU's average SAT profile has been from 19 to 26 percent higher than the national average. Admissions policies have enabled the institution to advance its goals of attracting high quality students to the institution. In 1994 the acceptance rate of undergraduate students was 77 percent and the average GPA was 3.21. In fall 2003, the admit rate was 59.8 percent and the average high school GPA was 3.40. Success is seen, in part, by AU's one-year retention rate (86%) and six-year graduation rate (71%).

At the graduate level, entering qualifications of students have also improved. As the university strives to

meet its goal to further improve the academic quality and national reputation of its graduate programs, the report recommends that the university reexamine the ways in which graduate financial aid is both budgeted and administered.

Details of this standard can be found in chapters 7 and 8.

Standard 9: Student Support Services

At AU a broad range of resources and services support students in their academic endeavors and in their personal lives. These programs contribute to the university's ethos of engagement as they help students develop the knowledge, skills, and self-assuredness to become global citizens.

Academic support services include library instruction and services, the services of the registrar, professional academic advisors across the disciplines, alumni services, career counselors, and specialized centers offering individualized support for study, writing, language, and quantitative skill development.

Student support services that meet the needs of all students include programs such as counseling, health care and education, and judicial services. AU also offers a rich array of programs that meet the needs of specific populations. Through consultation and outreach, these programs educate the campus community about health and wellness issues, behavioral norms and expectations, and the richness and diversity that characterizes community life at American University.

Student life encompasses a broad array of services and programs that affect the quality of the overall student experience. These include orientation programs, which welcome new members of the community; housing and dining programs, which meet both basic and developmental needs; leadership and personal growth experiences offered through the University Center, Student Activities, and the Kay Spiritual Life Center; and much more.

Details of this standard can be found in Chapter 6.

Standard 10: Faculty

The faculty of American University are skilled and talented teachers and scholars. They interact closely with their students both inside the classroom and outside of it. They produce scholarship and creative works that advance their fields. They engage in service that enhances both the university and their disciplines. The faculty's diverse passions, talents, and efforts are at the heart of the collective quest that is AU's mission.

The quality of faculty and support for faculty have improved. The percentage of faculty with the highest degree in their field has increased from 91.8 percent in 1994 to 96.2 percent in 2002. Standards for appointment and promotion have been raised. The salaries of all full-time faculty have improved, based on the

American Association of University Professors (AAUP) standards. Full professors reached AAUP 1 status for the first time in fall 2000 and associate professors reached AAUP 1 in 2002.

Details of this standard can be found in Chapter 5 and Chapter 9.

Standard 11: Educational Offerings

The richness, rigor, and range of educational offerings at AU are remarkable. Significant progress has been made in fulfilling the mission of academic excellence. The overall quality of academic programs—both undergraduate and graduate—has improved. The university was awarded a Phi Beta Kappa chapter in August 1994. A report by the 2002 National Survey of Student Engagement compares American University with others in its Carnegie classification and gives AU first-year students the highest score for “active and collaborative learning” and “enriching educational experiences.” Some of AU’s graduate programs are ranked among the best in the country.

A thorough review of a number of academic programs has been completed, including extensive reviews of the General Education Program (2000–2001), the University Honors Program (2000–2001), master’s programs (1997–2000 and 2002–2003), and doctoral programs (1994–1998 and 2002–2003). This resulted in significant improvements to the General Education and University Honors Programs and the elimination of several master’s and doctoral programs.

Support for AU’s educational programs is evident in a number of ways. For example, the library materials budget has doubled over the past 10 years, enabling the library to make significant improvements to its electronic holdings and increasing the total number of volumes to 777,000 in FY2003.

Details related to academic programs and the academic experience can be found in chapters 7, 8, and 9. Details related to supporting resources can be found in Chapter 3.

Standard 12: General Education

All undergraduate students at AU must complete the university’s General Education requirements. The university launched this program in fall semester 1989 and comprehensively reviewed it during AY2000–2001. Overarching principles and institutional values drive the program. In addition to specific learning objectives articulated in the program’s five curricular areas, the program as a whole develops some fundamental ideals and skills. These include writing; critical thinking; recognizing ethical issues pertinent to the field or discipline; quantitative and computing skills; intuitive, creative and aesthetic faculties; awareness of a variety of perspectives, including those perspectives that emerge from new scholarship, race and class as

well as from non-Western cultural traditions; information literacy skills; oral communication skills; and a global perspective.

AU’s general education program has been a model nationally for such programs. The AU model was one of the first in the country to embed overarching values and learning objectives in its courses. The program has been actively engaged in self-assessment since its inception, and that assessment process has led to a number of improvements, even prior to the comprehensive review of AY2000–2001.

Details of this standard can be found in Chapter 7.

Standard 13: Related Educational Activities

Experiential Learning

American University students seek integration of their academic curriculum with professional experience, a reality borne out by the large numbers who avail themselves of internship opportunities. Full-time faculty members from all units oversee these internships. Internship assessment includes performance evaluation by employer and faculty alike, journal records, portfolio records, and research papers and reports. Both the academic units and the Career Center’s internship program office administer these internship opportunities. AU students have internships in an extraordinary array of public, private, and not-for-profit settings in the District of Columbia and around the world.

The Washington College of Law also boasts an extensive and well-organized Supervised Externship Program, in which students work as volunteers in a variety of legal workplaces in Washington, DC and elsewhere, receiving course credit for both their fieldwork and their participation in a special seminar that provides an opportunity for reflection on the lawyering experience.

Study Abroad

In order to “build a distinctive, global university” as stated in the strategic plan, AU offers numerous study abroad opportunities. For more than 20 years, AU has administered study abroad programs primarily through the World Capitals Program, founded in 1982. In August 2003, President Ladner announced that the study abroad program would be reorganized and managed in the future by the Office of International Affairs under the direction of vice president Robert Pastor. The president also announced that a new office, AU Abroad, would oversee all university-wide study abroad programs.

In every study abroad site, faculty selection and affiliation meet the same standard of high quality as American University’s Washington, D.C. campus. When AU has affiliations abroad and students directly enroll in foreign institutions, AU facilitates the process

and ensures that institutions meet local standards of accreditation and high standards of quality. All programs and courses abroad undergo evaluation every semester to ensure that they meet the expected academic rigor and effectiveness to educate global citizens.

On March 17, 2003, President Ladner established a project team to transform into reality point 6 of the 15 point plan, specifying that AU will “become the premier global university in the United States.” The team’s recommendations include:

- encourage all AU undergraduates to avail themselves of an international experience that could include an array of programs; and
- expand the World Capitals Program, with additional sites and greater integration of study at these sites with the locality.

These recommendations are now in the process of being implemented.

Details of this standard can be found in chapters 7 and 9.

Standard 14: Assessment of Student Learning

AU’s learning outcomes plan focuses on the program level. While assessment plans are reviewed by the deans and provost, the “ownership” of the plans rests with the departments themselves. The program is designed to assist departments in self-reflection, analysis of goals, and program improvement. Institutional support is provided by the Office of Institutional Research and Assessment, the Center for Teaching Excellence, and a newly formed Learning Outcomes and Assessment Project Team. This project team is made up of peers who are charged with facilitating the learning outcomes project. A complete review and revision of the university’s survey assessment tools was completed in 1997.

Departmental assessment of learning outcomes at AU is not new. Many programs have had comprehensive strategies for assessing how well students acquire the skills and knowledge expected of them in the major. A survey of assessment activities, conducted as part of the university’s Periodic Review Report, found that “virtually all academic units are involved in some form of outcomes assessment, though these may not be recognized as such.” The latest efforts to track and communicate learning objectives have provided academic departments with the opportunity to clarify mission statements, document success, and identify areas for improvement.

The university’s schools and colleges continue to participate in the reaccreditation processes of their respective professional organizations, with the most recent reaccreditation, the Kogod School of Business, having occurred in 2003.

Details of this standard can be found in chapters 7 and 8.

Overall Recommendations

While the overall health of the university is strong, the self-study has provided the institution with an opportunity to explore ways in which its mission can be more fully realized. Each chapter in the *Self-Study Report* offers recommendations. In the years to follow, three main challenges for American University exist:

- 1) To make improvements to the overall student experience while at the same time preserving the many facets of the current curriculum that make American University such an excellent institution
- 2) To lessen our dependence on tuition and generate new sources of revenue
- 3) To improve the channels of communication and provide even more opportunities for input into the decision-making and planning processes of the institution



INTRODUCTION

CHAPTER 1 INTRODUCTION

BACKGROUND: A SKETCH OF AMERICAN UNIVERSITY

Academic Profile

American University is a private doctoral institution located in a residential neighborhood of Washington, D.C. Total fall 2003 enrollment was 11,709: 8,683 full-time students and 3,026 part-time students. Of the 11,709 students, 5,626 were degree-seeking undergraduates, 3,507 were degree-seeking graduate students, 1,593 were law students, 452 were nondegree or certificate students (less than 5 percent of the total), and 531 were fall 2003 visiting students in the Washington Semester and AU Abroad programs.

The university offers 56 bachelor's degrees, 49 nonlaw master's degrees, 8 doctoral degrees, and 4 law degrees. There are more than 20 programs (mostly graduate) leading to certificates. Courses are offered on a semester basis. In addition to the 15-week fall and spring semesters, the university offers several summer terms, primarily 6 or 7 weeks in length.

American University students are drawn from across the country and the world. Students come from all 50 states and 140 countries. Although AU is located in Washington, D.C., less than 18 percent of full-time undergraduate students come from D.C., Maryland, or Virginia. Seven percent of the undergraduate population and almost 14 percent of the graduate population are international students.

The university's mission is carried out by 476 full-time teaching faculty, 19 administrative faculty, 83 faculty serving in other capacities (such as librarians and research faculty) or on leave, and 1,143 full-time staff. More than 96 percent of full-time faculty have the highest degree in their field. In addition, American University takes pride in its 475 adjunct faculty, who include policy makers, diplomats, journalists, artists, writers, scientists, and business leaders.

American University is organized into six major schools and colleges:

- **The College of Arts and Sciences (CAS).** Founded in 1925, the College of Arts and Sciences is the largest school or college at the university. It is home to the Departments of Anthropology; Art; Biology; Chemistry; Computer Science, Audio Technology and Physics; Economics; Health and Fitness; History; Language and Foreign Studies; Literature; Mathematics and Statistics; Performing Arts; Philosophy and Religion; Psychology; and Sociology, and the School of Education. All

departments offer bachelor's degrees and most offer master's degrees. Doctoral degrees are offered in the Departments of Anthropology, Economics, History, and Psychology. The college is headed by Dean Kay Mussell, professor of literature, and includes 212 full-time teaching faculty.

- **School of Public Affairs (SPA).** The School of Public Affairs was founded as a department in 1934 and established as a school in 1957. It has three departments: Government; Justice, Law and Society; and Public Administration. It offers bachelor's, master's, and doctoral degrees. Its programs have received recognition by *U.S. News and World Report* and others as one of the top 12 such schools in the country. In addition, it is known for its series of nondegree offerings in such topics as campaign management, women and politics, and lobbying. The school is headed by Dean William LeoGrande, professor of government, and is home to 51 full-time teaching faculty.
- **Washington College of Law (WCL).** The Washington College of Law was founded independently in 1896 as a coeducational institution, offering one of the few opportunities for women to study law. The college became a professional division of American University in 1949. Ranked by *U.S. News and World Report* as one of the top 55 law schools in the nation, the college offers a juris doctor degree, a master of laws degree, and a doctor of juridical science degree. It is headed by Dean Claudio Grossman, professor of law, and has 58 full-time teaching faculty. In 2002, WCL was reaccredited by the American Bar Association (ABA).
- **Kogod School of Business (KSB).** Founded in 1955, the school of business is home to the departments of accounting, finance and real estate, information technology, international business, management, and marketing. KSB is recognized by *Business Week*, *U.S. News and World Report*, and *The Wall Street Journal Guide to the Top Business Schools* in their rankings of top business programs. For example, the 2004 *Wall Street Journal*/Harris Interactive survey report of the top 50 MBA programs in the country ranked AU 42nd. The school offers undergraduate degrees, master of science degrees, and a master of business administration degree. The college is under the leadership of Dean Myron Roomkin, professor of management, and includes 56 full-time teaching faculty. In 2003, the school's accreditation was reaffirmed by the Association to Advance Collegiate Schools of Business (AACSB).

- **School of International Service (SIS).** Founded in 1957, the School of International Service is the largest school of international affairs in the country. It offers undergraduate degrees in international studies and in language and area studies, a wide variety of master's degrees, and a doctoral degree in international relations. Students in SIS study a broad range of fields, including international communication, international development, international economics, U.S. foreign policy, peace and conflict resolution, global environmental policy, and ethics and peace. The school is led by Dean Louis Goodman, professor of international relations, and includes 51 full-time teaching faculty.
- **School of Communication (SOC).** The School of Communication is the newest school or college in the university, founded in 1976 and separated from CAS in 1993. It offers bachelor's and master's degrees in fields such as journalism, public communication, visual media, communication studies, and film and electronic media. Under the leadership of Dean Larry Kirkman, professor of communication, the school has 33 full-time teaching faculty.

In addition to the six major schools, the Washington Semester Program, headed by Dean David Brown, plays a vital role at the institution. Every semester, approximately 400 students from around the country and the world visit the institution to take classes and to participate in the internship opportunities offered in Washington, D.C. More than 200 colleges and universities are affiliated with the program. A wide variety of topics is studied: American politics, economic policy, justice, international business and trade, international environment and development, and museum studies and the arts. Under the leadership of Dr. Robert Pastor, vice president of International Affairs, the AU Abroad Program offers students the opportunity to study in major capital cities and other areas abroad and gain full AU course credit. In 2002–2003, 484 AU and non-AU students took advantage of this opportunity at such sites as Brussels, Buenos Aires, Beijing, Berlin, Rome, Prague, Southern Africa, Paris, London, Santiago, Madrid, and Sydney.

University Governance

The legal powers of the university are vested in the Board of Trustees. Executive and administrative authorities are given to the chief executive officer, President Benjamin Ladner. The university administration includes Provost Cornelius M. Kerwin as the chief academic officer and Donald L. Myers as the chief financial officer and vice president of finance and treasurer; Albert R. Checcio, vice president of development; Gail Short Hanson, vice president of campus life; Cheryl Storie, acting vice president of enrollment services; Robert Pastor, vice president of international affairs; and Mary E. Kennard, vice president and general counsel. In

addition, faculty, staff, and students participate in various levels of governance through appropriate university-wide, college-specific, or student representative bodies, committees, councils, and project teams.

Buildings and Facilities

American University's 88.5-acre campus consists of the main campus at 4400 Massachusetts Avenue, the Tenley satellite campus (home to the Washington Semester Program) and the Washington College of Law. The university has 50 buildings, including 10 residence halls (housing approximately 3,800 students) and 40 academic and administrative buildings. In addition to these buildings, a new arts center is currently under construction. The university has several administrative buildings located in close proximity to the university: 4000 Brandywine Street, 3201 New Mexico Avenue, and 4200 Wisconsin Avenue.

A BRIEF HISTORY

American University was chartered by an Act of Congress in 1893 and was founded as a graduate institution under the auspices of the United Methodist Church. The institution was the vision of Methodist Bishop John Fletcher Hurst, who recognized the importance of establishing an institution to train and support public servants. For the institution to succeed, however, it needed more than a vision—it needed money. Bishop Hurst worked to gain financial backing for the institution. In 1902, the cornerstone of the McKinley Building was laid by President Theodore Roosevelt. After more than two decades devoted to securing the funding necessary to hire teachers and hold classes, the university finally admitted its first class of 28 graduate students (including 4 women) in 1914. From its inception, the institution had close ties to Washington, D.C., and our nation's government. President Woodrow Wilson officially dedicated the university on May 27, 1914. The first class graduated in 1916. In addition to hosting classes, during World War I the campus was used by the War Department for training and chemical testing.

By 1925, the first undergraduate students were admitted. Seventy-five students enrolled and, like the graduate programs, undergraduate programs were geared towards preparing students for a life of public service. While initially enrollment grew, the university had a difficult time retaining students during the Great Depression.

By the 1940s, the institution had recovered and enrollment jumped back to nearly 1,000 students. Once again, the nation's War Department used the campus for training and research. In addition to a tremendous growth in the number of buildings on campus, the university changed programmatically as well. The Washington Semester Program was established in 1947 and the Washington College of Law merged with the university in 1949.

The 1950s and 1960s solidified many of the institution's essential educational missions. Three departments were reorganized as schools: the School of Business Administration, subsequently named the Robert P. and Arlene R. Kogod School of Business; the School of Government and Public Administration, now the School of Public Affairs; and the School of International Service. AU also experimented with providing a broader range of education and training. In 1965, it established both a College of Continuing Education and a School of Nursing. Both of these programs were eventually discontinued.

By the 1970s, AU had matured to the point where it had a solid sense of its mission and purpose. The 1970 mission statement emphasized that "American University should realize its potential by resourceful utilization of Washington's three major dimensions: the National, the International, and the Urban. The University should bring its energies to bear on each of these dimensions of Washington's identity." In addition to emphasizing the institution's important ties to the Washington, D.C., area, the mission statement also stressed the importance of combining "theory with practice, observation with participation."

While the 1980s began with a period of financial difficulty for the institution, the decade was also a period of renewed commitment to making American University an institution of academic excellence. This commitment was symbolized by the opening of the new library building in 1979. Academic quality, admissions standards, and reputation rose. It was a period of unprecedented strategic planning geared towards putting the values of the 1970s mission statement into focus. In 1980, a master planning document, AU85, set specific goals geared towards improving academic quality and fiscal responsibility.

As American University approached its last self-study, it was in a period of change and renewal. Academically, the institution was never stronger. The quality of its students, faculty, and staff continued to improve. However, the university had had three presidents in the years just before the last self-study, and leadership was in a state of flux. Thus, the last *Self-Study Report* recognized the need for a number of important steps to be taken, including the stabilization of leadership, the refinement of the institution's mission statement, the development and implementation of a strategic plan, and the improvement of its fiscal health.

THE LAST 10 YEARS

In the fall of 1994, immediately following American University's last self-study, a Statement of Common Purpose was adopted by the university's Board of Trustees. It states that American University's

distinctive feature, unique in higher education, is its capacity as a national and international university to

turn ideas into action and action into service by emphasizing the arts and sciences, then connecting them to the issues of contemporary public affairs writ large, notably in the areas of government, communication, business, law, and international service.

Since American University's last decennial review, much progress has been made towards realizing our mission. Signs of change and growth are everywhere. The financial health of the university is strong, major academic and student buildings have been renovated, student services have been expanded, student quality has increased, and faculty compensation and quality have improved.

Over the last 10 years, much has been accomplished. For example:

- The university has a highly qualified and experienced administrative team. President Benjamin Ladner arrived at the university shortly after our decennial accreditation review in 1994 and has provided stability to that office. The institution's commitment to becoming a global university has been strengthened through the creation of a vice president of international affairs.
- The quality of faculty and support for faculty have improved. The percentage of faculty with the highest degree in their field has increased from 91.8 percent in 1994 to 96.2 percent in 2002. Standards for appointment and promotion have been raised. The salaries of all full-time faculty have improved, based on the American Association of University Professors (AAUP) standards. Full professors reached AAUP 1 status for the first time in fall 2000 and associate professors reached AAUP 1 in 2002.
- Improvements have been made in the area of enrollment management. The quality of students has improved. In 1994 the acceptance rate of undergraduate students was 77 percent and the average GPA was 3.21. In fall 2003, the admit rate was 59.8 percent and the average high school GPA was 3.40.
- Significant progress has been made in fulfilling the mission of academic excellence. The overall quality of academic programs—both undergraduate and graduate—has improved. The university was awarded a Phi Beta Kappa chapter in August 1994. A report by the 2002 National Survey of Student Engagement compares American University with others in its Carnegie classification and gives AU first-year students the highest score for "active and collaborative learning" and "enriching educational experiences."
- A thorough review of a number of academic programs has been completed, including extensive reviews of the General Education Program (2000–2001), the University Honors Program (2000–2001), master's programs (1997–2000 and 2002–2003), and doctoral programs (1994–1998

and 2002–2003). This resulted in significant improvements to the General Education and University Honors Programs and the elimination of several master's and doctoral programs.

- Assessment has become more regularized. A complete review and revision of the university's survey assessment tools was completed in 1997. The university's schools and colleges continue to participate in the reaccreditation processes of their respective professional organizations, with the most recent reaccreditation, the Kogod School of Business, having occurred earlier this year. A performance management system incorporating goals and assessment of goals was established in 2000. A program to better articulate and assess learning objectives was established in 2002.
- There have been substantial improvements to both academic and student life spaces on campus. Major renovations include the Washington College of Law, the Ward Circle Building, the Battelle-Tompkins Building, and the Kogod School of Business Building. In 1995, the first floor of the Mary Graydon Center was renovated, and in 2002, the second floor of the center was renovated in order to provide student clubs and organizations and some student services with better facilities. As a result of generous gifts, the university opened the William I Jacobs Fitness Center in 1998 and the Harold and Sylvia Greenberg Theatre in 2003. The Dr. Cyrus and Myrtle Katzen Arts Center is scheduled to open in spring 2005.
- Considerable progress has been made in the area of technology. From 1998 to 2002 more than 20 separate and largely incompatible administrative information systems were replaced by a single enterprise-wide system of relational databases. In 1997 American University was voted one of the 50 most "wired" campuses in the country. Today, American University is not only wired but wireless. In 2003, it became one of the few institutions that offer wireless access in all buildings and campus grounds. Since the last self-study, numerous on-line services are now available to faculty, students, and staff.
- The library materials budget has doubled over the past 10 years, enabling the library to make significant improvements to its electronic holdings and increasing the total number of volumes to 777,000 in FY2003.
- The financial health of the institution has improved. The institution received an A rating from Standard and Poor's (2002). The endowment grew from under \$40 million in FY1995 to more than \$160 million in FY2002. The AU budget has gone from \$180 million in FY1995 to \$310 million in FY2004.

- The number and variety of student services have improved, and the delivery of services has been better coordinated and consolidated in order to provide a more seamless experience for students.

These accomplishments have not come by chance. They are, in part, the result of a concerted strategic planning effort. This effort was noticeable in 1997 with the adoption of a new strategic plan. It has been advanced by the university's latest planning efforts, led by the president in 2000.

In fall 2000, President Ladner initiated a series of Campus Conversations about the future of the university. Students, faculty, and staff from across campus discussed issues related to enrollment, academic excellence, globalism, management, and revenue. As President Ladner pointed out, the conversations were designed to answer the question, "Which priorities will enable us to build a distinctive, high-quality academic community for the long term?"

The conversations culminated in an address by President Ladner to the university community on October 3, 2001. In this speech, the president said that to fulfill the paradigm expressed by the Statement of Common Purpose, AU would implement three integrated priorities:

- the quality of academic inquiry
- the quality of student experience
- the quality of extensive engagement with Washington and global affairs

These priorities are manifested in what has come to be known as the 15-point plan. While a more detailed description of this plan is discussed in the next chapter, a brief mention of the points is in order:

- 1) We will undertake and complete the largest and most successful fund-raising campaign in AU's history. . . .
- 2) We will become a smaller university. . . .
- 3) The undergraduate experience will become the central focus of the university. . . .
- 4) There will be significantly fewer master's and doctoral programs but with much higher academic quality and support. . . .
- 5) As a smaller university, we will reduce cost and increase operational efficiency. . . .
- 6) We will add to our reputation as a Washington-based, global university. . . .
- 7) Faculty teaching, research, and service will have added meaning and resources. . . .
- 8) The number of adjunct faculty will be reduced sharply, with no more than 10 percent of undergraduate courses taught by adjuncts. . . .

- 9) We will establish a system of differential teaching and research loads for faculty. . . .
- 10) The academic advising system will be restructured significantly and will become the single most important administrative service to students. . . .
- 11) We will enhance our profile as a values-based institution, emphasizing long-held university commitments to such values as human rights and dignity, social justice, environmental protection, diversity, and individual freedom. . . .
- 12) A new Office of Campus Life will be created, headed by the current vice president of student services. . . .
- 13) A new model of governance will be created to provide a more flexible, consultative, and efficient system of decision making. . . .
- 14) A new University Enterprise Center will be established under the direction of the vice president of finance and treasurer to pursue institutional development through financial opportunities. . . .
- 15) We should take seriously our responsibility to encourage physical fitness throughout our community. . . .

American University's priority is excellent education. As President Ladner put it in his October 2001 address, "Our primary obligation will always be to prepare a generation of leaders who are broadly educated, spiritually deep, passionately engaged, and capable of translating in a complex and dangerous environment the lasting values of truth, beauty, and goodness, which are the hallmarks of a humane and civilized world." It is this sense of purpose, this mission, that drives American University today.

ABOUT AMERICAN UNIVERSITY'S SELF-STUDY

American University's decennial institution-wide self-study has provided the university a unique opportunity to examine further the extent to which the priorities of the university are being realized. Given the extensive nature of the president's strategic view for the university and the important role that engagement plays in fulfilling our mission, American University elected to use the Comprehensive Self-Study Model with an emphasis on engagement. For purposes of the study, engagement is defined as "The systematic encouragement and implementation of active, deep connections between elements of the student experience that integrate academic programs and campus life and the larger local, national, and international communities." The goal has been to examine the extent to which American University is meeting the accreditation standards as articulated in the Middle States Commission on Higher Education's *Characteristics of Excellence*. In order to optimize the benefits of such an examination, these standards were viewed within the context of our own mission and objectives.

In January 2002, the university established a 20-person Self-Study Steering Committee consisting of faculty, staff, and students. Chairing the Steering Committee was **David Culver**, professor of biology. Dr. Culver was appointed to the faculty in 1987 and has served as the chair of the biology department, coordinator of the Environmental Studies Program, and associate dean for academic affairs in the College of Arts and Sciences. Also leading the effort was **Karen Frosolid Jones**, director, Office of Institutional Research and Assessment. Other members of the committee were:

Anthony Ahrens, Associate Professor of Psychology, College of Arts and Sciences (CAS)

Nana An, Executive Director, Budget and Payroll

Megan Arzberger, Undergraduate Student Representative (service through May 2003)

Robert L. Ayres, Assistant Vice President of International Affairs, Office of International Affairs (service beginning summer 2003)

Robert A. Blecker, Professor of Economics, CAS

David Carrera, Senior Director, Office of Development

Michele Carter, Associate Professor of Psychology, CAS

Barbara Diggs-Brown, Associate Professor of Communication, School of Communication (SOC)

Frank L. DuBois, Associate Professor of International Business, Kogod School of Business (KSB)

Greg Gadren, Graduate Student Representative (service through spring 2002)

Mark Huey, Assistant to the President, Office of the President

Faith C. Leonard, Assistant Vice President and Dean of Students, Office of Campus Life

Nanette S. Levinson, Associate Professor of International Relations and Associate Dean, School of International Service (SIS)

Anthony Macri, Graduate Student Representative (service beginning spring 2002)

Haig L. Mardirosian, Professor of Music, CAS; Associate Dean of Academic Affairs; and Director of the General Education Program

Howard E. McCurdy, Professor of Public Administration, School of Public Affairs (SPA)

Andrew D. Pike, Associate Dean of Academic Affairs, Washington College of Law (WCL)

Cheryl Storie, Acting Vice President of Enrollment Services

Patricia Wand, University Librarian

Angela Wu, Professor of Computer Science, CAS

In order to ensure broad participation by the university community, the following task forces were developed to address each of the major chapters in the *Self-Study*

Report. Each task force is chaired by members of the Steering Committee. The task forces and their members are as follows:

Mission, Goals, and Objectives Task Force

The Steering Committee served as the task force that reviewed and examined the university's mission, goals, and objectives. Since its last decennial accreditation, American University has made great advances in its strategic planning. The most significant initiatives include the university's 1997 strategic plan, the 2000–2001 campus-wide conversations about the future direction of the university, and President Ladner's 15-point vision for the university, first outlined in his October 3, 2001, address to the community entitled "Ideas into Action, Action into Service." The task force was charged with reviewing the success of the university's strategic planning efforts and reviewing the 15-point plan adopted by the Board of Trustees in November 2001.

In addition to a close examination of the mission, goals, and objectives, this task force was responsible for assessing the university's planning activities and the ways in which its goals are implemented and evaluated. The *Characteristics of Excellence* states that, "An effective institution is one in which growth, development and change are the result of a thoughtful and rational process of self-examination and planning, and where such a process is an inherent part of ongoing activities." (*Characteristics*, p. 4) This task force reviewed the many ways in which the mission, goals, and objectives are linked to, and reinforced by, the overall planning activities of the institution. Included in this chapter is a discussion of the university's performance management system, which is designed specifically to link individual and unit performance with the university's goals and objectives. The task force had primary responsibility for Standards 1 and 2 of the *Characteristics of Excellence*.

Institutional Resources Task Force

The fulfillment of a university's mission is possible only with the proper resources. American University is a private institution heavily dependent on tuition revenue. The financial soundness of the university and the efficacy of the means by which revenue is budgeted are critical to the well-being of the institution. This task force examined the university's financial health, including the degree to which new revenue resources have been generated. In addition, this task force was charged with assessing the university's facilities and its information, technological, and alumni resources.

While the Institutional Resources Task Force covered a broad range of issues, it had primary responsibility for Standard 3 of the *Characteristics*. The task force was chaired by **Nana An**, executive director of Budget and Payroll; **David Culver**, self-study chair and professor of biology, CAS; and **David Carrera**, senior director, Office of Development. Other task force members were:

Jorge Abud, Assistant Vice President of Facilities and Administration

Christine Chin, Assistant Professor, SIS

Vi Ettle, Assistant Provost

Janice Flug, Librarian, University Library

Phil Jacoby, Associate Professor, KSB

Robert Keith, Director of e-administration

Kathleen Kennedy-Corey, Associate Dean of Budget Administration, CAS

Mike Kern, Undergraduate Student Representative

Catherine (Liz) Kirby, Director of the Office of Sponsored Programs

Linda McHugh, Senior Editor, Alumni Periodicals

Carl Whitman, Executive Director of e-operations

Leadership, Governance, and Administration Task Force

The Leadership, Governance, and Administration Task Force examined the extent to which the university's leadership, governance structure, and administrative organization support and advance the institution's mission. The task force had primary responsibility for Standards 4 and 5 from the *Characteristics of Excellence*. The task force was cochaired by **Mark Huey**, assistant to the president, and **Howard McCurdy**, professor and chair of the public administration department, SPA. Other task force members were:

Todd Levett, Undergraduate Student Representative

Beth Muha, Executive Director of Human Resources

Kay Mussell, Professor of Literature and Dean of the College of Arts and Sciences

Jill Olmsted, Associate Professor, SOC, and former Chair of the University Senate

Melissa Ramsepaul, Staff Assistant, e-operations, and Chair of the Staff Council

Catherine Schaeff, Associate Professor of Biology

A. W. (Pete) Smith, Chair of the Board of Trustee's Campus Life Committee

Faculty Task Force

Faculty are central to American University's mission. A large portion of the 15-point plan addresses issues directly related to faculty, including faculty composition, research, teaching, and service. The Faculty Task Force had primary responsibility for Standard 10 of the *Characteristics of Excellence*. It was cochaired by **Anthony Ahrens**, associate professor of psychology, CAS, and **Angela Wu**, professor of computer science, CAS. Other task force members were:

Robin Beads, Research Analyst, Office of Institutional Research and Assessment

Barlow Burke, Professor, Washington College of Law

John Doolittle, Associate Professor, SOC

Gary Ford, Professor of Marketing, KSB

Tom Husted, Professor of Economics, CAS

Robert Jernigan, Professor of Mathematics and Statistics, CAS

Jim Lynch, Professor of Justice, Law and Society, SPA

Mary Mintz, Associate Librarian, University Library

Mohammed Abu-Nimer, Associate Professor, SIS

Marianne Noble, Associate Professor of Literature, CAS

Charles Pibel, Associate Professor of Chemistry, CAS

Scott Schlessinger, Adjunct Lecturer, Information Technology, KSB

Learning Resources and Campus Life Task Force

As Standard 9 of the *Characteristics* states, “Within the scope of the institutional mission, student services can reinforce and extend the college’s influence beyond the classroom. These services promote the comprehensive development of the student, and they become an integral part of the educational process, helping to strengthen learning outcomes.” The Learning Resources and Campus Life Task Force examined the range of services available to American University undergraduate and graduate students and the degree to which services are meeting student needs. It had primary responsibility for Standard 9 of the *Characteristics of Excellence*. The task force was cochaired by **Faith Leonard**, dean of students, and **Pat Wand**, university librarian. Other task force members were:

Athena Argyropoulos, Associate Director of Athletics

Megan Arzberger, Undergraduate Student Representative

Melissa Becher, Assistant Librarian, University Library

Joseph Eldridge, University Chaplain

Michael Elmore, Senior Director of Student Activities

Kurt Gunderson, Academic Advisor

Anthony Macri, Graduate Student Representative

John Richardson, Professor, SIS, and Director, Center for Teaching Excellence

Katharine Stahl, Executive Director, Career Center

Tracey Vranich, Senior Director, Annual Campaigns and Alumni Programs

Julie Weber, Executive Director, Residential Life and Housing Program

Undergraduate Education Task Force

In looking at the undergraduate enrollment management, curriculum, and programs, this task force was charged with examining the degree to which the university is fulfilling its goal of academic excellence. This task force covered Standards 8, 11, 12, 13, and 14 of the *Characteristics of Excellence* as they relate to

undergraduates. The task force was cochaired by **Frank DuBois**, associate professor of international business, KSB, and **Haig Mardirosian**, director of the General Education Program and associate dean of academic affairs. Other members were:

Sharon Alston, Director of Admissions

Amy Morrill Bijeau, Associate Director of the World Capitals Program

W. Joseph Campbell, Associate Professor, SOC

Michelle Egan, Assistant Professor, SIS

Lynn Fox, Associate Professor of Education, CAS

Shammara Henderson, Undergraduate Student Representative

Robert Johnson, Professor of Justice, Law and Society, SPA

Larry Medsker, Professor of Physics, CAS

Merry Mendelson, Assistant Dean of Student Services, SOC

Virginia (Lyn) Stallings, Associate Professor of Mathematics and Statistics, CAS

Graduate and Professional Education Task Force

As with the Undergraduate Education Task Force, the Graduate and Professional Education Task Force examined the degree to which the university is fulfilling its goal of academic excellence in graduate and professional education. The task force was cochaired by **Robert Blecker**, professor of economics, CAS, and **Andrew Pike**, professor and associate dean, WCL. Other task force members were:

Deborah Brautigan, Associate Professor, SIS

Wendell Cochran, Associate Professor, SOC

Gina Dennis, Law Student Representative

Anita Dubey, Research Analyst, Institutional Research and Assessment

Brian Forst, Professor of Justice, Law and Society, SPA

Laura Langbein, Professor of Public Administration, SPA

David Pike, Associate Professor of Literature, CAS

Anthony Riley, Professor of Psychology, CAS

August Schomberg, Director of Graduate Programs, KSB

Jenna Young, Graduate Student Representative

Engagement Task Force

American University has a distinctive culture of engagement stemming from the university’s mission, history, location, leadership, and aspirations. This engagement involves a range of actors, offices, and activities, including faculty and student engagement with Washington as an international capital city and

university-wide engagement with global issues. The task force, for the first time, defined *engagement* and assessed the culture of engagement at American University. Its work provided an opportunity for a summative look at engagement, bringing together strands from the work of other task forces, plus findings from its own research. The task force was cochaired by **Barbara Diggs-Brown**, associate professor of communication, SOC; **Nanette Levinson**, associate professor of international relations and associate dean, SIS; and **Cheryl Storie**, acting vice president of enrollment services. Other task force members were:

Francine Blume, Director of Experiential Education, Career Center

Peter Jaszi, Professor of Law, WCL

Christian Maisch, Assistant Professor, Washington Semester Program and SIS

Karen O'Connor, Professor of Government, SPA

Anne Perry, Associate Professor of International Business, KSB

Naima Prevots, Professor of Performing Arts, CAS

Bernie Ross, Professor of Public Administration, SPA, and former Director, World Capitals Program

Kathy Schwartz, Director, Academic Support Center

Paula Warrick, Director of the Office of Merit Awards, Career Center

Wesley Williams, Undergraduate Student Representative

Self-Study Process

The task forces spent the 2002–2003 academic year gathering and reviewing information pertinent to their charges. In addition to important documents being available at the university's Middle States Web site, a document room was established and the Office of Institutional Research and Assessment worked closely

with each task force to ensure that all data and assessment information were available as needed. Several special assessment projects were designed and analyzed specifically for the task forces' work. For example, the Faculty Task Force surveyed all full-time faculty and the Engagement Task Force conducted a university-wide inventory of engagement. By spring 2003, draft reports were written by the task forces and submitted to the Steering Committee for review and revision. The Steering Committee met regularly throughout the 2002–2003 academic year and a draft report was completed by the summer of 2003. A draft report was circulated during the month of September 2003, and a number of university-wide and constituent-specific discussions took place across campus to gather feedback. Following discussion of the feedback during early October, the Steering Committee submitted the revised self-study to President Ladner for his approval. In early November, he submitted the report to the Board of Trustees for its approval. Those interested in seeing supporting documentation or learning more about the Middle States Self-Study process may visit the university's Middle States Web site, <www.american.edu/middlestates>.



MISSION, GOALS, AND OBJECTIVES

CHAPTER 2 MISSION, GOALS, AND OBJECTIVES

INTRODUCTION

American University has always had a strong sense of purpose. While this sense of purpose has evolved and grown over time, it has always remained grounded in: 1) a recognition of how the university's location in the nation's capital fosters the intellectual growth of our community, and 2) an unwavering commitment to the quality of academic inquiry. The self-study provides the university with the opportunity to reflect upon the ways in which the university has articulated its mission and developed plans to accomplish it.

This chapter reviews the progress and promise of American University's mission, goals, and objectives. It documents the processes used to develop the institution's strategic plans and reviews the degree to which goals and objectives are consistent with its mission. It examines the ways in which ongoing planning and resource allocation are used to further the institution's goals, and it reviews the institution's assessment activities. Finally, the chapter concludes with an analysis of the degree to which the current strategic plan—and ultimately American University's mission—is being realized.

MISSIONS AND STRATEGIC PLANS IN THE LAST DECADE

At the time of its last self-study, American University had much work to do in the area of strategic planning. Its 1987 plan, *AU100*, had just expired. The university was still operating under a 1970 mission statement, which said:

The American University should realize its potential by resourceful utilization of each of Washington's three major dimensions: the National, the International, and the Urban. The University should bring its energies to bear on each of these dimensions of Washington's identity.

This mission statement was reinforced by *AU100*:

Since its founding, The American University has aspired to one overarching goal: a great national university, located in the nation's capital, enriched by the city's incomparable resources, and welcoming talented and dedicated students and faculty from throughout the United States and around the world.

The 1997 Strategic Plan

The concepts behind the 1970 mission statement and *AU100*, while accurately reflecting much of who we were as an institution, were in need of review and revision. The 1993–94 steering committee listed as one of its primary recommendations the development of a new

mission statement to replace the previous one, approved in 1970. It also recommended that the university complete a new long-range plan. With his inauguration as president in 1994 following several years of temporary and short-term leadership at AU, Dr. Benjamin Ladner instituted a planning process to produce a mission statement and a strategic plan. He immediately established a process of soliciting ideas on the mission of the university from the entire university community. After a series of formal and informal meetings with faculty, staff, students, alumni, and trustees, he drafted a mission statement entitled Statement of Common Purpose and circulated it throughout the university for review. This document was widely discussed and commented on by the university community. For example, schools and colleges used the venue of departmental and chair meetings to solicit feedback on the statement. On the basis of the responses, alterations were made and a new draft was submitted to the University Senate, which endorsed the revised statement. The president then submitted it to the Board of Trustees, who approved it in fall 1994. (See Supporting Document 2.1)

The first paragraph of the statement lays out the new vision for the university:

The place of American University among major universities with first-rate faculties and academic programs grounded in the arts and sciences is secured by its enduring commitment to uncompromising quality in the education of its students. But its distinctive feature, unique in higher education, is its capacity as a national and international university to turn ideas into action and action into service by emphasizing the arts and sciences, then connecting them to the issues of contemporary public affairs writ large, notably in the areas of government, communication, business, law, and international service.

The statement sets five primary commitments:

- interdisciplinary inquiry transcending traditional boundaries among academic disciplines and between administrative units
- international understanding reflected in curriculum offerings, faculty research, study abroad and internship programs, student and faculty representation, and the regular presence of world leaders on campus
- interactive teaching providing personalized educational experiences for students, in and out of the classroom
- research and creative endeavors consistent with its distinctive mission, generating new knowledge beneficial to society

- practical application of knowledge through experiential learning, taking full advantage of the resources of the Washington, D.C., metropolitan area.

The Statement of Common Purpose signaled the start of a new and continuous planning process for the university. On October 3, 1995, President Ladner announced the appointment of a 17-member University Planning Committee (with four additional support staff). The committee was charged with charting the university's future direction, establishing broad goals, setting priorities, and identifying realistic objectives for the institution to accomplish over the next two to five years. The work of the committee was to be grounded in the Statement of Common Purpose and was to be developed through broad consultation with the AU community.

The committee was chaired by the president and included faculty, staff, students, and members of the President's Cabinet, selected on the basis of their experience, expertise, and their roles in the campus community. The committee was asked to think boldly and imaginatively in designing a plan based upon choices and actions that stem from agreement about the kind of university AU could and should become. The committee focus was on the long-range strategic direction (five to 10 years), as well as on goals and objectives that could be accomplished sooner.

Committee members worked both as a single group and in small teams, collectively shaping the university's strategic direction while identifying goals and objectives. Eight broad areas of campus life were identified as a fundamental framework for the effort and subcommittees were established on those areas: academic programs, campus culture, development and fund raising, diversity, enrollment services, facilities management and space planning, financial and budget management, and information technology. The teams consulted extensively with the relevant standing committees of the campus, with knowledgeable individuals, and with other concerned constituencies. Each team was responsible for producing an initial draft, which was submitted to the University Planning Committee for review.

The committee prepared its first strategic plan draft and distributed it to campus the week of September 16, 1996, for reaction, comment, and constructive suggestions. A dedicated e-mailbox was created to assist in collecting campus comments, which also came through letters, memos, phone calls, faxes, formal meetings, and informal conversation. The first draft was also distributed to the Board of Trustees for discussion at its fall meeting in November 1996. Various campus constituencies—including undergraduate students, graduate and professional students, faculty, staff, interest groups, and individuals—were offered the opportunity to comment. On January 13,

1997, the second draft of the strategic plan was distributed to campus for comment. The new draft incorporated many of the changes suggested by the AU community, following the extensive public discussion of the first draft during the fall semester. Comments on the second draft were also accepted via the dedicated e-mailbox and campus mail through January 31, 1997.

Following the final round of community comment, the plan was revised by the University Planning Committee, submitted to the president, and sent to the Board of Trustees for its final review. On February 28, 1997, the Board of Trustees adopted *Building a Global University in the Nation's Capital: American University in the Next Century* as AU's new strategic plan. (See Supporting Document 2.2)

The strategic plan established 79 goals, organized under six main areas:

- 1) the quality and support of teaching and scholarship
- 2) the academic qualifications and practical experiences of students
- 3) the quality, diversity, and inclusiveness of the university community
- 4) the connections among academic fields and variety of learning approaches
- 5) the level of staff support and efficiency of operations
- 6) the strength of financial resources and quality of facilities

In early 1998, the Strategic Oversight Committee was created to oversee the implementation of the strategic plan. The committee was appointed by the president and had university-wide representation from faculty, students, and staff to review and report on the plan's implementation. As stated in the strategic plan, the committee was charged with the responsibility to "submit regular reports and recommendations to the president and to the university community."

The committee began with regular meetings, and the provost and each vice president made presentations to the committee assessing the plan's progress under the basic areas by which the plan was organized—student services; enrollment services and marketing; academic programs; facilities and finance; and development, alumni, and diversity.

A committee report was submitted to President Ladner in May 1998 and was shared with the provost and vice presidents for evaluation and discussion. The provost and vice presidents responded to the report and incorporated suggestions as appropriate. Oversight of the strategic plan became the primary responsibility of the President's Cabinet, and ultimately, the Board of Trustees. To assist with the process of evaluation and implementation, specific benchmarks and goals were set and a database was cre-

ated to enable the President's Cabinet to track progress and document successful completion of goals and objectives. These benchmarks used a wide variety of data—both quantitative and qualitative—to assess the plan's progress. The clarity of the plan and the specificity of the ways in which goals were assessed provided the institution with an excellent means of tracking progress towards fulfilling its mission.

After the approval of the strategic plan, the Board of Trustees became even more actively engaged in guiding long-range and strategic planning. At roughly the midpoint of the first strategic plan (September 17, 1999), President Ladner worked with the board in assessing its overall progress, determining what had been accomplished as well as what needed to be modified. As part of the continuous planning process, emphasis shifted away from monitoring *Building a Global University* and efforts were redirected towards the next strategic planning endeavor.

Moving Forward: Developing a New Strategic Plan

At the following board meeting, (November 12, 1999), the president posed new strategic questions, provided updated information, and created a discussion document for the board to begin conceptualizing the next strategic planning endeavor. At the February 25, 2000, meeting, this concept took tangible form with a more lengthy discussion document of data, issues, and challenges as well as the substantial progress made in achieving the goals of the first strategic plan. This led to a draft outline, "American University's Goals for 2020," with the topics academics, enrollment, student services, finances, and development. It served as the basis for board discussion and response at the May 2000 board retreat. Also, the provost and vice presidents prepared a document, "Key Issues," reflecting special subjects for discussion in their areas.

The next phase of strategic planning began publicly with a "Conversation with President Ladner on the Future of American University" on May 3, 2000, and included a follow-up memo to the campus community on June 30, 2000. This laid the groundwork for a series of campus discussions and open forums, called Campus Conversations. Initiated by Dr. Ladner, the series focused on four topics:

- global issues
- enrollment issues
- management and revenue issues
- academic issues

Each conversation was kicked off with a university-wide forum led by the president. To facilitate the discussion a series of questions were posed to guide and sharpen the discussion. These questions were then discussed more deeply by units, departments, and organizations across campus. After the second round of

conversations, members of the cabinet reported back to a larger forum the findings of the smaller group discussions. A question-and-answer period, often quite spirited, followed the reports. In addition to participating in the formal discussions and conversations, individuals and groups were encouraged to respond in writing.

For example, the discussions on global issues were designed to extend the statement in the strategic plan about building a global university. Members of the AU community were asked to reflect upon such questions as:

- What academic priorities should we add or change to ensure that we are preparing global citizens?
- Should foreign language study be required of all AU students?

These questions and others were discussed by such groups as the Provost's Council, the University Senate, Admissions, the Office of Finance and Treasurer, and Student Services. Supporting documents and assessment results were used to inform discussions. In addition to formal reports and informal discussions, members of the university community were encouraged to submit individual views via a special e-mail address set up for this purpose. Editorials about global issues were submitted by faculty and staff to the *American Weekly*. Ultimately, all reports were available on a special Campus Conversations Web site.

The Board of Trustees was informed of the Campus Conversations as they took place on campus throughout the academic year 2000–2001 and received written reports reflecting the issues and discussions, which became the focus of board meetings during this same period.

President Ladner led a discussion at the Board of Trustees retreat on May 18, 2001, that updated the board and involved them in the development of the strategic planning document. He presented a summary document of the Campus Conversations and posed questions regarding the institution's future direction. The ensuing discussion helped the president clarify issues and formulate tangible ideas for the plan that eventually was crystallized and outlined in the president's address to the campus on Oct. 3, 2001.

The 15-Point Plan

In his address "Ideas into Action, Action into Service: Fulfilling the American University Paradigm," Dr. Ladner set out his vision for the university in a 15-point plan. (See Supporting Document 2.4) This plan is the primary strategic document for the university. The 15 points are as follows:

1. We will undertake and complete the largest and most successful fund-raising campaign in AU's history. . . .
2. We will become a smaller university. . . .

3. The undergraduate experience will become the central focus of the university. . . .
4. There will be significantly fewer master's and doctoral programs but with much higher academic quality and support. . . .
5. As a smaller university, we will reduce costs and increase operational efficiency. . . .
6. We will add to our reputation as a Washington-based, global university. . . .
7. Faculty teaching, research, and service will have added meaning and resources. . . .
8. The number of adjunct faculty will be reduced sharply, with no more than 10 percent of undergraduate courses taught by adjuncts. . . .
9. We will establish a system of differential teaching and research loads for faculty. . . .
10. The academic advising system will be restructured significantly and will become the single most important administrative service to students. . . .
11. We will enhance our profile as a values-based institution, emphasizing long-held university commitments to such values as human rights and dignity, social justice, environmental protection, diversity, and individual freedom. . . .
12. A new Office of Campus Life will be created, headed by the current vice president of student services. . . .
13. A new model of governance will be created to provide a more flexible, consultative, and efficient system of decision making. . . .
14. A new University Enterprise Center will be established under the direction of the vice president of finance and treasurer to pursue institutional development through financial opportunities. . . .
15. We should take seriously our responsibility to encourage physical fitness throughout our community. . . .

The plan was presented and discussed at the November 16, 2001, Board of Trustees meeting. The University Senate offered a formal written response to the plan and campus representatives (of the University Senate, Staff Council, Graduate Student Association, Student Confederation, and Student Bar Association) were asked questions regarding the plan's effects on their constituencies. Following a lengthy discussion, the board voted unanimously to approve the president's plan, *Ideas into Action, Action into Service*, with a statement of support.

Campus Reaction to the Plan

The announcement of the 15-point plan generated much discussion about the direction of the institution. The plan was discussed in several venues, including a forum held by the University Senate, meetings held by student governing bodies, and informal discussions

among faculty and staff. The community reflected on the ways in which the plan was an extension of the 1997 strategic plan, the ways in which it communicated a shift in direction or purpose, and the degree to which it reflected the earlier Campus Conversations.

In many ways, President Ladner's vision for the university reflected an extension of the 1997 plan. Faculty quality, an important component of the 1997 strategic plan, continues to be central to the mission of the university and is reflected in points 7–9 of the new plan. Overall academic quality and an emphasis on efforts to improve the quality of the academic experience drive both plans, as do some of the more specific goals, such as efforts to improve academic advising. While the new plan suggests that we become a "smaller university" (point 2) by aiming for enrollment of a freshmen class in the "low 1200s" over the next three years, the 1997 plan called for a similar "cap" of 1,200. Efforts to improve student services, strengthen financial resources, and improve operational efficiency play an important part in both plans.

In a few ways the plans differ. While point 11 states that "we will enhance our profile as a values-based institution," issues of diversity are not emphasized to the same degree as in the 1997 plan. Plans for new buildings, renovations, and infrastructure are not central to the new plan. Improvements to technology are also less central. In many ways, this shift reflects the fact that the university has made progress in these areas.

Several points in the president's plan reflect change in the university's emphasis.

Many see point 3, "the undergraduate experience will become the central focus of the university" coupled with point 4, "there will be significantly fewer master's and doctoral programs but with much higher academic quality" as a change in the nature of the institution. The change in university governance (point 13), while an extension of the president's interest in operating efficiency, is also seen as an element quite different from anything seen in previous strategic plans. Finally, the proposed establishment of a University Enterprise Center is a major enhancement of the university's fund-raising efforts. It moves the university beyond traditional fund-raising appeals and campaigns.

The president's 15-point plan also reflects some changes in the nature of the strategic planning process. In contrast to the 1997 plan, the primary opportunities for input on the president's 15 points came in the early development stages of the plan, in open meetings and through formal and informal governing bodies. While this allowed for maximum input from the university community and opened new channels for discussion, no formal opportunity for revisions of the 15-point plan occurred. In an interview with the *American Weekly* before the announcement of the plan, President Ladner was asked about the degree to which faculty,

staff, and students would be involved in the continuing planning process. He said, “There does come a point at which my role is to make fundamental decisions. I will make some of those decisions; other areas will need further review and consultation . . . It is a matter of making some of the hard decisions that I’m supposed to make as president. I’m ready to make those decisions, and I think that I’ve gotten as much consultation and participation and advice and perspective and ideas as one could possibly get in a community this size over a period of a year.”

Overall, the initial response to the plan was both enthusiasm and concern. Those parts of the plan that involved enhancement of the university’s financial position (points 1, 5, and 14) and those points that involved increases in quality (points 6–11) were met with widespread approval. Points 12 and 15 evoked little negative comment. Most of the concern, especially among faculty, involved change in governance and the triad of points (2–4) involving becoming a smaller university with an undergraduate focus and fewer but higher-quality graduate programs.

MAKING THE 15-POINT PLAN A REALITY: INSTITUTIONAL PLANNING AND ASSESSMENT

Planning

As the university was developing its strategic plan it implemented a new process for ensuring effective institutional planning and assessment. The new plan was designed to retain the many positive aspects of the 1997 planning process while at the same time creating ways to make planning permeate the entire institution. The planning mechanism used to implement the 1997 plan was effective in that it set very specific benchmarks for measuring progress towards goals. It was clear which goals were being met and which ones had yet to be achieved. This gave the President’s Cabinet and the Board of Trustees important information that was used in decision making. The university wanted to implement a planning process that linked individual, department, and unit planning and assessment directly to the institution’s strategic plan. It wanted a plan that would enable one to communicate, track and assess progress towards realizing the mission down to the individual level.

The institution’s planning process involves the entire university. It begins in the summer when units across the university—schools, colleges, departments, and other major units—are required to write annual reports on the progress made towards their goals and the contributions made toward advancing the 15-point plan. At the same time that these reports are written, a series of planning retreats take place. The President’s Cabinet, Provost’s Council, vice presidents’ divisions, and others set aside concentrated periods of time to assess progress, review priorities, and plan for the coming year. Important to this process is the role

of the President’s Cabinet, which sets priorities for the coming year and communicates these to the divisions. These priorities—which take the form of specific goals for the upcoming year—are then used by the various units at their retreats as they assess progress and set their own goals. Unlike some institutions, whose model depends on a separate and formal planning committee, American University’s planning model is based on the premise that planning, assessment, and implementation are shared responsibilities that work best when they are led by the president and the President’s Cabinet and involve the campus as a whole.

The departments, divisions, and university all have specific goals that are assessed using a wide variety of assessment measures. Throughout the year, these goals are tracked in a number of ways. Two important components of the planning and assessment process are performance management and academic unit planning and assessment:

Performance Management Program

The staff Performance Management Program (PMP) is designed to stimulate more dynamic goal setting at the university, ensure alignment of goals, reinforce behaviors that support the university’s strategic direction, and create better communication between administrators and staff. The program provides a framework under which all university administrators and staff are reviewed for effectiveness.

The program consists of three distinct phases—planning performance expectations, managing performance, and appraising results at the end of the performance cycle. Each summer, after a unit sets its goals, staff members and managers are asked to identify ways for each staff member to best contribute to the attainment of the department goals, which then support the division goals, which in turn support the university goals. Assessment measures are agreed upon and standards for evaluating assessment results are set. Throughout the year, management and staff can meet to discuss progress towards goals and to make revisions to goals, as necessary. A year-in-review discussion is conducted, providing an opportunity for managers and staff to look at the past year and use actual results to plan for the next year. These individual assessment results are used to inform department, division, and university assessment. The cycle begins again as units assess the degree to which goals were attained and plan for how goals can be better realized, or priorities changed, in the upcoming year.

The process has become widely used in just a short period of time. At the end of the academic year 2001–2002, the university conducted a survey to assess the degree to which the program was used in the university departments. Data revealed that 91 percent of survey respondents learned of their department goals during the prior performance period, and 82 percent met with their manager to identify performance expectations.

The PMP process has helped to give staff members a sense of their own goals and how those goals contribute to the overall mission of the department, division, and university. In many cases, the process has resulted in shifts in priorities, as staff members move away from activities that once seemed important to activities that most directly benefit the institution as a whole.

Academic Unit Planning and Assessment

While faculty members do not participate in the Performance Management Program, they play an integral role in goal implementation. Each summer, deans work with the provost to set goals for the academic units of the university. These goals are communicated through discussions between deans and faculty and through the faculty governance system. The Faculty Senate provides a forum in which the provost communicates academic goals and receives feedback and guidance as to how goals can best be achieved. In 2002–3003, the Faculty Senate aligned its goals with the provost’s goals and worked on a number of different projects that made direct contributions to advancing the 15-point plan.

An important part of academic planning and assessment is vested in the processes used to assess learning outcomes and to assess faculty teaching, research, and service. These activities are discussed more extensively in the chapters on undergraduate education (Chapter 7), graduate education (Chapter 8), and the faculty (Chapter 5).

The planning process has proven to be successful for several reasons: 1) Individual and unit goals are tied directly to the university’s strategic plan, which has resulted in a sense of common purpose; 2) the strategic plan reflects key aspects of the Statement of Common Purpose; and 3) the plan advances much of the work already achieved as a result of the 1997 plan, thereby providing a sense of continuity.

Assessment Resources

Just as American University embodies a culture that encourages continuous improvement, it is also an institution that views assessment as a critical component of planning and institutional renewal. What is so impressive is the degree to which assessment activity permeates every aspect of the institution. As the following chapters will show, a wide variety of assessment measures—both quantitative and qualitative—are used to better understand the effectiveness of facilities planning, financial planning, student services, governance, academic programs, and more. Assessment results are used on a regular basis and have resulted in important institutional improvement. (See Supporting Document 2.6) While critical support and data are provided by the Office of Institutional Research and Assessment, it is not the only source of assessment information. The university community is encouraged to find innovative ways to establish its own assessment measures.

While a complete inventory of all institutional assessment resources would be beyond the scope of this chapter, a few examples may illustrate the type of information available:

- **Institutional Data on Enrollment, Admissions, Finances and More.** In 1999, American University implemented a new data management system and with it a new and more sophisticated data warehouse. The warehouse, discussed in length in the chapter on institutional resources (Chapter 3), provides decision makers across campus with a wide range of data and reports that are used to track unit and university goals. The university also has an institutional research and assessment office dedicated to providing a wide range of regular reports for use by the campus community. It publishes a fact book (the *Academic Data Reference Book*) and prepares special reports and analyses as needed.
- **The American University Survey Research Program.** American University collects a wide range of information in addition to that stored in its regular data management system. For example, the university has an extensive survey research program designed to assess student, faculty, and staff experiences. These experiences are measured using a number of survey instruments, including the UCLA Freshmen Census, the National Survey of Student Engagement (NSSE), the Libqual Survey on library services, undergraduate and graduate Campus Climate Surveys, student evaluations of teaching, a graduation census, alumni surveys, and faculty and staff surveys on satisfaction with services. In addition, individual offices use point-of-service surveys to better understand the needs of their constituents.
- **Benchmark Data.** American University collects a vast array of benchmark information that enables the institution to make comparisons with other institutions. For example, the Office of Enrollment Services regularly tracks key admissions indicators from competitor institutions. The Office of Institutional Research and Assessment participates in a number of studies sponsored by such organizations as the Institute of International Education, the Council of Graduate Schools, the National Science Foundation, and the American Association of University Professors. The institution is also a member of the Higher Education Data Sharing Consortium (HEDS), an organization of 140 institutions. Other benchmark data, such as that provided by the Integrated Postsecondary Education Data System (IPEDS) peer analysis tool, are also available.

Facilities Planning

Facilities planning efforts include a broad multiyear Campus Plan and annual consideration of individual facilities improvement projects as part of the budget process. The Campus Plan is updated every 10 years as

required by District of Columbia zoning requirements. Facility needs of individual schools, colleges and service units are combined with the university's campus-wide facility goals to create a plan to address needs coherently. The facilities planning and assessments are elaborated in the Institutional Resources chapter.

COMMUNICATING THE 15-POINT PLAN AND ITS PROGRESS

Knowledge about the 15-point plan is widespread. The goals of the institution are communicated everywhere, in formal bodies, such as the Provost's Council and the Faculty Senate, and in informal discussions among faculty and staff. Oftentimes, you need only mention the point number in a conversation and others will know to what you are referring. The primary reason for this knowledge is not just that the points are communicated in newspapers and memos; it is because it is the basis for so many of the changes that have taken place across campus since 2001.

While progress on many of the points is obvious, progress on the overall plan is less widely known. Oftentimes, staff and faculty have a great deal of knowledge about the goals in which they are involved but less knowledge about the degree to which goals outside their sphere of influence are being met, despite the fact that there are several ways in which information about the plan is communicated. A 15-point plan Web site has been developed that gives a brief status report on each point. University goals are posted on each point. University goals are posted on Eagledata, the university's data Web site. In 2002–2003, the provost and each of the vice presidents gave talks about their respective units and the ways in which they contribute to the 15-point plan. The President's Council held two forums in 2002–2003 in which they updated the community about their units and provided an opportunity for people to ask questions. Progress is also reported in the campus newspaper, the *American Weekly*.

While reports on each of the 15 points exist, there is no formal mechanism for reporting on the degree to which points have been completed and the ways in which the points are being prioritized over the long-term. While the current planning model has many advantages, it lacks a separate body overseeing the progress of the plan. This has created a sense that there are few easily accessible venues in which to discuss overarching goals and objectives. The university would benefit from an annual report or address to the campus community about the status of the plan. The community may also benefit from having access to the annual reports of units.

ASSESSING THE CURRENT IMPLEMENTATION OF STRATEGIC PRIORITIES

Ultimately, many of the improvements to the university in the last five years can be tied to the 1997 strategic plan and to the more recent 15 points.

1997 Strategic Plan

While a more detailed review of the specific goals and accomplishments of the 1997 strategic plan is available on a university Web site <<http://www.american.edu/plan/index.html>>, a few details of the accomplishments in the five main areas are as follows:

Quality and Support of Teaching and Scholarship

Much success has come in both the recruitment of high-quality faculty and the research and scholarship that faculty produce. Searches for faculty positions are now authorized six months earlier and major revisions to the *Faculty Manual* on the criteria for appointment have been completed. A junior faculty course release program was adopted. Higher standards for teaching, scholarship, and service have been developed and continue to be major factors in determining faculty promotions, support, and rewards. As a result, the credentials of newly hired and promoted faculty members are better than ever. Annual reports of newly hired and promoted faculty indicate high-quality scholarship and research.

Support for the library is also an important component of the 1997 strategic plan's success. During the plan's implementation period, the collection grew from 672,000 volumes in FY1997 to 732,000 in FY2000. Licensed access to databases more than tripled, from 20 databases in FY1997 to 77 as of January 2001. Major improvements to the interlibrary loan process were also implemented.

Academic Qualifications and Practical Experiences of Students

The goal to cap the size of the freshmen class was not met, due to larger than expected conversion rates. However, the overall quality of the freshmen class improved throughout the 1997 strategic plan implementation. In fall 1998 the honors program reached its goal of 15 percent of the entering class.

In keeping with efforts to improve opportunities for experiential education, an Experiential Learning Council was formed in September 1997. As a result of its efforts, revisions to academic regulations were effective fall 1999.

Some goals, such as a suggestion to increase foreign language proficiency, led to no substantial action. The General Education Review Committee considered including a language proficiency requirement but rejected this proposal. Students continue to arrive with substantial language training.

Quality, Diversity, and Inclusiveness of the University Community

Several efforts to make the university more diverse have been successful. The Center for Teaching Excellence now offers assistance in how to address issues of diversity in courses and the General Education Committee regularly reviews course offerings to determine if they meet content

requirements with regard to race, class, and gender. New Student Orientation now conducts peer discussions about diversity. Programming resources have increased for the office of Multicultural Affairs and a new full-time staff member was added to the Gay, Lesbian, Bisexual, Transgender and Ally Resource Center. In conjunction with the university theme, the American Mosaic series presented important diversity issues.

Improvements have also been made to alumni and external relations. *American* magazine has been redesigned and is now mailed internationally. The content of alumni events has been reviewed and revised.

Level of Staff Support and Efficiency of Operations

A number of important improvements have been made to staff support. EEO and compliance policies and procedures, including those on sexual and racial harassment, have been completely rewritten and simplified. Sexual harassment training for all staff was conducted and the training of new employees is ongoing. Supervisory and nonsupervisory training is now conducted on the Performance Management Program and customer service training is given in some units. Staff compensation was redesigned, and as of September 2001, AU staff salaries were confirmed to be at market median, in aggregate, compared with our peer group of colleges, universities, and other employers in the Washington, D.C., area.

Strength of Financial Resources and Quality of Facilities

Important progress was made in strengthening financial reserves. The goal of an endowment of \$150 million was met a year early, with an endowment of \$150,587,207 as of September 30, 2001. While the goal of a 25 percent alumni participation rate was not met, the percentage of alumni giving improved substantially.

Although target dates for building renovations were not always met, the university saw substantial improvements in the quality of facilities. Goals to renovate the Washington College of Law, and the Myers-Hutchins, Battelle-Tompkins, Ward Circle, and Mary Graydon Center buildings were met and progress has been made towards other planned building and renovations.

15-Point Plan

Of course, it is too early to assess the ultimate success of the president's 15-point vision. However, much has been accomplished in two years. While the progress towards these points is at the heart of the university, and therefore discussed throughout the self-study document, a brief summary of progress is as follows:

Point 1

The university launched a \$200 million fund-raising campaign in October 2003, with \$63 million of the

goal already in hand. As a result of major gifts, the new Greenberg Theatre opened in January 2003 and construction for the new Katzen Arts Center began in spring 2003. Despite a sluggish economy, 17 percent of alumni gave to AU in 2002–2003, up from 14 percent in 2001–2002 and 10.5 percent in 2000–2001.

Point 2

In fall 2003, 1,237 new full-time freshmen enrolled, a reduction from the fall 2002 entering class of 1,303. The overall quality of each freshmen class continues to improve. The cumulative SAT score for the entering class of fall 2003 was 1226, compared to 1214 in fall 2002 and 1210 in fall 2001. In fall 2003, the admit rate dropped to 59.8 percent the lowest in recent history. The percentage of admitted students in the top 10 percent of their high school class has risen from 31.5 percent in fall 2000 to 36.3 percent in fall 2003.

The total number of full-time transfers was 334 in fall 2003, compared to 435 in fall 2002. The undergraduate GPA of incoming transfer students has remained fairly stable, 3.17 in 2003 as compared to 3.19 in fall 2002.

Point 3

A broad-based project team, convened by the provost and the vice president of campus life and composed of faculty, staff, and students, has been working throughout the 2002–2003 academic year on designing a University College—an innovative and distinctive experience for first- and second-year students. The University College will tie more closely together existing strengths of the undergraduate program, enhance the sense of community, and better enable students to pursue their intellectual journeys in connection to Washington and the world. The team has articulated specific and assessable objectives, benchmarked programs from around the country, and conceptualized fundamental components for a working model. In order to ensure the best possible design and to engage the university community in its development, implementation of the University College is not expected to be until academic year 2005–2006, at the earliest.

In addition to focusing on the University College, the institution has made tremendous progress in its efforts to improve the undergraduate experience. This can be seen through several important studies of student experiences and student satisfaction. For example:

- Ninety-two percent of graduating undergraduates report that they are satisfied with their undergraduate experience, up from 88 percent in 1999. Ninety-three percent say they are proud to be an AU graduate.
- American University participates in the nationally recognized National Survey of Student Engagement. The latest results (2002) for freshmen indicate that American University is ranked in the 90th percentile

for “level of academic challenge” and “student interactions with faculty” in its Carnegie Classification. It is the top scoring institution for “active and collaborative learning” and “enriching educational experiences” in its classification.

Point 4

In September 2002, the university undertook a historic review of its graduate programs. Each school and college conducted comprehensive analyses of their programs, with the deans forwarding recommendations to the provost for his consideration in January 2003. The provost’s final recommendations, discussed with the Faculty Senate and others this past spring, were accepted by the president and approved by the Board of Trustees in May 2003. These decisions resulted in fewer doctoral and master’s programs but stronger ones in terms of academic quality and support.

The majority of doctoral and master’s degree programs at American will continue, and some will experience even further growth and enhancement in quality. In all cases, each program is expected to achieve the standards set forth in point 4 in the established time frame, or less. The deans and the faculty of the schools and colleges will work to establish specific benchmarks related to their disciplines to reflect the quality goals set forth in this point.

Point 5

AU is looking at all operational functions and has introduced a Process Improvement Team to identify areas for improved efficiency, product delivery, and service. This task force has met and is undergoing training in the various methods of organizational assessment and change. Concrete measures to increase operating efficiency have already been introduced. To use academic affairs as an example, the English Language Institute and the e-academics office were dissolved, with their functions reorganized into other existing units. Academic technology services are now provided by the Center for Teaching Excellence and University Library. The computer science and information systems department was also reorganized, altering the size of its faculty and realigning its functions to other units. New on-line services through the registrar’s office have helped to reduce staff and increase efficiency, particularly in relation to student services. These changes include on-line registration by students, electronic distribution of class rosters to faculty, on-line grade submission by faculty, electronic degree audit reports, and transcript services.

Point 6

To enhance our reputation as a Washington-based global university, AU established a new Office of International Affairs (OIA) under the leadership of Vice President Dr. Robert A. Pastor, who took office in September 2002. OIA has begun to provide a more

coherent focus to AU’s international programs and activities. For example, since late August of this year, the university’s academic-experiential programs abroad operate under the designation “AU Abroad.” The new name denotes an expanding array of options AU will be offering its students, including continued participation in the World Capitals Program. Eventually, the designation will include another aspect of the program, “Abroad at AU,” which will attract an increasing number of international students to the AU campus to live and study.

The new global studies area of the General Education Program is currently being implemented. Preliminary discussions are under way for developing a global studies major.

AU will continue to focus on offering more high-quality internships and experiential learning experiences, such as alternative spring breaks and community service opportunities, as one of its greatest strengths.

Point 7

Teaching

The university continues to reward excellence in teaching by making it a central component in all merit-based salary increases. In addition, the Center for Teaching Excellence (CTE) has worked closely with faculty to facilitate the use of technology in the classroom and to provide overall support to improve teaching effectiveness. The transfer of the former e-academics services to the CTE has already produced remarkable increases in the numbers of faculty adopting and using Blackboard—our primary technology support for undergraduate and graduate teaching. Further enhancements to the CTE’s mission of bringing technology to the classroom will be supported by a newly established replacement fund for information technology and other equipment. The CTE’s effectiveness will also be extended by a reconceived annual Ann Ferren Teaching Conference.

Improvements in teaching are seen in the university-wide student evaluations of teaching and the 2003 undergraduate Campus Climate Survey. The percentage of students who say faculty in their major use technology in the classroom has jumped to 82 percent, up from 60 percent in 1999. Almost 95 percent of undergraduate students say that they are satisfied with the quality of faculty in their major, up from 88 percent in 1999.

Research

Scholarship, research, creative work, and professional contributions of all sorts are vibrant at American University and richly diverse in form and substance. In two years, full-time faculty, with an average five-course load, reported 136 books, 226 book chapters and refereed conference proceedings, 266 refereed journal articles, and 51 poems, plays, and exhibitions and

that they have also generated \$26.5 million in grants and contracts.

A base increase of \$400,000 has been made to University Library's materials budget, which will expand subscriptions and electronic resources in the areas of the humanities, sciences, and social sciences and will add to the library's collection. The Board of Trustees approved the establishment of the Presidential Research Fellows Program with a \$500,000 allocation. The program has not been implemented yet.

Numerous centers, institutes, and interdisciplinary councils provide the expertise of world-renowned scholars and actively work to integrate that research into the life of the university community, as well as the broader community, through volunteer service and educational programs.

Service

The 15-point plan says that service "must be demonstrated through sustained, formal and informal contacts that go beyond and augment the classroom experience." "By 'contacts,'" the president's plan continues, "I mean personal relationships in which students are educated not only by the discipline of a field of study but also by the intangible benefits of apprenticeship and support that come only through direct relations with academic mentors in a variety of settings." This support occurs in the context of a major commitment to service through faculty governance and service to the larger community. (Faculty service is discussed in depth in chapters 4, 5 and 9.) Results of the National Survey of Student Engagement (NSSE) show that students at AU are more likely to meet with faculty outside the classroom than their peers at other institutions. Students in the Campus Climate Survey report that one of the best things about their academic experience is the degree to which faculty take the time to mentor them. A faculty-in-residence experiment in Anderson Hall has been highly successful and is paving the way for future replication. The University College will be designed to build upon these strengths by emphasizing student-centered service and by facilitating the service-teaching nexus called for in this point.

Point 8

As part of improving the overall academic quality and learning experience at AU on both the undergraduate and graduate levels, students will be taught by fewer adjunct faculty. While adjunct faculty possess considerable talents, the challenge here is to place them appropriately in the university's curricula.

Reducing the number of adjunct faculty involves complex variables that require special consideration as the university moves to implement the 15-point plan. An initial investment of \$1.2 million by FY2005, recently approved by the Board of Trustees, will enable the uni-

versity to add as many as 17 new tenure-track faculty members over the next two years. The reduction in selected graduate programs will also make a contribution to adjunct reduction, as will continued management of the curriculum.

The total number of adjuncts teaching has decreased from 421 in fall 2000 to 372 in fall 2002. As U.S. News and World Report notes, the percentage of undergraduate courses taught by full-time faculty has moved from 70 percent in 1999 to more than 75 percent in 2002. Recent faculty hires will assist in increasing this figure to 80 percent in the near future. The university is examining the implications of the proposed 5 percent limit on the use of adjuncts for graduate courses. It expects to meet this limit for doctoral courses by next year.

While the number of adjunct faculty is being reduced, the quality of adjunct faculty has improved. Results from student evaluations of teaching indicate that satisfaction with adjunct faculty has improved from a mean score of 4.78 (on a 6 point scale) in 2000 to 4.90 in 2002. Furthermore, it is expected that those adjunct faculty who achieve in-residence status will demonstrate a commitment to the university beyond teaching one or two courses.

Point 9

As of the 2003–2004 academic year, all units are expected to be on differential teaching loads. This goal is being implemented while at the same time taking care to balance it with other aspects of the 15-point plan, such as the percentage of adjuncts teaching courses and the average class size. As we move forward, the goal is to establish a four-course load for all faculty members who maintain active, productive, and influential research agendas and make related and significant professional contributions.

Point 10

The provost, the vice president of enrollment services, and the vice president of campus life have been charged to lead a project team to assess the current method of academic advising and identify ways to make this service more student centered. This team will convene as soon as outlines for the University College are better established and when decisions regarding the vice president for international affairs' project team report have been made.

Overall, students are pleased with advising. Results of the 2003 Campus Climate Survey indicate that more than 71 percent of students say they are satisfied with the quality of academic advising.

Point 11

A comprehensive assessment of service learning opportunities at AU and how they could be enhanced was conducted by a cross-divisional collaboration between

the Office of the Provost and the Community Service Center. The report from this effort, which includes a proposal for a community-based partnership, is currently under review.

Evidence abounds that students, faculty, and staff embody the university's values. The self-study chapter on engagement is devoted to documenting the many ways in which AU continues to advance as an institution devoted to service and global citizenship. One example can be seen in the results of the 2003 undergraduate Campus Climate Survey:

- Approximately 87 percent of students say that, where appropriate, courses and programs present perspectives sensitive to the issues of diversity.
- Three out of four students say that AU demonstrates a commitment to service and community services.
- More than nine out of 10 students say that AU demonstrates an interest in other cultures and global issues.

Academic integrity is a core institutional value, and the university continues to develop and implement new initiatives to promote integrity and prevent dishonesty. In September 2002, the university launched a dynamic academic integrity Web site for students and faculty, <<http://www.american.edu/academics/integrity>>, notable in higher education for its comprehensiveness. In addition to numerous on-campus activities, university efforts and expertise have been featured on public radio and in a recent higher education journal.

Point 12

In June 2002 the new Office of Campus Life was introduced to the community. It provides better integrated services for students and their families. It incorporates all the programs of the former Office of Student Services, but it has added services previously housed in other divisions. This consolidation of services has enhanced service delivery and led to greater efficiency.

Point 13

In April 2002, the university faculty overwhelmingly ratified a proposal for a new Faculty Senate that would serve as "the authoritative voice of the entire faculty on matters pertaining to the academic mission and strategy of the university as established in the University Bylaws." This historic change was implemented in the fall 2002 semester, and the body has operated with great success throughout this past academic year. This reorganized senate balances the decision-making capacities of the academic units with the responsibilities of a university-wide deliberative body. It has streamlined its rules and procedures while at the same time tackling a very substantial agenda focusing on important instructional and curricular issues. A second

round of elections has been completed already and new members are seated for another year.

Point 14

The vice president of finance and the provost conducted a series of meetings with the university deans, seeking their advice on new initiatives for institutional development. Some of these initiatives are under consideration and study. An action plan for the University Enterprise Center is being developed based on a number of these initiatives.

Point 15

There has been a greater effort to incorporate physical fitness and overall wellness practices into the AU community. The Jacobs Fitness Center has more members and offers more programs to the AU community. The Wellness Project Team has established benchmarks for success and meets regularly to find ways to educate the AU community about the importance of being fit.

CONCLUSION

American University is an institution committed to academic excellence. It is grounded in the premise that the quality of the student experience and engagement with the community, nation, and world matter. This sense of purpose is accurately reflected in the 15-point plan. The 1997 strategic plan and the 15 points have guided faculty, administration, staff, governing bodies, and students in making decisions that advance the university's mission. Planning mechanisms facilitate the advancement of the 15-point plan and provide administrators, faculty, and staff opportunities to candidly evaluate institutional effectiveness.

A wide range of assessment mechanisms support planning activities. At American University assessment is not something separate and apart from what we do. It is so engrained in how we plan and manage that it is integrated into almost every office and department. That being said, improvements could be made to the ways in which assessment activities are formally documented and reported.

Now that fulfillment of the 15-point plan is well under way, the challenge is to find ways to prioritize and reevaluate the plan and to move forward with continuous, long-term planning. Communication of these issues appears to also provide the institution with challenges.

RECOMMENDATIONS

- Develop a more robust and formal institution-wide evaluation process that allows information regarding the accomplishments and challenges of the 15-point plan to be used in ongoing and long-range planning efforts.
- Develop a more formal and regular process to communicate the status of the 15-point plan.

Supporting Documents

- 2.1 Statement of Common Purpose.
- 2.2 1997 Strategic Plan.
- 2.3 Campus Conversations Web site.
- 2.4 “Ideas into Action, Action into Service: Fulfilling the American University Paradigm,” address to the campus by President Benjamin Ladner, October 3, 2001.
- 2.5 15-Point Plan Web site, <<http://www.american.edu/15pointplan/>>.
- 2.6 Overview of AU Assessment Activities and Results



INSTITUTIONAL RESOURCES

CHAPTER 3 INSTITUTIONAL RESOURCES

INTRODUCTION

American University is a private institution that depends primarily on tuition and other student-generated income. Approximately 80 percent of the university budget is derived from tuition income, and when residence hall fees and campus store revenues are added, 94 to 95 percent of the university's operating revenues come from students.

The university's educational programs primarily focus on liberal arts, sciences, and professional education, particularly in the areas of public and international service, journalism, public administration, and international law. For a host of historical reasons, many of which are now being addressed, AU's endowment funds and external funding support have been less than those of its competitors. Despite these particular challenges, the university has made great strides toward advancing its financial position during the past decade. Careful enrollment planning and resource allocations, disciplined financial planning strategies, and identifying new ways to conduct business and achieve operating efficiencies have all played a critical role in helping the university fulfill its mission, goals, and strategic plan.

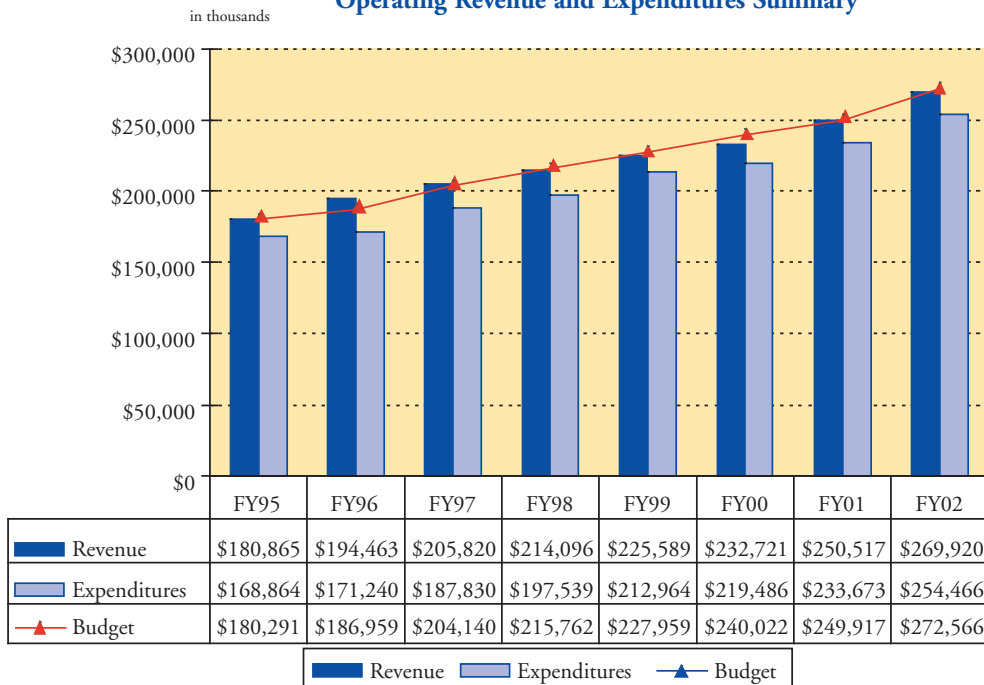
This chapter examines the university's institutional resources and the progress made towards enhancing the

financial position of the university. Institutional resources cover a broad range of issues, including financial health, the budget process, and facilities, technology, and information resources.

The chapter focuses on the following questions:

- How has the university's financial health changed since FY1995? What procedures are in place to improve its financial health?
- To what extent does the annual and long-term budget process support the university's mission, goals, and strategic plan? How does the process involve university constituencies, including the Board of Trustees, faculty, students, staff, and administrators?
- How well does the university demonstrate a systematic approach to improving its operating efficiency?
- How well does the university increase and manage its endowment and other new revenue sources?
- Does the university incorporate facilities planning as an integral part of its resource planning? Does the university meet space and capital resource needs, particularly as they relate to academic programs and services?
- How does the university plan for information resource needs and how well are those plans implemented?

Figure 3.1
Operating Revenue and Expenditures Summary



Source: Year-End Review Summary

- How does the university plan for short- and long-term technology needs and how well are those plans implemented?
- How does the university provide information to support the teaching, learning, and research activities of the knowledge-based community?

FINANCIAL HEALTH

Growth of the Operating Budget and Fund Balances

During the reporting period of FY1995 through FY2002, the operating budget grew from \$180 million to \$272 million, a 51 percent increase. As depicted in Figure 3.1, the university maintained a balanced budget each of those years, with a positive net income at the end of the year. (The figure for FY2003 is \$290.5 million, a 61 percent increase, and for FY2004, \$310 million.)

For the same period, unrestricted fund balances grew 93 percent from \$36.5 million to \$70.3 million (*see* Figure 3.2). (The figure for FY 2003 is \$71.6 million or a 96% increase from FY1995.) Unrestricted fund balances include nonmandatory transfers.

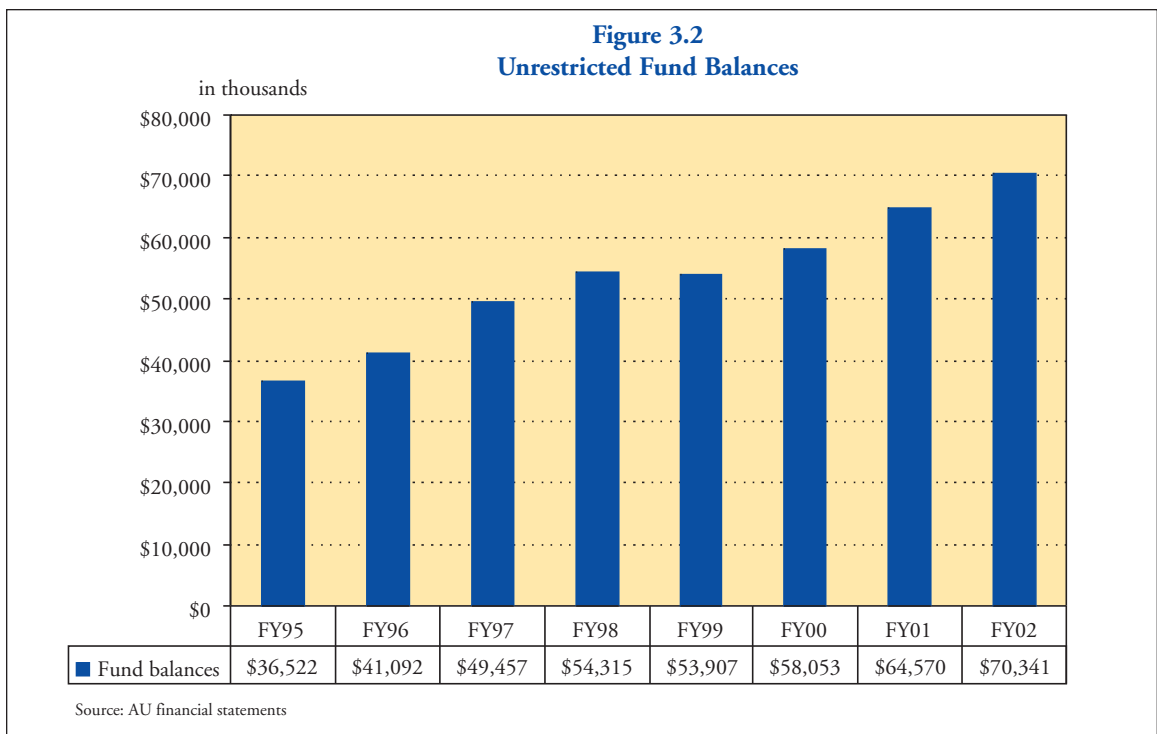
Upgraded Credit Ratings and Financial Planning Strategies

The university received an upgraded credit rating from an A- (1995) to an A from Standard and Poor's (S&P) in October 2002. In December 2002, Moody's Investors Service gave the university an A2 rating, which is equivalent to an A rating by S&P. This upgrade surpassed the university goal of achieving an A rating by 2004–2005 and was particularly significant

in an economic climate where most institutions' ratings remained constant or were even downgraded. The rating agencies' analysts indicated that the upgrades resulted from the university leadership's impressive financial management, five-year budget forecasts and planning process, improved selectivity, and strong market niche.

Examples of the university's disciplined financial planning strategies are:

- **Balanced budgets every year.** Despite the economic turmoil of the past few years, the university has consistently remained in the black since FY1982. This is a result of strict adherence to budgetary guidelines and effective resource management. The 93 percent growth in the unrestricted fund balance over the last seven years is depicted in Figure 3.2.
- **Annual and multiyear funding strategies used to support the strategic plan.** While the university budget is developed over five years for planning and bond rating purposes, the two-year budget concept was adopted as the most appropriate for operational purposes. The university moved from a one-year to a two-year budget cycle to enhance the development of multiyear initiatives to support the strategic plan. These initiatives include investments to increase the number of full-time faculty; develop a University College that will focus on undergraduate education; strengthen enrollment in high-quality graduate programs; implement a faculty differential teaching load; and expand AU's breadth in international affairs and technology. At the same time, the university will become more selective, recruit high-quality students,



work to streamline operations, reduce costs, and increase operational efficiency.

- Enrollment contingency reserve established in the event of an enrollment shortfall.** An enrollment contingency was established in 1994 to serve as a reserve in the event of an enrollment shortfall. Currently 1.5 percent of tuition revenue is set aside each year with the goal of reaching and maintaining a reserve that equals 5 percent of tuition revenue. This reserve stood at \$5.6 million at the close of FY2002.
- Annual fund transfer to quasi-endowment funds.** In 1998 the university began to strategically enhance its endowment balance by transferring funds from the operating budget. Currently 1.8 percent of the gross revenue is transferred to the quasi endowment with the goal of reaching 2 percent of gross revenue by FY2004. Figure 3.3 outlines the annual increase in the endowment fund over the last five years. The decreased transfer in FY2002 is a result of funding technology enhancement initiatives and faculty and staff market adjustments one year ahead of the goal.
- Prefund faculty and staff salary increases.** The university's operating budget includes roughly \$3 million to prefund faculty and staff merit increases for the next fiscal year. This strategy ensures sufficient resources to keep our compensation structure consistent with market rates.
- Multiyear funding strategies to bring faculty and staff salaries and benefits to market.** Based on an

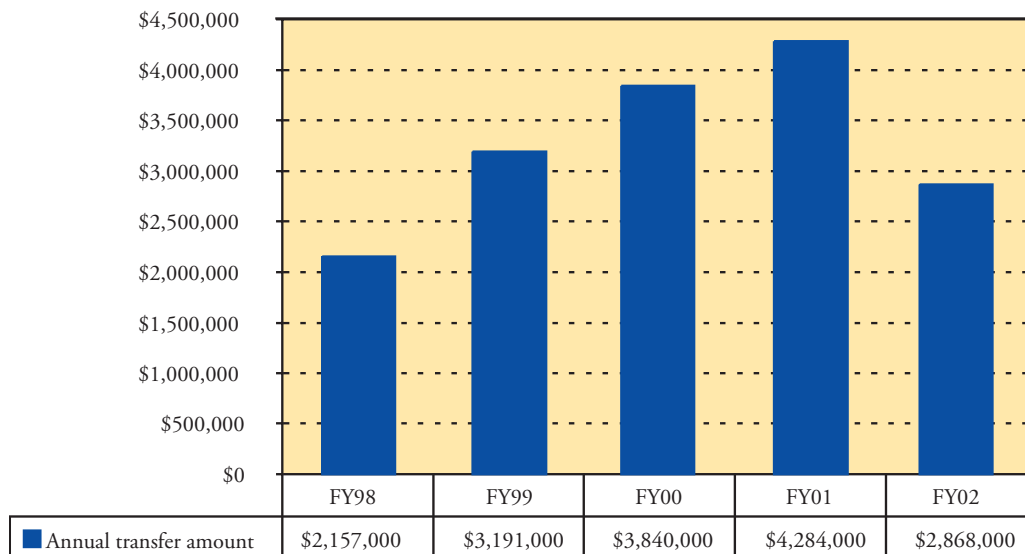
assessment of faculty and staff salaries from the market competitiveness standpoint, the university recognized the need to make a significant investment in this area. As a result, since FY1997, the university has pursued a multiyear funding commitment to bring faculty and staff salaries and benefits to a level that is competitive with market rates. (See Figure 3.4) Average faculty salaries are benchmarked against level 1 standards set by the Association of American University Professors (AAUP) for full-time tenured and tenure-track faculty. Staff salaries have been brought up to market median. In addition, the benefits plan for faculty and staff was enhanced to remain market competitive.

Figure 3.4
Faculty and Staff Market Adjustments

Fiscal Year	Faculty Market	Staff Market
1997	\$300K	\$600K
1998	\$265K	\$1.2 million
1999	\$225K	\$1.4 million
2000	\$350K	\$1.4 million
2001	\$800K	\$1.4 million
2002	\$943K	\$1.7 million
Total	\$2.9 million	\$7.7 million

- Bond financing and effective debt management.** The university's entire outstanding debt portfolio has been either issued as fixed-rate obligations or fixed through synthetic interest rate swaps. In this way, attractive rates have been locked in, and debt service payments are predictable and steady.

Figure 3.3
Quasi-Endowment Transfers from Operating Budget



Source: AU financial statements

Assessment Procedures

The following assessment procedures are in place to ensure that the university's financial health is reviewed and measured against its goals and objectives:

- annual approval of the university's operating budget by the Board of Trustees Finance Committee
- annual financial audit performed by an external audit firm and reported to the Board of Trustees Audit Committee
- annual internal audit performed by internal auditors and reported to the President and the Board of Trustees Audit Committee
- annual benchmarking study to compare AU's financial indicators with those of competitor institutions
- periodic presentations to bond-rating agencies.

The university's impressive financial growth rate is the direct result of the strong financial discipline that has been established and that has become part of the university's financial management strategy. This discipline was rewarded when both S&P and Moody's referenced "strong financial management" as key in the upgraded ratings they recently assigned to AU.

BUDGET PROCESS THAT SUPPORTS THE UNIVERSITY'S MISSION, GOALS, AND STRATEGIC PLAN

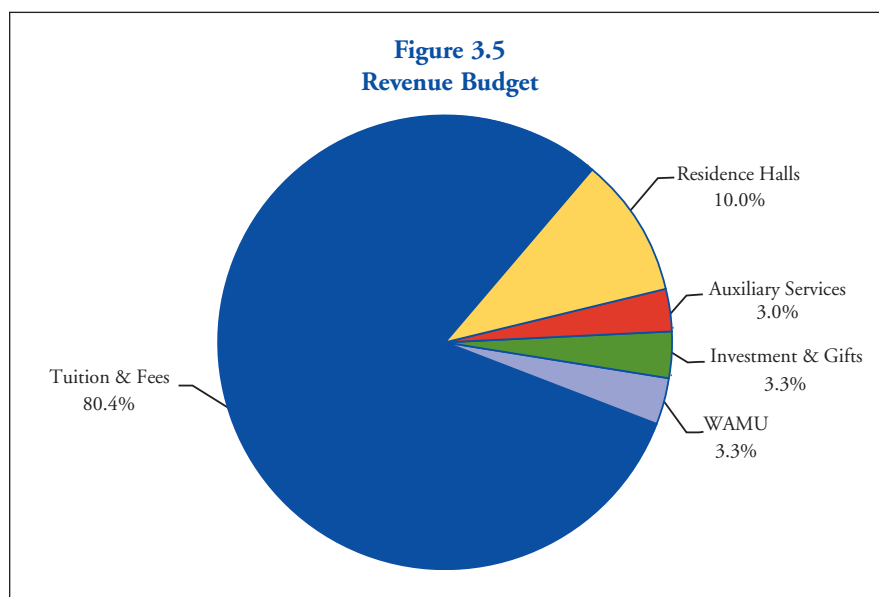
The Budget Process

The annual and long-term budget process provides a direct link between resource allocations and the university's mission, goals, and strategic plan. The budget is the result of an inclusive, collaborative process involving various constituencies of the university community—faculty, students, staff, administrators, and the President's Cabinet. The structural form of this collab-

orative process has changed over the past 10 years. Prior to 2002, there was a separate budget committee devoted exclusively to development of and advice on the university budget. This committee, cochaired by the provost and the vice president of finance and treasurer, included members of the Faculty Senate Finance Committee, representatives from student organizations, staff, and administrators. In 2002, as part of the reorganization of governance, the University Council was given responsibility for providing guidance to the president on budget matters and other university-wide issues. The reconstituted Faculty Senate Instructional Budget Committee provides advice to the provost on the academic side of the budget. The result of this new structure is a more streamlined budget process that provides opportunities for input by a wide variety of campus constituencies.

Each year, after consulting with university constituencies, the president presents budget formulation criteria (*see* Supporting Document 3.1) to the Board of Trustees at its November meeting. Budget formulation criteria include a range of tuition and residence hall increases based on market comparison data and budget priorities that support the university's strategic plan.

Once the Board of Trustees approves the budget formulation criteria, the president issues a budget call to his cabinet, which consists of the provost and vice presidents (*see* Supporting Document 3.2). That call initiates enrollment projections by the academic units and the vice president of enrollment services. Simultaneously, expenditure budgets are reviewed and prioritized by each division head. The provost and the vice president of finance and treasurer hold a university-wide meeting to communicate the budget formulation and priorities and receive input from faculty, students, and staff. The Faculty Senate reviews the proposed budget and recommends academic priorities to the provost. The Staff



Council also reviews the budget and makes recommendations. Town meetings are sponsored by the vice president for campus life to hear student concerns. The president reviews budget proposals from his cabinet and presents a two-year budget proposal to the Board of Trustees for approval. Once the budget is approved, the president issues a special report to the university community and makes budget summaries and highlights available to the public.

Composition of Revenue and Expense Budget

The revenue mix has been fairly consistent during the reporting period. Figure 3.5 illustrates the revenue mix for FY2003. Tuition and fees represent roughly 80.4 percent of revenue, followed by 10 percent from residence halls, 3.3 percent from WAMU 88.5FM, 3.3 percent from investment and gifts, and 3 percent from auxiliary services.

The university expenditure budget can be presented in two ways—by expense category and by functional division. Figure 3.6 illustrates the expenditure budget by expense category. Full-time and part-time personnel salaries and fringe benefits represent nearly 50 percent, followed by 24.4 percent for supplies and other items, 18.6 percent for financial aid, 4.5 percent for debt service, 1.9 percent for utilities, and 0.8 percent for technology and capital equipment.

Figure 3.7 demonstrates the FY2003 expenditure budget by functional division. The provost's area, including graduate financial aid, represents 44.2 percent of the university budget, followed by enrollment services at 19.4 percent (including undergraduate financial aid), finance and treasurer at 18.6 percent, campus life

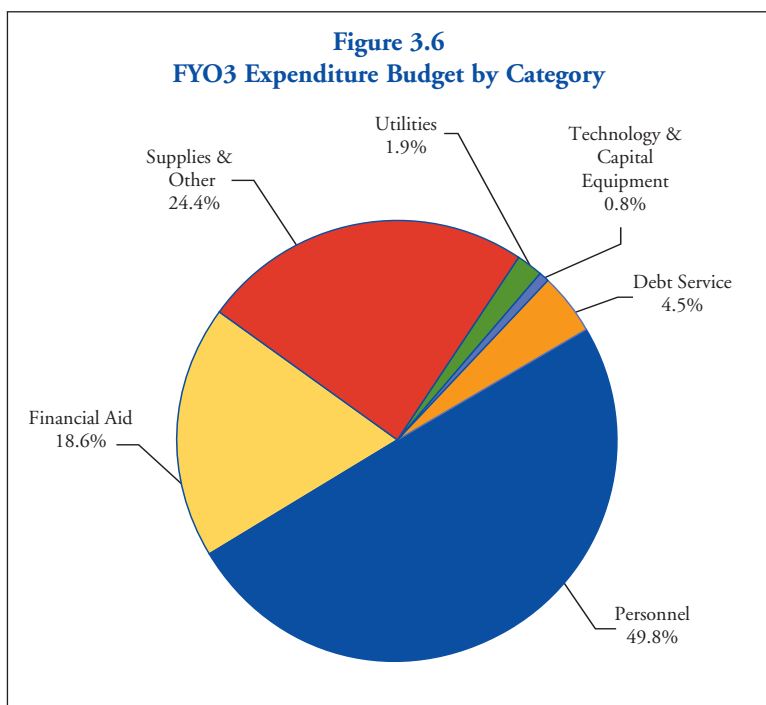
at 6.2 percent, central reserves at 4.9 percent, development at 2.9 percent, e-operations at 2.5 percent, and the president and general counsel at 1.2 percent.

Enrollment History

The university's aggregate enrollment level grew from 9,108 FTEs (full-time equivalent enrollments) in fall 1994 to 9,814 FTEs in fall 2002, a 7.8 percent increase (see Supporting Document 3.3). The FTEs are the number of full-time students and the number of part-time students converted to a full-time equivalent enrollment. During the review period, undergraduate enrollment has steadily grown from 4,460 FTEs to 5,388 FTEs, a 20.8 percent increase. Washington Semester and non-AU study abroad enrollments have fluctuated following the presidential election years pattern. Graduate enrollment was soft, due to a strong job market in the mid-1990s, but bounced back in fall 2002. Nondegree enrollment, a feeder to the degree enrollment categories has not been stable. The law school enjoyed a substantial growth in enrollment from 1,184 FTEs in fall 1994 to 1,497 FTEs in fall 2002, a 26 percent increase, while selectivity has also improved.

Resource Allocations

Given that American University is a private institution that is highly dependent on tuition, careful enrollment planning and resource allocations play critical roles in meeting short- and long-term institutional goals while maintaining financial equilibrium every year. The university uses a centralized incremental approach to budgeting and resource allocation. Essentially, the budget is established based on the prior year's operating



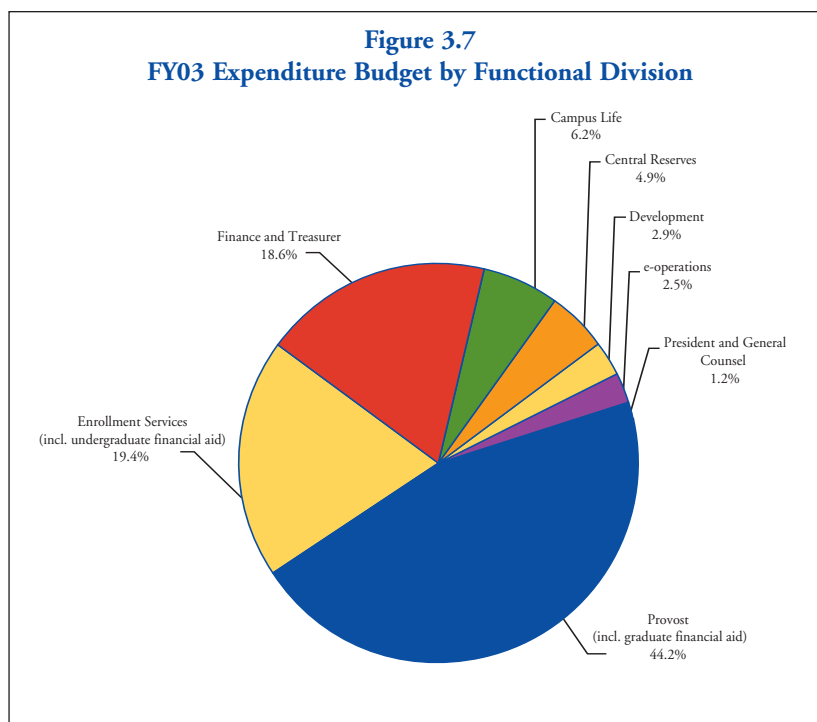
budget, plus changes in enrollment, revenue assumptions, and expense priorities. One of the challenges is to balance the university's immediate and long-term needs with strategic plan goals, while at the same time holding tuition to reasonable levels. Tuition and housing increases are kept in the range of 4.0 percent to 6.0 percent; therefore, the expected increase in total revenues is generally limited, while requests for increases in expenditures or other priorities submitted by the provost and the vice presidents increase at higher rates based on individual program needs. Each proposed initiative is carefully reviewed by the president and his cabinet to ensure that the limited new resources are allocated effectively and consistently with the strategic plan of the university. Cost savings are identified through several measures: increasing operating efficiency, eliminating duplication of efforts and activities, sharing resources across divisions, and internal reallocations within each division.

The expenditure budget by unit (*see* Supporting Document 3.4) provides a summary of resource allocations to each functional division from FY1995 to FY2003. The university budget grew by \$110 million to \$290.5 million. As it grew, the percentage of the total budget received by each division changed.

Tracking expenditures for various units and activities over time is difficult because of the many changes in university structure since FY1995. Many of these are outlined in the chapter on leadership, governance, and administration; these changes continue with the addition of a vice president for international affairs. Variations in the composition of divisional budgets reflect both organizational changes and the implementation of strategic goals.

Some organizational changes and implementations of strategic goals are:

- Two new offices—Special Events and Government Relations—were created under the president's office.
- The general counsel's office, staffed by university attorneys, was created in FY1995.
- Some functions—such as academic development, general education, the honors program, and graduate financial aid honor awards—were consolidated, transferred within the provost's area, or both.
- WAMU 88.5FM radio station operations were brought into the unrestricted fund in FY1997.
- The William I Jacobs Fitness Center was created in FY1999.
- Campus Store operations were outsourced in FY2000 and are reported on a net-income basis.
- Some functions, such as technology infrastructure and the budget office under the provost's responsibility, were transferred to other divisions to allow the provost to focus on academic programs and services.
- Enrollment service functions absorbed University Publications and Media Relations and became the marketing arm of the university.
- The Office of Student Services was renamed the Office of Campus Life and became the focal point of student-centered services as stipulated in the strategic plan. Summer conferences and student health insurance represent the bulk of the operating budget increase. Residence Halls operations now also include off-campus housing.



- The increase in central institutional accounts reflects the university's financial planning strategies, such as the Enrollment Contingency Fund and the transfer to quasi-endowment funds.

The provost's area received the largest dollar increase from FY1995 to FY2003—\$43 million—but its percentage share dropped from 47.3 percent to 44.2 percent of the total budget. This reflects in part a shift in some of the budget responsibilities away from the provost, including a portion of information technology. The above figures do not reflect the fact that the provost's area does not capture all of the academic side of the budget. Many services provided by administrative divisions directly support the academic mission of the university; for example, undergraduate financial aid and recruiting, development officers working directly in the schools and colleges, and debt service for academic buildings. Thus, the percentage reduction does not indicate the university's intent to diminish the strategic importance of its academic programs.

University policy allows a flexible budget management approach to internal budget management at the discretion of the provost and the vice presidents. Departments may create or upgrade positions and spend lapsed salary savings to fund part-time salaries, supplies, and capital equipment expenses. Departmental savings realized by implementing on-line purchasing and Web-based technology were made available to fund inflationary and other increases within the supplies and expense category of the units' budgets.

Because the university's efforts have been focused on the strategic plan goals, but resources to fund those goals were limited, some expense categories, such as full-time salaries, fringe benefits, capital equipment, debt service, and deferred maintenance, have grown at a faster rate than other categories, such as adjunct faculty salaries and library books and materials.

While the university made progress in gathering input from many campus constituencies, and in increasing communication, there is always room for improvement. As the university budget becomes more complex, the community seems eager to learn more about the budget process and financial matters. Some faculty and students noted that one area of improvement would be to make the overall budget process more transparent. It is desirable to create a culture where general budget and performance information is more widely shared within divisions and departments. This change will also reaffirm accountability, promote creative ideas, and develop new revenue opportunities.

Alignment with the 15-Point Plan

To achieve greater efficiency in the budget process and because the 15-point plan has multiyear budget implications, a two-year budget for FY2004 and FY2005

was submitted to the Board of Trustees in February 2003. This is consistent with the university's plans to begin operating with two-year budget cycles, which was encouraged by the board's Finance and Investment Committee. Specific budget items projected for the second year, such as tuition and residence hall increases, could be subject to change in light of conditions at that time.

The development of this two-year budget to conform with the 15-point plan presents some interesting challenges for the university. The plan calls for reducing enrollment and academic programs and strengthening enrollment in high-quality graduate programs, while improving student and faculty quality and increasing student services. The budget impact of this plan, based on preliminary estimates, will be significant. In addition to traditional revenue sources, the university will need to identify alternative sources of funding for the plan. Over the next few years, the 15 points need to be prioritized and gradually implemented.

As of October 2003, the following items have been funded to support the implementation phase of the 15-Point Plan:

• Central focus on undergraduate programs (library materials)	\$ 400,000
• Graduate program support	\$1,100,000
• Global program initiatives	\$1,300,000
• Additional resources for faculty teaching and research	\$ 450,000
• Additional teaching faculty and reduce adjunct	\$1,200,000
• Enhance profile as a value-based university	\$ 770,000
• New model of governance	\$ 50,000
Total	\$5.27 million

Assessments of Efficient Utilization of Institutional Resources

Throughout the year, several procedures ensure sound budget management and measure progress towards meeting the university's goals. Examples are:

- quarterly measurements of budget to actual performance reviews
- annual performance review
- quarterly budget forums for unit budget managers
- annual financial impact model
- five-year historical trend review.

The above reports prepared by the Budget Office are provided to unit managers and division heads for review and reference in making resource allocation

decisions throughout their areas of responsibility. The trend data are also used to make decisions regarding unit reorganizations, program reviews, and program development initiatives. As the implementation of the 15-point plan progresses, other forms of evaluation and financial reports may be developed to measure the accomplishments against benchmarks established at the onset of the plan.

OPERATING EFFICIENCY

The fifth point in President Ladner's strategic plan for "fulfilling the American University paradigm" calls for a reduction in costs and increased operational efficiency. "We will systematically eliminate bureaucracy and red tape, consolidate services, eliminate overlapping positions, outsource appropriate services, and increase our use of management technology." Already there is substantial evidence the university is moving forward to improve its efficiency and effectiveness, contain costs, and redirect resources in support of the university's mission and strategic goals. These measures include:

Operating Savings and Internal Reallocations

In his budget call letter, Dr. Ladner emphasizes the annual campus-wide budget formulation process closely linked to the 15-point plan. The resulting FY2003 budget includes \$1.65 million as either reductions in operating costs or new revenue generation. In addition, \$3.2 million is identified as internal resource allocations as a result of streamlining administrative functions, sharing resources across divisions, making program changes, and internal funding for operating cost increases. The budget also includes provisions to achieve market-based compensation for both faculty and staff, increased financial aid for students, transfer to quasi endowment, and an enrollment contingency equal to 1.5 percent of tuition revenue.

Academic Program Changes

To support the direction of the 15-point strategic plan, the provost undertook an ongoing academic program review that led to the termination or consolidation of several programs and to increased support for programs earmarked for advancement. For example, the transfer of the information systems programs from the College of Arts and Sciences to the Kogod School of Business and the subsequent development of a new master's in management information technology within Kogod is an excellent case in point. The National Center for Health Fitness and the Department of Health Fitness were consolidated. An assessment was conducted and a decision was made to require TOEFL scores so that international students who come to AU will be better prepared in English-language studies. Referrals and resources will be made available as a "safety net" to those students who still require additional English-language skills.

Realignment of Administrative Services

Several administrative functions have been consolidated, redeployed, decentralized, or outsourced. For example, the Office of Student Services is now the Office of Campus Life with consolidated student-centered services, including on- and off-campus residence hall operations. Development functions have been decentralized with officers located in each academic unit, where they coordinate fund-raising efforts and alumni activities. The graduate application process is now decentralized at the college level. Continuing education is also decentralized, with resources distributed to the academic units. Mail service operations were outsourced to Pitney-Bowes, a leading expert in the mail service industry.

In response to rapidly growing and changing demands for technological support, information technology services have been redistributed to the University Library, the Center for Teaching Excellence, e-operations, and e-administration. This realignment of resources has improved IT support throughout the university.

New Performance Management Program and Training Initiatives

Implementation of a new Performance Management Program provides a direct link with university goals, which holds promise for improving merit-based compensation, encouraging professional development and higher morale, strengthening employee efficiency and competency, and reducing turnover. The net effect should be improvement in operational performance and a reduction in operating costs as the university functions with fewer but more highly skilled and highly paid staff.

Various university-wide training initiatives have been implemented. Examples are an orientation for new faculty and staff, Human Resources managers training, customer service training, sexual harassment prevention training, quarterly forums for department human resources managers, and forums for budget managers.

Administrative Information Systems and a Wireless Campus

One of the most impressive examples of the advancement of the university during the past decade is the continuous improvement of administrative information systems and other rapidly growing applications of information technology. During the past five years, more than 20 separate and largely incompatible administrative information systems have been replaced by a single enterprise-wide system of relational databases. This has eliminated the redundancy of demographic and other administrative data and facilitated more efficient processing. In May of 2002, the university made plans to become one of the first universities to have a wireless campus using an in-building distributed antenna system. The university community is

very proud of its progress and leadership in the academic and administrative use of information technology. The university's record in this regard is further described in the chapter on learning resources and campus life.

Best Practices in a Paperless Environment

In the university's effort to operate more efficiently and reduce operating costs, the following initiatives have been implemented:

- **On-line student application process.** Prospective students are now able to apply on-line.
- **On-line purchasing through AcquireX.com.** Departments can order supplies and other items over the Internet and realize significant cost savings, while receiving next-day delivery.
- **Today@AU.** Today@AU, an official university announcement vehicle distributes the daily news and notices of events.
- **e-timesheets.** All employees and department supervisors record time and attendance through the secured Web portal, <my.american.edu>.
- **e-pay advices.** Pay advices are available on the personal Web portal, where all employees can view their monthly payment history.
- **Direct deposit campaign.** The direct deposit campaign resulted in significant increases in participation rates, which rose from 80 percent in spring 2001 to 90 percent in fall 2002 for full-time faculty and staff. The participation rates for adjunct faculty and student employees have improved from 30 percent in spring 2001 to 55 percent in fall 2002.
- **On-line employee snapshot and open enrollment process.** The faculty-staff directory as well as basic information are available on-line. Full-time faculty and staff can elect their benefit options through the Web portal.
- **On-line policies and procedures.** Policies and procedures available through the Web portal include the faculty, staff benefits, and staff manuals.
- **On-line housing agreements.**
- **Online registration for new student orientation and the freshmen service experience.**
- **On-line registration and the electronic submission of course grades.**
- **On-line payment options.** Through the Web portal, students can access and pay their student account balances as well as dining service meal plans and EagleBuck\$ cards.
- **On-line giving.** Gifts can be made through the Web or payroll deductions.

Cross-Divisional Collaboration

Cross-divisional collaboration has increased operating efficiency. Divisions and departments have shared goals. As a result of September 11 events, emergency management procedures involving mass evacuation of university facilities have been developed, and training on campus has been implemented. The offices of Financial Aid and Student Accounts work together during peak times to better serve student needs.

New Process Improvement Project Team

Based upon the experience and benefits of the improvements in operating efficiency achieved over the last few years, the university created a new Process Improvement Project Team in the fall of 2002. Chaired by Acting Vice President Cheryl Storie, this 10-member team is spearheading a systematic effort to bring efficiency and cost savings to virtually all aspects of university operations. The team has been trained in the latest process improvement techniques and tools for identifying and implementing ways to get things done more efficiently and effectively. The team proposed its first pilot projects to President Ladner early in 2003. The establishment of this internal team of process improvement specialists clearly demonstrates the AU community's strong commitment to continuous improvement in terms of both efficiency and quality of service throughout the academic and administrative dimensions of the university.

DEVELOPMENT, ENDOWMENT, AND OTHER NEW REVENUE SOURCES

Development

Development continues to be an important strategic priority for the university and will play a more prominent role as AU seeks to implement its 15-point plan, described in *Ideas into Action, Action into Service*. The investment in development and alumni activities is one that requires a continuous and consistent commitment, as many results attributable to the work of the office may not become apparent until many years into the future. The continuous nature of development and alumni activity is essential to the long-term philanthropic revenue potential of the institution. In any successful development program, short-term needs are carefully balanced with the long-term benefits of development activities.

The development office at AU has made significant organizational changes in the recent past that have led to an environment encouraging entrepreneurship and collaboration focused on results. Today, the 40-person staff, led by the vice president of development, has helped AU set its development sights much higher than ever before.

Prior to 2000, the program included centralized annual giving, alumni relations, major gift, and corpo-

rate and foundation components. When the new vice president arrived in March 2000, he targeted the alumni participation rate and the major gifts program for short-term enhancement.

To address those areas, two strategic decisions were made and implemented. First, the university's annual telemarketing was automated, using the best technology available to significantly enhance both the number of calls made and the data collection process. This upgrade, together with the university-wide enhancement of data storage and retrieval via Datatel's Colleague and Benefactor systems, is expected to support an alumni participation rate in excess of 20 percent for the first time in the history of the institution.

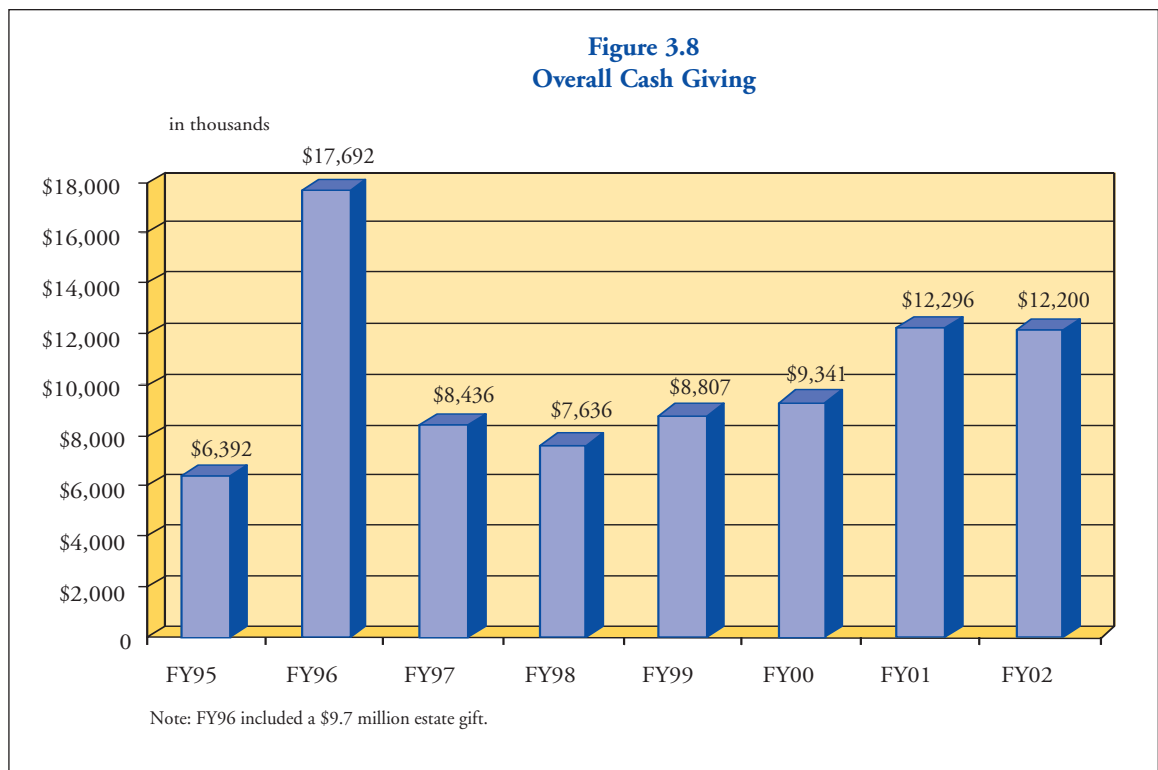
Second, the major gifts and alumni relations programs brought a decentralized approach to development, which included two new positions—director and assistant director of development—to be placed at each of the university's undergraduate and graduate schools and colleges. These new positions have helped reinvigorate the interest of academic deans in development programs, create an entrepreneurial philanthropic culture at the schools, and enhance the quality and quantity of alumni programs and services. This decentralization, coupled with a centrally run prospect management and contact system, is beginning to significantly increase the number of major gifts each year.

As AU moves to implement the 15-point plan for excellence, first and foremost is the university's commitment to conduct its most comprehensive and

largest fund-raising initiative to date, an effort publicly launched in October 2003. The following strategic priorities have been identified and approved:

- Campaign for the Arts
 - Katzen Arts Center
 - Greenberg Theatre
- university endowment
 - academic chairs
 - professorships
 - student scholarships
- academic enhancement
 - centers
 - library
 - new initiatives
- Student life
 - Campus Life
 - Athletics
- Fund for Excellence (unrestricted dollars)
- Facilities
 - SIS Building
 - SOC Building
 - campus enhancements
- WAMU Public Radio

When completed, the initiative will help transform AU into a university that has successfully implemented its three integrated priorities of 1) quality of academic inquiry, 2) quality of the student experience, and 3) quality of extensive engagement with Washington and global affairs.



The university is poised to reach a new level in development and alumni work that will be an invaluable asset for the future of the institution.

Endowment Management

Building a strong endowment continues to be a strategic priority for American University. The Finance and Investment Committee of the Board of Trustees takes an active role in overseeing the university’s endowment, developing the asset allocation policy and spending rule, selecting investment managers, and monitoring the managers’ performance. The current asset allocation policy is 80 percent equities and 20 percent fixed-income investments. While aggressive, there is also substantial diversification within the equity portfolio (large-cap growth and value, small-cap growth and value, international, emerging markets, etc.) to provide balance. In addition, the Finance and Investment Committee has established a conservative endowment spending rule in order to preserve the principal of the endowment funds.

Until recently, the university had made slow progress building its endowment through fund raising and gifts. To help overcome that hurdle, AU has made a concerted effort to transfer funds annually from current operations to the quasi endowment, as a way to continue to build endowment balances (see Figure 3.9). This annual transfer (2 percent of total revenue) is now built into the operating budget of the university. In addition, some unrestricted reserves were transferred to a quasi endowment. These initiatives have become a strategic part of AU’s financial management and reflect the importance that AU places on developing a strong endowment.

Other Sources of New Revenue—American University of Sharjah

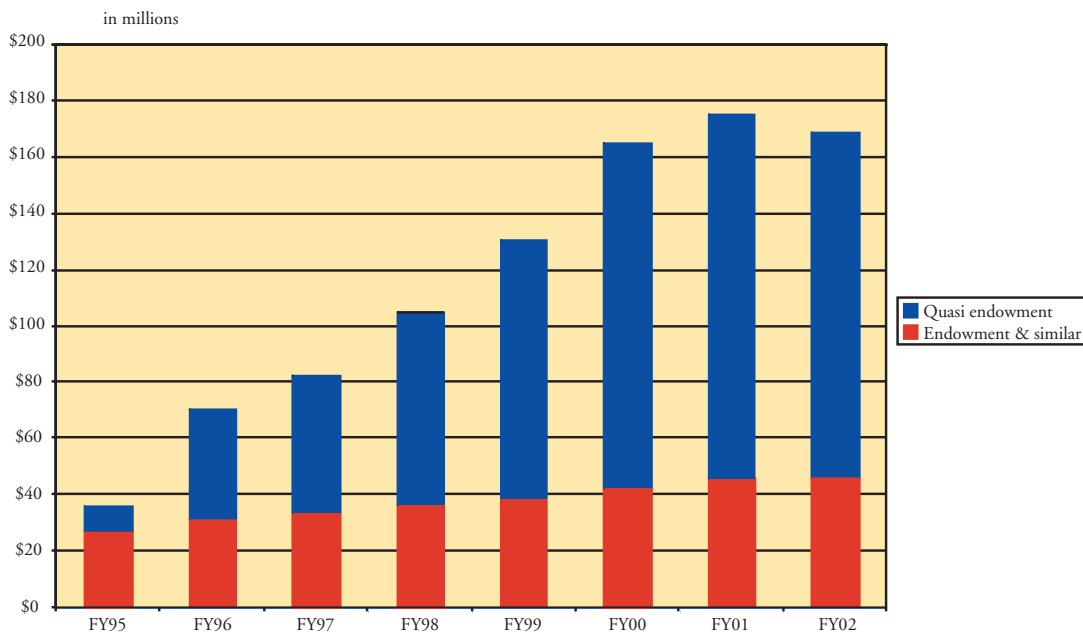
The American University of Sharjah (AUS) is a non-profit independent, coeducational institution of higher education formed on the American model. Founded in 1997 by His Highness, Sheikh Dr. Sultan Bin Mohammed Al Qasimi, Member of the Supreme Council and Ruler of Sharjah, AUS is a private, English-language, and American-style institution of higher education.

American University (AU) in Washington, D.C., has a comprehensive partnership agreement with the American University of Sharjah (AUS) under which AU provides the senior management personnel for AUS. Under this agreement, AUS pays AU overhead in addition to the direct cost attributable to the partnership agreement. The overhead income from AUS is included in the university overhead recovery history chart (see Figure 3.10). The agreement also encourages exchanges of students and faculty as well as the development of other joint programs and endeavors. The Sharjah office, located on the AU campus, was created to support the work of AUS by providing counsel on such administrative matters as faculty recruitment, development, alumni and external relations, academic governance, and support toward the goal of accreditation. The office also facilitates student and faculty exchanges and the development of joint academic programs.

Sponsored Research and Creative Activities

At AU, as at all notable universities, faculty research and creative activities create new knowledge and help

Figure 3.9
Endowment Funds



strengthen the institution's academic reputation. Developing a superior research support infrastructure is a priority. The Office of Sponsored Programs (OSP), which reports to the dean of academic affairs, provides support to faculty and others who seek funding for specific projects and assistance with award administration. The strategic plan directed that a review of the processes by which research and scholarship are supported be undertaken and changed, where appropriate, to provide greater support and encouragement for these activities. In 2000, OSP was reorganized to streamline administrative support to faculty. The provost's office worked with the deans to develop strategic targets suitable for each academic unit's sponsored programs. As a result, the deans have developed possible new sources of external funding.

OSP supports several new programs of national significance. These include an expanded sponsored internship program for Native American students, the Center for Social Media, and several teacher training programs. The Transnational Crime and Corruption Center, founded in 1995 and supported almost exclusively by external grants, now has annual support of \$1.5 million for its network of centers in the former Soviet Union and its Washington-based research projects. In July 2001, the Center for Global Peace received a \$2.85 million grant from the State Department for a two-year confidence-building project between Armenia and Turkey and between Armenia and Azerbaijan. The Center for Congressional and Presidential Studies expanded its work with a grant of just under \$2 million to study campaign conduct.

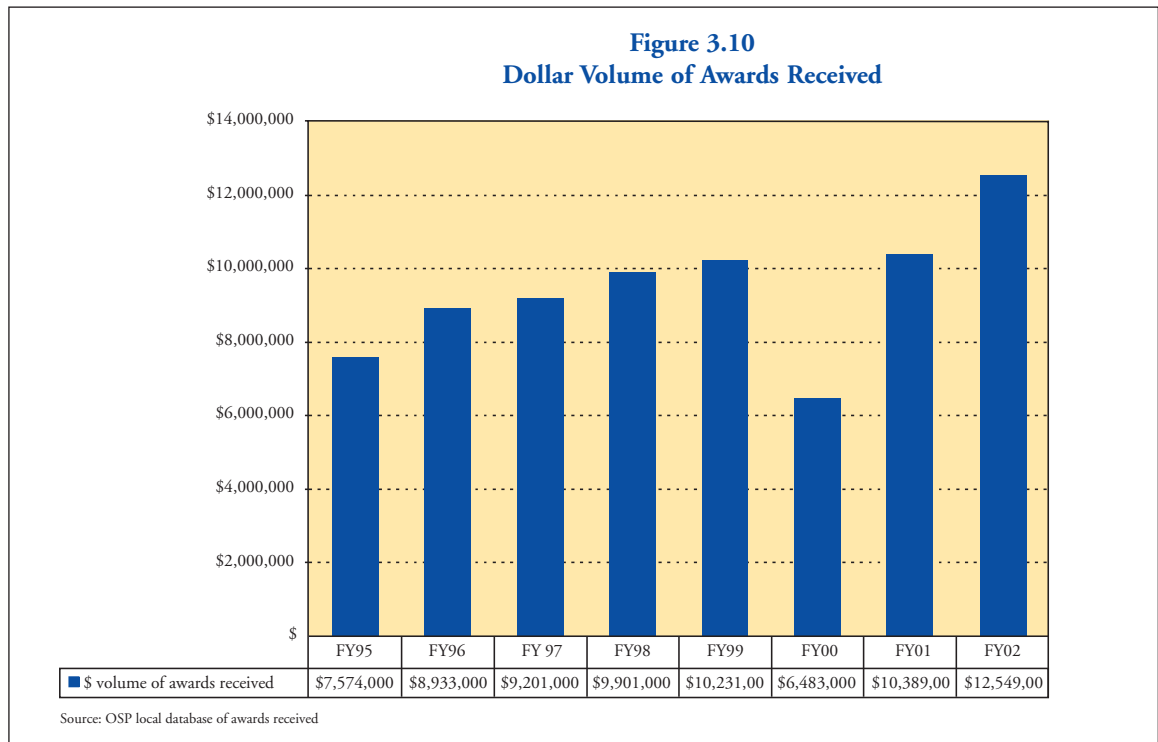
Figure 3.10 illustrates the research dollar volume of awards received during the reporting period.

The 15-point plan encourages an increase in research and creative activities by proposing support on many different levels. A Presidential Research Fellowship fund will be created to allow faculty to increase scholarly activities. The establishment of a system of differential teaching loads and research loads for faculty will allow increased productivity in the area of sponsored research.

Research Overhead Recovery History

In accordance with university policy, the schools and colleges retain a percentage of the research overhead recovery generated from externally funded research projects. An increase in the amount of overall indirect cost recovery is an area of improvement for the university. The amount of indirect cost recovered in any fiscal year is influenced by a number of factors, including the types of grants in an institution's portfolio, sponsor policies on allowable indirect costs, and the kind of rate agreement under which an institution operates.

Figure 3.11 illustrates the research overhead recovery history during the review period, including that from both the American University in Sharjah project and the Office of Sponsored Programs. The indirect cost recovery facilitated through OSP is governed by a federal indirect cost rate agreement negotiated with the Department of Health and Human Services. In 1998, the indirect cost assessment changed, going from a base of modified total direct costs (long form) to a salaries-and-wages-only base (short form). The current rate agreement is in force until the university files a



new report in October 2003. Through current discussions and analysis of rate negotiation, AU is seeking to determine whether, given the new mix of projects for which the university is receiving funds, a different rate agreement may increase indirect costs recovered.

FACILITIES PLANNING

American University's facilities are not generous, having only two-thirds as many square feet per full-time equivalent student as peer institutions. Given that fact, the university has focused its facilities resources on meeting key needs and maintaining high-quality buildings. Significant improvements have been made over the years: technology has been added to many classrooms, academic buildings (such as the Ward, Battelle-Tompkins and Kogod buildings) have been renovated, and the Mary Graydon Center has been renovated. Still, areas such as the McKinley and Hurst buildings could be improved.

Since 1995, the university has added nearly 390,000 square feet of facilities and renovated more than 200,000 square feet of existing buildings. These improvements resulted in a new fully integrated facility for the law school, improved labs and instructional space for the School of Communication, renovation of 40 percent of the university's general-purpose classrooms, addition of 60 faculty offices, a state-of-the-art fitness center, a phased renovation of the University Center, and a new theatre. At the same time, the university has routinely renovated residence halls to keep them fresh, inviting, and meeting the needs of today's students. (See Supporting Documents 3.5 and 3.6.)

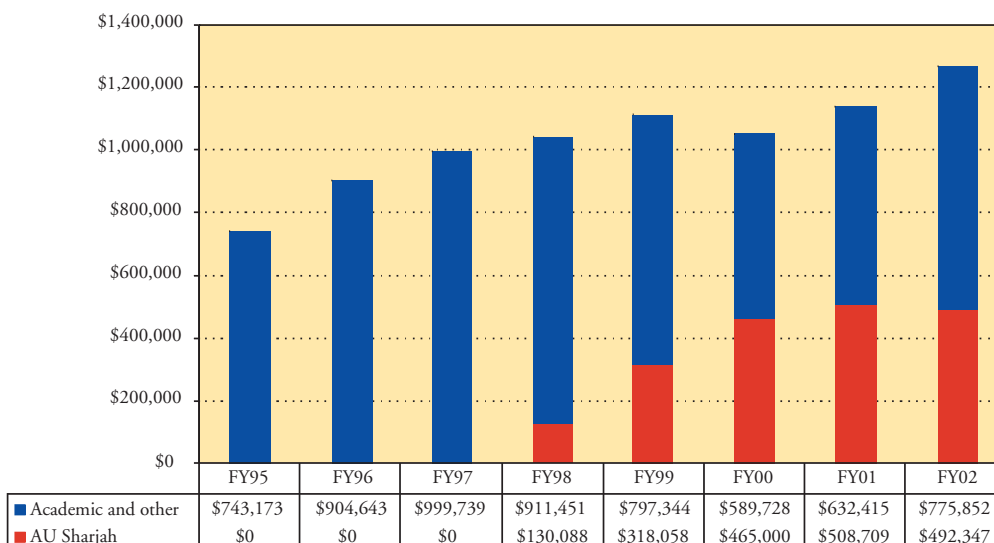
Campus Plan

Working within its facility limitations, the university conducts facilities planning at various levels, ranging from a broad multiyear Campus Plan to annual consideration of individual facility improvement projects as part of the budget process. The Campus Plan, which is prepared for a 10-year time horizon as required by District of Columbia zoning regulations, states the university's facility needs and enumerates planned new facilities. A new Campus Plan was prepared in 2000 and approved by the District of Columbia Zoning Commission in 2002.

The Campus Plan contains an overall assessment of existing facilities and addresses facility needs as a way of dealing with current deficiencies or to accommodate planned program changes. The plan was prepared through both a top-down and bottom-up approach. Facility needs of individual schools, colleges, and service units were combined with the university's campus-wide facility goals to create a plan that addresses needs coherently. (See Supporting Document 3.7.)

A significant challenge to the university's planning process is posed by the location of both the university's main and Tenley campuses on residentially zoned property, which can serve as an impediment to developing university facilities. AU is permitted to add facilities only through a two-stage special exception process through the District of Columbia Zoning Commission. The first stage is approval of a Campus Plan and the second is the approval of a building proposal for a specific building. Both stages involve significant input from

Figure 3.11
Research Overhead Recovery History



Source: Year-end research overhead report produced by the Controller's Office

neighboring residents, compromise, and a long processing period. Virtually every zoning action involves identification of issues on which the university and some of its neighbors disagree. The process of working through the issues, hearings, and eventual decision-making typically takes two years.

Through this process, the university has been successful in obtaining zoning approval for its most critical needs, for example, the Katzen Arts Center to greatly improve arts education facilities. To further meet its facility needs, AU has also acquired off-campus commercial properties, which can be used as a matter of right. Moving the Washington College of Law and a number of support service units to nearby commercial properties has allowed the university to use its main campus facilities for other academic needs.

Implementation of individual building projects within the Campus Plan or of renovation projects not included in the plan is dependent on available funds. Projects are considered through the university's capital budget process, which is similar to the operating budget process. Smaller facility improvement projects (less than \$1 million) are considered through the annual operating budget process. Due to resource constraints, however, there has not been a regular funding of these smaller facility improvement projects. Often instead, these projects have been funded in an ad hoc manner.

Assessments

Facilities staff conducts periodic assessments of university facilities, with a particular emphasis on the quality of instructional facilities (*see* Supporting Document 3.8).

Assessments indicate that there are adequate instructional facilities overall. The overall classroom quality is good, and deficiencies, when they exist, are being addressed on an ongoing basis. This includes installing up-to-date technology to support instruction.

Library facility needs have been documented and short-term measures to address them are being developed. Over the last few years, improvements to adapt for changing technology needs have been completed in the library. Based on the 1997 recommendations of a library facilities planning committee, the following improvements have been completed:

- moved little-used material to the Washington Research Library Consortium (WRLC) center, resulting in approximately 12 percent of the collection being now located in WRLC, thus creating space for continued growth of the collection
- relocated the 24-hour study room outside Bender Library, which created room for expanding other library needs
- redesigned and upgraded public and technical services areas on the first floor of Bender Library

Several other committee recommendations have yet to be implemented due to the competition for space resources from other university functions.

The university is moving closer to achieving the goal of providing an individual office for each full-time faculty member with the completion of the Katzen Arts Center, scheduled for late 2004. The added gallery, office, studio, and performance facilities provided by the comprehensive new facility for the arts, as well as space freed up when the current arts facilities are vacated, will add significantly to the university's academic and support facilities.

Capital Renewal and Deferred Maintenance

The university has addressed its capital renewal and deferred maintenance needs through planned increases in funding (*see* Supporting Document 3.9). The university is close to fully funding its infrastructure capital renewal needs. Capital renewal needs are identified through an ongoing assessment process, and projects are scheduled several years in advance. The current plan identifies projects for the next seven years but is flexible enough to vary the timing of individual projects so they coordinate with other facility improvements. The most critical capital renewal funding shortfall is for furnishings and equipment. Historically, this funding has been decentralized, with individual units making replacement decisions and providing the funding. The university is starting to recognize and fund these capital equipment needs for technology and the residence halls, but other areas must still be addressed.

Capital Equipment Renewal and Minor Facilities Improvements

The current ad hoc and decentralized method of funding increases the risk that some critical capital renewal needs may not be funded. A plan for funding all capital renewal needs to be developed and phased-in over the next several years. Additionally, it is recommended that funding for minor facilities improvements be made a part of the operating budget and that a process for planning and prioritizing these requests be put in place.

INFORMATION RESOURCE NEEDS

American University's long-term information systems strategy brings together a series of disparate and "shadow" administrative systems into a single enterprise-wide system. In June 1997, AU finalized an agreement with Datatel of Fairfax, Virginia, for the purchase and implementation of their Colleague and Benefactor systems. The systems were to address the year 2000 problem, outmoded business practices and procedures, the inefficiency of existing systems, and the lack of supporting capabilities within current systems to address the initiatives of the 1997 university strategic plan. They formed the hub from which all future administrative information systems activities would emanate.

In May 1998, the Colleague financial system modules were implemented, followed by the student system modules and the Benefactor system in support of planned giving and development membership activities. In April 1999, the Colleague human resources modules, including position management and payroll, were implemented. From mid-1999 to February 2001, postimplementation activities, such as using additional system's functionality and completing a limited set of customization work, were completed. In addition, the university also planned and began implementation of a data warehouse envisioned to use the newly acquired administrative systems data delivered campus-wide in an easy-to-use point-and-click method. The data warehouse enables all campus offices to access the enterprise application's data in support of daily decision making and short- and intermediate-range strategic decisions.

In late 2000, an intermediate administrative information system strategy, conducted in parallel with the data warehouse work, moved the use of administrative systems "closer" to the customers in a real-time processing mode. This work focused first on student Web-based services, such as course registration, followed by faculty services, such as Web-based course rosters and grading, then services for staff, applying and accepted students, and finally alumni and other friends of the university. The three major administrative information systems implementation efforts are graphically depicted in Figure 3.12.

The success of these projects has been apparent to those directly or indirectly involved with administrative information systems.

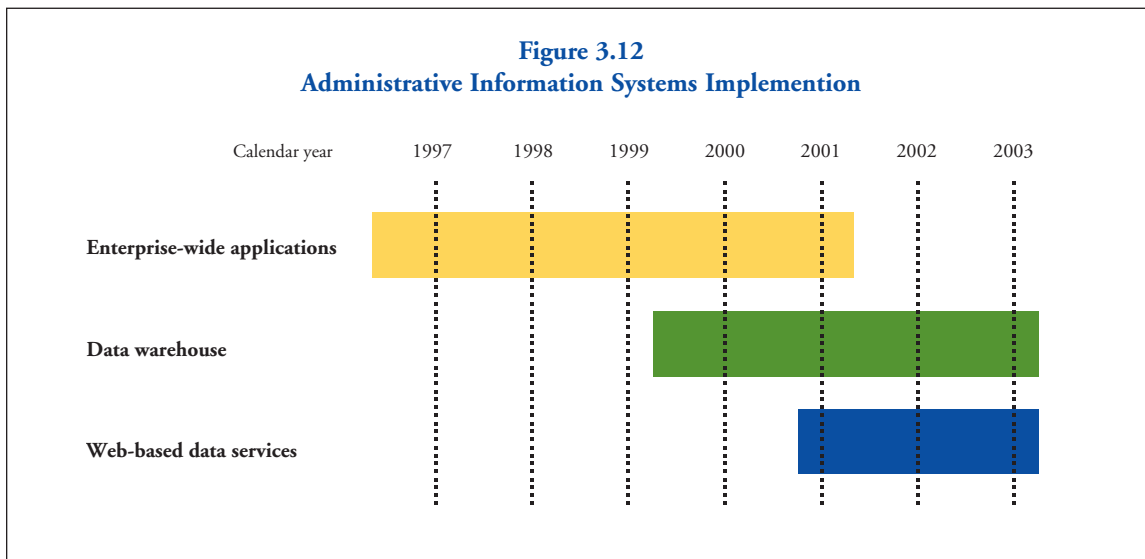
- In 1997, more than 22 systems with duplicated student, faculty, and staff demographic information served the university. Today, one system, used campus-wide, contains all data.
- Data warehouse information, using the technique of drilling down from the highest level of detail to the

most minute, is used in more than a dozen university offices. The Oracle-based warehouse data is refreshed from Colleague and Benefactor nightly. Nearly 400 unique point-and-click reports provide broad-based support for decision making.

- In the spring of 2001, four Web-based inquiry-only services were available. In the fall of 2002, more than 70 services for both inquiry and update of enterprise applications data were offered via a Web portal. Examples include course registration and add-drop; credit card payments for most university services; faculty grading; faculty, staff, and student work time tracking; a parent portal, allowing student-authorized persons to view and use student services; an international student tracking system compliant with the Student and Exchange Visitor Information System (SEVIS) project mandated by the Immigration and Naturalization Service; and on-line application and other forms. Web-based service projects, the university's wireless services project, and a planned voice-activated data entry project will be ongoing.

SHORT- AND LONG-TERM TECHNOLOGY RESOURCES

"Some of the most dramatic changes on campus over the past 10 years have been caused by new computing and information technologies. Those changes have profoundly affected the operation of the University Computing Center and library facilities." Those words, taken from American University's last *Self-Study Report*, are as accurate today as they were when written in 1994. The previous report recognized throughout the document that technology would be one of the factors driving the success of the institution during the 10-year period now being reviewed. The expectations set by that document for technological progress on campus have largely been met and in some cases dramatically exceeded.



Organization

Until September 2000, technology services were administered by a central Office of Information Technology reporting to the provost. A reorganization was announced at that time in order to address the challenges presented by the growth in technological complexity and user demand, as well as to provide increased capability for generating and exploiting new opportunities for academic creativity and administrative efficiency. Technology services are now delivered through several separate but coordinated groups: e-administration, e-operations, the Center for Teaching Excellence, the University Library, and individual departments that have specialized academic computing requirements. Academically oriented service units report to the provost; administrative computing services report to the vice president of enrollment services; and infrastructure services report to the vice president of finance and treasurer.

Central Facilities

The e-operations group maintains all central university technology facilities, including computer room operations, software licensing, voice and data network provisioning, e-mail and Web services, audio-visual support, cable television, technology training for university staff, and help desk support for all campus constituencies. Approximately 100 servers provide processing for administrative and academic applications for the university's 11,000 users. Sun Microsystems equipment is used for most enterprise-wide applications. Compaq and IBM servers dominate the Intel architecture systems used to provide file- and print-sharing services, supporting both Novell Netware and Microsoft Windows networks. The Novell eDirectory product (also known as NDS) is used to establish a single network sign-on capability for all major applications.

The university data network (EagleNet) consists of more than 8,500 switched network ports implemented using several hundred Cisco Systems devices and a number of legacy shared network ports that will soon be converted to switched devices. Fiber optic cable links the university's main campus buildings. Leased dark fiber links the main campus to five remote locations, and a high-capacity microwave link provides services to a 258-unit off-campus apartment building. Backbone links operate at a minimum of one billion data bits per second (gigabit). When required for capacity or redundancy, multiple gigabit links are used. Administrative and academic desktop computers are linked to the backbone using dedicated 100 million data bits per second ports; residence hall ports (one per student) are operated at 10 million bits per second on dedicated ports.

Internet access is available to all students, faculty, and staff on campus. Electronic mail accounts are provided

to everyone at the university, and students and faculty are able to create personal Web sites (*see* Supporting Document 3.10). The popularity of Internet services has saturated the current capacity of AU's Internet link (45 million data bits per second), leading to the need to manage bandwidth through techniques that limit the utilization rate of certain types of network traffic—in particular, the class of peer-to-peer file-sharing programs that are used primarily by residence hall students to exchange music and video files (*see* Supporting Document 3.11). A plan is in place to implement a second independent Internet link that will at least double capacity and ensure redundancy in case of failure of the first link.

In May 1997, AU was ranked among the 50 most-wired campuses in the nation by *Yahoo! Internet Life* magazine. Just five years later, in May 2002, the university announced its plan to enhance the campus network with wireless technology and become the most “unwired” campus in the nation. All major buildings and outdoor campus areas now offer wireless LAN access. AU is one of the first universities to implement this technology using an in-building distributed antenna system that provides simultaneous support for 802.11 wireless LAN and all forms of cellular telephone service. This enhancement is in response to students' decreased use of university-provided residence hall phone service and increased use of cell phones. Partnerships with cellular telephone carriers enable the university to lead the nation in transitioning student telephone service to a cellular model. During 2003, many of the university's applications of interest to students will be enabled for use on any wireless device, including cell phones, Palm Pilots, and handheld computers using the Pocket PC operating system.

Desktop Resources

The university owns about 2,500 desktop and laptop computers for individual and classroom use and provides support for an additional 3,000 personally owned systems. Most systems use some version of the Windows operating system. Approximately 190 Apple Macintosh systems are in regular service, and a small but growing number of machines use the Linux operating system. With the wireless network implementation project, the number of these devices capable of wireless connectivity is expected to increase dramatically. Newly admitted students are advised to purchase laptop computers with a wireless option, as well as data-capable cellular telephones.

Academic and Instructional Computing Support

Most major university classrooms are equipped with ceiling-mounted computer projectors with motorized screens, and a standard complement of other typical audio-visual equipment. All classrooms have wired Internet access for the professor; a small number provide network ports at each student station.

Technology support for the library is provided through participation in the Washington Research Library Consortium (WRLC), with the assistance of library technical staff. ALADIN, the shared on-line catalog, contains millions of records which allow users to locate items at any of the eight member university libraries (American University, Catholic University of America, Gallaudet University, George Mason University, George Washington University, Georgetown University, Marymount University, and the University of the District of Columbia).

Twenty-three campus computer labs host approximately 450 personal computers and 130 Macintosh systems. The largest lab is open around the clock during the academic year and serves as a general-purpose facility for students from all academic units.

Planning and Budget

Technology planning is coordinated through regular meetings of the provost, the vice president of finance and treasurer, and the vice president of enrollment services, who represent the interests of the units that provide technology services for the campus. The Faculty Senate's Committee on Information Services and Technology provides a forum for individual faculty representation.

A Technology Strategic Plan will guide the university through the next three years, the horizon used as the basis for technology program and equipment decisions. Highlights of the plan include:

- implement a wireless communication strategy to provide access to information and learning opportunities anytime, anywhere
- develop a funding strategy to replace faculty and staff computing technology on a three-year replacement cycle
- develop a transition plan for updating the current telephone system
- implement a new system to consolidate all identification, access, and financial services on a next-generation AU identification card
- use document-imaging filing systems in all administrative offices
- educate all staff on the value of university data, including data quality, individual accountability, tools for correcting data problems, and the cost of incomplete or bad data
- create a mandatory employee technology training curriculum and a monitoring and assessment system
- develop a long-range plan to train faculty in the use of campus technology resources
- implement an improved business continuity strategy

The university recently developed a three-year replacement plan for desktop computers for faculty and staff and the core infrastructure elements including central servers and network hardware. The first implementation began in early 2003, giving a top priority to faculty desktops and classroom technology. A comprehensive replacement and upgrade program is needed to keep up with rapidly changing technology needs.

Assessment Measures

The information technology Help Desk maintains statistics on the number of calls (*see* Supporting Document 3.12) and on satisfaction levels and usage patterns of students, faculty, and staff. User satisfaction surveys are used to solicit feedback on the quality of service; survey instruments distributed to broader portions of the user community are used to gauge more general reaction to technology services on campus.

INFORMATION RESOURCES TO SUPPORT TEACHING, LEARNING, AND RESEARCH

Libraries

The vast storehouse of information offered by the library is one of the most significant academic resources of the university. As such, it requires substantial financial support. The last decade, which ushered in the electronic revolution and saw publishers' price increases averaging 10 percent per year, challenged all libraries to reallocate existing resources and to seek additional funding to support collections. Libraries are further challenged to acquire information in numerous formats. For some titles, the same content may appear in several formats, but in most cases, information is available either in traditional (print or analog) sources or through electronic formats but not through both.

When print was the dominant form of information storage, the key to understanding the strength of a university library was the size of the book and print journal collection. With the electronic revolution, access to on-line resources has become an equally important factor in determining the quality of the library. Seeking to address these issues, American University's strategic plan (1997) called for increasing user access to materials in electronic formats and providing state-of-the-art document delivery systems. To achieve that goal, the University Library and the Washington College of Law (WCL) Library increased user access to information by subscribing to additional electronic resources, by creating links to materials available on the Web, and by providing remote and in-library access.

AU has seen a dramatic increase in the number of its electronic resources over the seven-year period. In FY2000, the University Library subscribed to 255 remote electronic resources, and by FY2002 there were 766 electronic subscriptions, a 200 percent increase. The WCL library recorded 325 electronic resource

subscriptions in FY2000, and by FY2002 WCL held 778 electronic resource subscriptions. (See Supporting Document 3.13.)

The number of volumes added to the University Library collection increased by 22 percent between 1995 and 2003, from 635,800 to 777,000. Similarly, the media collection increased by 54 percent, from 29,400 items to 45,300 during the same period. Purchases for the collections are guided by the Collection Assessment Project (CAP), completed in 2001, which measured the strength of the collections and on-line resources in more than 2,400 subjects and established collection goal levels reflecting the degrees offered across the curriculum. (See Supporting Document 3.14.)

The growth of the collection and improved access to electronic resources can be assured by a systematic annual increase to the library materials budget to cover the inflationary increases in prices of print and information resources. Annual allocations for library resources have been supplemented by University Library development efforts, including Friends of American University Library.

The library has effectively increased access to materials through its membership in the Washington Research Library Consortium (WRLC), which offers shared electronic resources and expedited access to print collections through interlibrary loan or direct borrowing from eight member universities in the Washington, D.C., area. Using ALADIN, the on-line library catalog for members of the WRLC, AU faculty, students, and staff can request materials that are delivered to AU daily by courier or electronically within 24 hours to the reader's desktop computer. Since this feature, called patron-initiated interlibrary loan, was made available in FY2001 and the turnaround time for delivery was reduced, AU has seen a dramatic increase in the number of items lent and borrowed as indicated in Figure 3.13.

Figure 3.13
Interlibrary Loan

	FY00	FY01	FY02
Total borrowing	12,644	16,170	27,674
Total lending	9,816	22,875	31,657

Source: University Library Annual Report, 2000–2002

In 1997, ALADIN was moved to a Web-based platform. A proxy server, added in 1998 and maintained by WRLC, is used effectively by students, faculty, and staff working from off-campus locations, including students in AU's World Capitals Programs. In spring 2003, ALADIN was further enhanced by the introduction of software that allows one to search across several databases simultaneously.

Center for Teaching Excellence

Established in 1998, the Center for Teaching Excellence (CTE), has become a major partner in pro-

viding information resources to faculty in support of teaching, learning, and research. CTE trains faculty in the use of both Blackboard's routine features to post course syllabi and documents and its advanced video and virtual class features that enable them to bring outside experts to AU's classrooms and AU's experts to classrooms around the globe.

CTE also facilitates the use of data sets and other statistical data, provides faculty and student access via the Web or in labs to several statistical and modeling programs, and offers assistance to faculty, students, and staff in the use of the statistical analysis tools. Additionally, CTE has helped some academic units and faculty who need specialized packages not currently licensed or purchased by the university to purchase or license the tools they need.

CTE manages the Blackboard contractual arrangements, maintains some Web programming, has some video editing capability, and works with academic units and individual faculty to identify and purchase or lease electronic resources and tools.

Academic and Administrative Departments

Using what modest funds are available, the schools and academic units—in particular the College of Arts and Sciences, the Kogod School of Business, and the School of Communication—have acquired additional information resources and equipment that each school needed.

The university provides significant access to information resources in support of teaching, research, and learning in both traditional and electronic formats. There has been effective use of the limited financial resources through careful selection, and where possible, joint or consortium agreements. However, to better facilitate the effective use of all the information available on campus, it is recommended that the university create a comprehensive, central inventory of campus electronic resources that includes access rights and use instructions.

CONCLUSION

Financial planning and proper resource allocations are an integral part of the implementation process of the university's strategic plan. The university is proud of making great progress towards improving the level of institutional resources during the past decade in that it 1) exercised self-discipline in implementing important financial measures and assessment procedures; 2) obtained updated credit ratings; 3) achieved operating efficiency while maximizing technology; 4) became a pioneer in wireless technology; and 5) provided information resources effectively to the university community to support teaching, learning, and research. These achievements, made with limited resources, are a reflection of sound fiscal management and continuous process improvement initiatives.

As the university budget becomes more complex with multiyear strategic initiatives, the community will be best served by increased communication on the budget process and by budget transparency. A more engaged community is more likely to emerge in an environment where general budget and performance information is widely shared within divisions and departments. This change would reaffirm accountability, promote creative ideas, and help new revenue opportunities emerge.

RECOMMENDATIONS

- Continue the multi-year budgeting and financial planning strategies.
- Develop ways to better educate the university community on the budget process and improve budget transparency. Reinforce efforts to ensure that general budget and performance information is widely shared within the division or department to ensure the budget performance assessment takes place.

Supporting Documents

- 3.1 FY2004 and FY2005 Budget Formulation Criteria
- 3.2 FY2004 and FY2005 Budget Formulation Schedule
- 3.3 Fall Full-Time Equivalent Enrollment
- 3.4 Expenditure Budget by Unit, FY1995 to FY2003
- 3.5 AU Facilities Overview
- 3.6 AU Use of Facilities
- 3.7 Campus Plan Executive Summary
- 3.8 Sample Classroom Assessment Report
- 3.9 Capital Renewal and Deferred Maintenance
- 3.10 Growth of <www.american.edu>
- 3.11 Internet Usage History
- 3.12 E-Operations Help Desk Calls
- 3.13 Library Collections Data
- 3.14 Library Expenditures Data



LEADERSHIP, GOVERNANCE,
AND ADMINISTRATION

CHAPTER 4 LEADERSHIP, GOVERNANCE, AND ADMINISTRATION

The primary goal of governance is to enable an educational entity to realize fully its stated mission and goals and to achieve these in the most effective and efficient manner that benefits the institution and its students.

(Characteristics of Excellence in Higher Education, Standard 4)

INTRODUCTION

Large universities, by the nature of their work, tend to be loosely linked institutions. Faculty members pursue individualized research agendas, often in concert with individuals outside the parent institution. Academic departments advance different perspectives toward the collection and distribution of knowledge. Many administrative services take place beyond the formal scope of academic affairs.

American University's leadership, governance, and administrative structures provide a counterbalance to the loose-linked characteristics of the institution. For example, the university's mission is widely known. A new extensive performance management process links individual staff members' activities through their offices and departments to university goals. During the past year, faculty involvement in the governance structure of the university was revised in order to improve the effectiveness of their participation.

This chapter examines and assesses the extent to which the university's leadership, governance structure, and administrative organization support and advance the institution's mission. It covers Standards 4 and 5 of the *Characteristics*. In addition to providing information relative to those standards, the chapter addresses the following questions: (1) What is the relationship of trustees to the university? (2) What is the model of administration used within the university, and how is it integrated with the university's mission? What is the role of each constituency within that model? (3) What is the role of faculty in governance, and are they adequately represented? and (4) Are the staffing and administrative capabilities of the university appropriate to its size and mission?

ORGANIZATIONAL STRUCTURE

The university uses a relatively common organizational structure. It has a governing Board of Trustees consisting of 25 to 50 members. The board appoints the university's president, who serves as the chief executive officer and has primary responsibility for leading the institution and overseeing its administration. The president is assisted by the provost and six administrative vice presi-

dents. The faculty of the university has broad responsibilities for academic standards and academic-related personnel. They participate in the governance of the institution through a faculty senate and a series of university committees. Students are represented through undergraduate, graduate, and law student councils and participation on select committees. An elected staff council represents full-time and permanent part-time staff members (*see* Supporting Documents 4.1 and 4.2).

Since American University's last full review, the administrative structure of the institution has changed in significant ways. Ten years ago, the provost was responsible for admissions, financial aid, student services, athletics, and other areas, in addition to academic affairs. While the provost continues to be responsible for academic affairs, these other areas are now headed by their own vice presidents. To compensate for the relatively small number of vice presidents under the old system, the university had allowed the number of assistant vice presidents and vice provosts to proliferate. Ten years ago, the individual holding the position of provost was, in effect, the university's chief operating officer. At that time, the university had a president, two vice presidents, a provost, and nine assistant vice presidents, vice provosts, and assistant provosts. A 1993 consultant's report, prepared by A. T. Kearney Education Practice, recommended a more conventional organization. A subsequent reorganization narrowed the scope of the provost's responsibilities to academic affairs. Responsibility for enrollment services and student life was separated from the Office of the Provost with each area administered by its own vice president. Control of graduate admissions was subsequently decentralized to the colleges and schools. The President's Cabinet now consists of seven individuals: the provost; a vice president and general counsel; a vice president of finance and treasurer; and vice presidents of enrollment services, campus life, international affairs, and development (*see* Supporting Document 4.1).

This organizational structure was largely in place at the time of the university's most recent periodic review (1999). Since then, modest changes in positions, titles, reporting relationships, and personnel have occurred. The vice president of student services is now the vice president of campus life. A new vice president of development assumed that post in 2000. A new cabinet position, vice president of international affairs, was established in 2002. The information technology office, which previously reported to the provost, was split into three parts, reporting to the provost (e-academics), the vice president of enrollment services (e-administration),

and the vice president of finance and treasurer (e-operations). In spring 2002, e-academics was decentralized and became the responsibility of the schools and colleges, the Center for Teaching Excellence, and University Library. In another change, the athletics department now reports to the vice president of development.

In the current structure, the respective vice presidents oversee the following offices, functions, and services: (1) *Provost*—dean of academic affairs, deans of schools and college, university librarian, the Washington Semester Program, university registrar, and institutional research and assessment; (2) *Vice President of Enrollment Services*—undergraduate admissions, financial aid, university publications, university marketing, e-administration, media relations, information services, and WAMU 88.5 FM; (3) *Vice President and General Counsel*—university legal services; (4) *Vice President of Development*—athletics, major gifts, leadership gifts, school and college development programs, and alumni relations; (4) *Vice President of Finance and Treasurer*—business operations, facilities administration, public safety, finance and bursar’s office, student accounts, controller, budget and payroll, e-operations, contracts, and human resources; (5) *Vice President of International Affairs*—university international relations, Center for Democracy and Election Management, Center for North American Studies, and AU Abroad; and (6) *Vice President of Campus Life*—dean of students, counseling center, student health center, judicial affairs and mediation services, academic support center, community service center, new student programs, disability support services, multicultural affairs, international student services, GLBTA (gay, lesbian, bisexual, transgender and ally) resource center, university center, student activities, university chaplain, and housing and dining programs.

Board of Trustees

American University is a corporation established by a Special Act of the Congress of the United States in 1893. According to the university’s Bylaws, “the purpose of the Corporation is to establish and maintain in the District of Columbia a University to promote education, with the power to confer earned academic degrees and certificates and honorary degrees.” (See Supporting Document 4.2) Corporation business is conducted by a Board of Trustees.

The board has responsibility for the following: (a) elects the President of the University and approves the appointment of the Provost, Vice Presidents, and Secretary; (b) establishes University policies, which are to be executed by the President; (c) assists, guides and evaluates the progress of the University and receives reports from the President on this progress; (d) elects Board members and officers; (e) approves full-time and tenured faculty appointments recommended by

the President; (f) confers degrees; (g) appoints committees it deems necessary; (h) assists in raising funds to support the University; and (i) preserves and protects University operations and properties.” (See Supporting Document 4.2)

The President

The president of the university is elected by the board and continues in office at the pleasure of the board. According to the Bylaws, the president: “(a) is the Chief Executive Officer of the University and an *ex officio* member of the Board; (b) executes Board policies to operate, develop, and promote the University mission and purpose; (c) performs such acts, duties, and responsibilities that in his/her judgment promote the interests of the University consistent with the Act of Incorporation, the Bylaws, and Board policies; (d) represents the University to the public and presides at public academic occasions, or designates a trustee or University officer to preside; (e) keeps the Board and its Executive Committee informed of University operations and activities; and (f) has other powers and duties as assigned by the Board or its Executive Committee and as usually attend the office.” (See Supporting Document 4.2) In addition to the responsibilities listed above, the president appoints the provost and vice presidents and approves the provost’s recommendations of school and college deans and university faculty.

With these responsibilities in mind, President Benjamin Ladner has provided leadership and administrative oversight for the university through many significant actions since being appointed president in July 1994. These actions include leading the institution in the development of its mission statement, the Statement of Common Purpose (1994); the development and successful implementation of the strategic plan, described in *Building a Global University in the Nation’s Capital: American University in the Next Century* (1995–2001); the development and organization of the Campus Conversations (2000–2001); and the development and current implementation of the university’s 15-point plan, described in: *Ideas into Action, Action into Service: Fulfilling the American University Paradigm* (2001–present).

Before coming to American University, Dr. Ladner was president of the National Faculty, an association of university professors founded by Phi Beta Kappa, based in Atlanta, Georgia. He has been a professor at the University of North Carolina at Greensboro, where he won the university’s Teaching Excellence Award. As a professor of philosophy and religion at AU, he has taught while serving as president. He holds degrees from Baylor University (BA), Southern Seminary (BD), and Duke University (PhD), and honorary doctoral degrees from Elizabethtown College (Pa.), Sookmyung Women’s University (South Korea), and Tashkent State Economic University (Uzbekistan).

The Provost

The provost is appointed by the president with the approval of the board and continues in office at the pleasure of the president. According to the Bylaws, the provost: “(a) is the Chief Academic Officer of the University, second in responsibility only to the President; (b) reports to the President and has other powers and duties assigned by the President; (c) is a member of the University faculty and of each department, school, and college, and an *ex officio* member of each academic committee of the University; (d) receives recommendations from the faculty and academic administrators for consideration and recommendation to the President; (d) exercises the powers and duties of the President during the President’s absence or incapacity or in case of a vacancy in that office; (e) may attend meetings of faculties, schools, colleges, departments, and academic committees; and (f) at least once during each academic year calls a meeting of all persons with faculty rank to discuss matters affecting the academic policies and educational offerings of the University.” (See Supporting Document 4.2)

University faculty are appointed by the provost with the advice and consent of the appropriate college or school faculty, department head, and dean, and with the approval of the president and the board. The provost is the chair of the faculty. Each school or college dean is the chair of that school or college faculty. The provost appoints school and college deans with the advice and consent of the appropriate college or school faculty and with the approval of the president and the board.

Professor Cornelius “Neil” Kerwin began his term as provost in 1998. Before his appointment as permanent provost, he held this position in an acting capacity. A member of the AU faculty since 1975, Dr. Kerwin has held a number of prominent leadership positions within the School of Public Affairs, including that of dean from 1989 to 1997. In addition to his management responsibilities at the university, he has been actively engaged in teaching and research. He is a specialist in public policy, with emphasis on the regulatory process. He teaches courses in administrative process, policy implementation, and American government.

Professor Kerwin received his PhD in political science from the Johns Hopkins University in 1978, an MA in political science from the University of Rhode Island in 1973, and a BA from American University in 1971.

The provost is advised by a council consisting of deans, a director, the university librarian, and the university registrar. The deans at American University who are members of the Provost’s Council are Ivy Broder, dean of Academic Affairs; David Brown, dean of the Washington Semester Program; Louis

Goodman, dean of the School of International Service; Claudio Grossman, dean of the Washington College of Law; Larry Kirkman, dean of the School of Communication; William LeoGrande, dean of the School of Public Affairs; Kay Mussell, dean of the College of Arts and Sciences; and Myron Roomkin, dean of the Kogod School of Business. The director of institutional research and assessment, Karen Frosolid Jones, is also a member of the council, as are the assistant provost for administration, Violeta Ettle; the university librarian, Patricia Wand; and the university registrar, Linda Bolden-Pitcher.

The Vice President of Finance and Treasurer

The vice president of finance and treasurer is appointed by the president with the approval of the board and continues in office at the pleasure of the president. According to the Bylaws, this vice president: “(a) is the Chief Financial Officer of the University; (b) reports to the President and has other powers and duties assigned by the President; (c) supervises Corporation funds and properties; (d) keeps full and accurate accounts of all receipts and disbursements of the Corporation and, upon request, presents them to the Board’s Finance and Investment Committee or its Executive Committee or to the Board itself; and (e) at the end of each fiscal year, causes an audit to be conducted by a certified public accountant, which reports directly to the President and the Board’s Audit Committee.” (See Supporting Document 4.2)

Don Myers has served as vice president of finance and treasurer of American University since 1982. As chief financial officer, he is responsible for the overall financial and investment management of the university, controllership and treasury functions, budget operations, capital planning and development, facilities planning and development, physical plant, auxiliary services, and human resources. Mr. Myers has served as a member of the administrative staff at American University since 1968 and has worked as treasurer, assistant vice president for finance and assistant treasurer, assistant to the treasurer, coordinator of internal audits and business systems, and internal auditor.

Mr. Myers earned his BS in business administration from Shepherd College and an MBA in finance from American University. In 1997, he was the first U.S. higher education administrator selected to attend the International Senior Managers Program of the Harvard Business School’s Advanced Management Program.

The Vice President of Development

The university’s other vice presidents are also appointed by the president with the approval of the board, continue in office at the pleasure of the president, and have powers and duties assigned by the president. Vice president of development Al Checcio has served

in leadership positions in the advancement profession for more than 25 years, with 15 years in higher education development. He has managed programs at the Cystic Fibrosis Foundation and the National Multiple Sclerosis Society as well as at the Children's Hospital of Philadelphia. Specifically within the realm of higher education, Mr. Checcio has overseen all aspects of the development and alumni relations business, specializing in campaign management and major gifts fund raising.

Mr. Checcio became the vice president of development at American University in April 2000. He is a graduate of Drexel University.

The Vice President of Campus Life

Gail Short Hanson has been vice president of campus life since August 2002 and was vice president of student services from July 1997 through August 2002. She provides senior executive leadership for 15 areas, mentioned earlier in this chapter.

Dr. Hanson has spent more than 30 years in higher education administration, including service as assistant vice president and dean of students at the George Washington University. Prior to coming to AU, Dr. Hanson was an organizational consultant in the Office of Postsecondary Education at the U.S. Department of Education. She is a past president of the National Association for Women in Education (NAWE) and recipient of the association's awards for educational leadership and for distinguished service. She is on the board of directors of Susquehanna University and the educational advisory board of the National Young Leaders Conference. Dr. Hanson earned her BA from the University of Wisconsin and her MEd, MPh, and PhD degrees from the George Washington University.

Vice President and General Counsel

Mary Kennard is vice president and general counsel of American University. Prior to joining AU in 1995, she served as the vice president and general counsel of the University of Rhode Island for eight years, as well as general counsel for Rhode Island College and the Community College of Rhode Island. Ms. Kennard has also served as the legal representative for Howard University, the University of Pittsburgh, and Thomas Jefferson University. Ms. Kennard holds a BAS with honors from Boston University, a JD from Temple University, and an LLM in international law from the George Washington University National Law Center.

As general counsel, Ms. Kennard is responsible for the representation of the university in all of its legal matters. In addition to representing the university before courts and agencies, Ms. Kennard and her staff of attorneys provide legal advice to university administrators on a wide range of legal matters, including taxation, immigration law, labor law, and civil rights.

A higher education law specialist for more than 20 years, Ms. Kennard is a member of the Pennsylvania, Rhode Island, and District of Columbia bars. She is a noted lecturer in higher education law and is the author of various law journal articles on higher education law.

The Vice President of Enrollment Services

In October 2003, Cheryl Storie was appointed acting vice president of enrollment services following the October 1, 2003, resignation of Thomas Myers. Mr. Myers had been the vice president of enrollment services at AU since 1995. Ms. Storie has executive responsibilities for admissions, financial aid, media relations, university publications, marketing, information services and administrative computing, the fulfillment center, and other related support operations as well as the university's National Public Radio station, WAMU 88.5FM.

Ms. Storie has 18 years experience in higher education administration including the last 8 1/2 years at American University. At AU, Ms. Storie has served as director of financial aid and in that capacity was awarded the American University Outstanding Staff Award in 1997. For the last four years, she has been assistant vice president of enrollment services.

Prior to her arrival at AU, Ms. Storie held professional positions with Computer Technology Services (a U.S. Department of Education contractor) and the National Association of Student Financial Aid Administrators (NASFAA), and served for eight years in financial aid administration at the University of Delaware.

Ms. Storie is a member of the board of directors of the National Association of Student Financial Aid Administrators (NASFAA). She holds a BA in communication from the University of Delaware and an MEd in college counseling and student personnel administration also from the University of Delaware.

The Vice President of International Affairs

Dr. Robert Pastor became vice president of international affairs and professor of international relations at AU in May 2002. In this new position, Dr. Pastor leads AU's international programs and activities, reflecting the university's commitment to become the nation's premier global university. Last fall he established and now directs two centers that draw together teaching, research, and service on two key global themes for the twenty-first century—democracy and integration: the Center for Democracy and Election Management and the Center for North American Studies. In August 2003, Dr. Pastor was given responsibility for AU Abroad, the university's academic-experiential programs abroad, including the World Capitals Program.

Before coming to AU, Dr. Pastor was the Goodrich C. White Professor of Political Science at Emory University. From 1985 until 1998, he was a fellow and

founding director of the Carter Center's Latin American and Caribbean Program and the democracy and China election projects. He was the director of Latin American and Caribbean affairs on the National Security Council from 1977 to 1981. In 1993, President Bill Clinton nominated him to be ambassador to Panama. Dr. Pastor has been a foreign policy advisor to each of the Democratic Party presidential candidates since 1976 and has been a consultant to the U.S. government, foundations, international organizations, nongovernmental organizations, and private businesses.

Dr. Pastor received his MPA from the John F. Kennedy School of Government and his PhD in political science from Harvard University. A Phi Beta Kappa graduate of Lafayette College, he served as a Peace Corps volunteer in Malaysia and in 1995 received the Sargent Shriver Humanitarian Service Award, the highest award for a returned Peace Corps volunteer. He was the Ralph Straus Visiting Professor at Harvard University's John F. Kennedy School of Government in 1998–1999. Dr. Pastor is the author or editor of 14 books and more than 200 articles on U.S. foreign policy, human rights and democratization, North American integration, trade policy, immigration, Latin America, and China.

Assessment of Institutional Leadership

Standards for reaccreditation in *Characteristics of Excellence* require the university to complete a “periodic assessment of the effectiveness of institutional leadership and governance.” Additionally, the university's own *Academic Regulations* requires periodic evaluations “to assure faculty oversight of key administrators.” To accomplish the first objective as part of an overall annual performance assessment program that was inaugurated in 2000, and now as a systematic means of implementing the overall 15-point plan, the university recently established a Performance Management Program (PMP), which is described in more detail in Chapter 2 and at the end of this chapter. PMP provides a formal process for relating university goals to supervisory expectations and appraising individual performance against expectations. Reviews take place annually at all levels of the university. The performance of the president is assessed annually by the Board of Trustees. The president in turn develops goals and performance expectations with the vice presidents and reviews their performance annually. This process extends throughout the university so as to involve deans, department chairs, directors, and other senior staff as well as other staff at the university. In addition, individual faculty performance is assessed yearly by their department chairs through an annual merit review.

In addition to the Performance Management Program, the university conducts triennial reviews of the principle academic officers reporting to the provost (e.g., school and college deans, academic deans, etc.).

Triennial reviews can be quite extensive, involving anonymous questionnaires, personal interviews of some staff, calls for outside commentary, and comments from members of councils on which the administrators serve. The process was established at a time (1987) when a large number of administrators reported to the university provost. Subsequently, with the focusing of provost responsibilities and the institution of the Performance Management Program, triennial reviews do not occupy as prominent a position at the university as they did more than 15 years ago.

BOARD OF TRUSTEES

American University seeks to recruit individuals to its Board of Trustees who can represent constituent and public interests and carry out the board's fiduciary responsibilities. The official screening criteria for potential trustees favor nominees who understand the university; are willing to promote its interests; have local, national, or international influence; are willing to make significant financial contributions to the university and assist in its fund-raising activities; have proven leadership ability; and are able to attend and be involved regularly in board and university activities.

Nearly 60 percent of the 27 current members of the Board of Trustees are alumni of American University, with almost 15 percent having more than one degree from AU. Roughly 60 percent of the trustees live in the Washington, D.C., metropolitan area. More than 70 percent of the trustees have expertise in administration and management; forty percent have expertise in finance and investment; and 30 percent have expertise in fund raising. In addition to their service to American University, the trustees serve on both local and national boards as well known and diverse as the Federal City Council, the John F. Kennedy Center for the Performing Arts, the Corcoran Gallery of Art, the National Rehabilitation Hospital, the Duke University School of Medicine, the Pediatric AIDS Foundation, the Council on Foreign Relations, and the Weizmann Institute of Science.

Trustee Conflict of Interest

American University trustees serve a public-interest role and, as fiduciaries, must avoid any conflict between their personal interests and the university's interests. The university Bylaws state that “Any conflict or appearance of conflict of private or business interest by any trustee shall be disclosed to the Board and made a matter of written record.” (*See* Supporting Document 4.2.) When elected, each trustee reads and signs a trustee conflict of interest statement (*See* Supporting Document 4.3), which includes the following policy:

All decisions of the Board must be made solely on the basis of a desire to promote the best interest of the university. An effective Board will not likely

consist of individuals entirely free from at least perceived conflicts of interest. Therefore, it is crucial that the Board be fully aware of personal, family, or business relationships that could be troublesome or embarrassing to the university due to conflicting interests.

While trustees should not use their privileged position to advance personal or business agendas at university expense, certain transactions between individual trustees and the university could have benefits to both. They could be permitted so long as they are fair, completely transparent, and fairly entered into. Such transactions require (a) full disclosure to the Board of any potential conflict of interest between the trustee, his/her relatives or business associates, and the university; (b) compelling factors that suggest the transaction is in the best interest of the university; (c) authorization by the Board or Executive Committee. The trustee must be recused from Board or committee meetings considering matters that involve his/her possible conflict of interest. (See Supporting Document 4.3)

Trustee Fund-Raising and Other Development Activities

Providing leadership in AU fund-raising activities is a critical obligation of the board. The university's ability to accomplish its mission and realize the goals of its strategic planning is dependent upon its success in raising funds. The success of the university in this regard rests directly upon board initiative and leadership. Some board members will have a greater capacity, interest, and skill in this area, but every trustee is responsible for participating actively in fund-raising activities that benefit AU.

Trustee responsibilities are set forth in the university Charter and Bylaws and in the board's *Policies*. These responsibilities include, but are not limited to, the following:

To raise funds for the university through personal financial contributions to the annual fund and capital campaigns and by soliciting other financial support. (See Supporting Document 4.3)

Trustee Orientation

The university Charter and Bylaws and the board's policies clarify trustee responsibilities and obligations, enable members to understand better the role they assume, and serve as a guide to assess their own performance. These responsibilities include, but are not limited to, the following: "(1) To contribute to the enhancement of the teaching-learning environment, foster intellectual integrity, and ensure that informed, highly educated citizens are prepared to participate responsibly in a free and open society; (2) To uphold the legal and fiscal responsibilities of the board as specified in the university Charter and Bylaws; (3) To exercise

general oversight of the university and ensure its solvency, dignity, freedom, and autonomy; (4) To elect, support, and evaluate the president of the university; (5) To define and monitor the mission and long-range plans of the university and approve educational programs consistent with them; (6) To maintain the physical plant and preserve the assets of the university; (7) To raise funds for the university through personal financial contributions to the annual fund and capital campaigns and by soliciting other financial support; (8) To devote sufficient time and interest to be genuinely knowledgeable about the university and, acting as its ambassadors, be able to convey and interpret to the public the mission, strengths, and needs of the university; (9) To attend regularly and participate actively in board meetings and committee assignments; and (10) To assist in recruiting well-qualified students for admission and in helping well-qualified graduates of the university to enter graduate and professional schools and to obtain employment." (See Supporting Document 4.3)

The Trusteeship Committee is responsible for developing and overseeing an orientation program for new trustees. On an as-needed basis, the committee arranges formal trustee orientation, which includes a packet of relevant materials, a tour of the campus, a meeting with the President's Cabinet at which the provost and vice presidents summarize their priorities and challenges, and a meeting with the president and board chairman to speak about the university's mission and the board's goals and responsibilities. Specific items are discussed, including the new trustee's involvement in fund-raising initiatives, specific interests in a particular school, college, center, or institute and how those interests can assist academic units, interest or expertise with respect to board committees, and the expectation of active and responsible board participation. (See Supporting Document 4.3)

Board Assessment and Accountability

American University was established under the auspices of what is now known as The United Methodist Church (UMC). The board is self-perpetuating, and, originally, trustees were elected to 12-year terms, rather than the three-year terms trustees now serve. In its early years, the board, whose size can be no more than 50 trustees, would elect new trustees to fill vacancies, which often occurred through the death of a trustee. The Act of Incorporation chartering American University in 1893 provided that at least two-thirds of the members of the board of trustees be members of the UMC.

Over time, however, AU's relationship to the UMC changed. Amendments to the university's charter reduced the proportion of UMC members on the board of trustees from two-thirds to three-fifths (1951), and in 1972, because of fears of losing federal aid because of its ties to the UMC, the university ini-

tiated a process to reduce the proportion of trustees who were Methodist to one-fourth. In 1990, an amendment to the Act of Incorporation eliminated the requirement that three-fifths of the trustees be Methodists and replaced it with a more general requirement that stated, “. . . their associates and successors, including individuals who are members of the United Methodist Church, including (subject to their acceptance) the Bishop of the Washington Episcopal Area and [the] General Secretary of the General Board of Higher Education and Ministry of the United Methodist Church . . .” (see Supporting Document 4.2).

The 1951 amendment to the Act of Incorporation not only reduced the proportion of Methodists on the board but also clarified the relationship between AU and the UMC, requiring (1) that all persons elected to the university’s board of trustees be approved by the General Board of Higher Education and Ministry of the United Methodist Church (GBHEM) and (2) that all proposed amendments to AU’s Act of Incorporation be first approved by the GBHEM. The third condition stated, “all property, both real and personal, of the corporation shall be held in perpetuity for educational purposes under the auspices of the Methodist Church and subject to the terms and provisions of the Discipline of the Methodist Church [the church’s book of laws].”

In 1892, the UMC established its University Senate, which was one of the first accrediting bodies in the U.S. The senate’s accrediting process provided AU with an external assessment whose purpose was to ascertain that AU, like other schools, colleges, and universities related to the UMC, was “worthy of bearing the name of the Church, in one way or another.” The University Senate continues to review AU and other UMC-related higher education institutions (the next University Senate review of AU is scheduled to take place in fall 2004), but the Senate no longer conducts a formal accreditation since regional accrediting bodies such as the Middle States Commission on Higher Education now perform an assessment as part of their own accreditation processes. Today, the University Senate reviews “the way in which an institution is in fact related to the Church” (see Supporting Document 4.21). By meeting the criteria the senate has developed, AU continues to retain its listing as an UMC-related school.

As with the institution as a whole and its schools, colleges, offices, and departments, the university’s Board of Trustees conducts a self-assessment process. Under the leadership of the Trusteeship Committee, the board has developed and maintains a process of monitoring individual and collective improvement. Criteria for individual trustee effectiveness include (1) active involvement in board and university activities that enhance the university; (2) regular attendance and effective participation at meetings; (3) involvement in other

university activities; (5) use of special talents, abilities, or professional relations to benefit the university; (6) financial support; (7) assistance in fund-raising programs; and (9) compliance with the Trustee Conflict of Interest policy. (See Supporting Document 4.3.)

The formal process for evaluating the performance of individual trustees takes place at least every three years at the conclusion of the trustee’s term. The Trusteeship Committee notifies trustees that their terms will be concluding and asks them whether they are interested in continuing to serve. With the criteria for trustee performance in mind, the committee reviews the suitability of those trustees who indicate their interest in being reelected and recommends for reelection those trustees who have met the performance criteria.

The Trusteeship Committee also has criteria for assessing the board’s collective effectiveness, which include (1) enhancement of the university’s public image; (2) progress towards accomplishing board goals; (3) active support of the president; (4) significant funds contributed and raised; (5) effective oversight of resources; (6) assurance of successful implementation of strategic plan; (7) promotion of the university community’s well-being; (8) participation in campus events; (9) continual assessment of the board’s performance; (10) board and committee meetings that are efficient with clear, tangible outcomes and assigned responsibility for implementing decisions; and (11) board and committee meetings focused on issues with genuine significance for the university. (See Supporting Document 4.3.)

It is usual for the Trusteeship Committee and the board to discuss and evaluate board performance from time to time, using the criteria noted above. These evaluations are self-assessments, rather than assessments by an external, independent organization. Board policy allows it to decide the feasibility of a trustee evaluation survey and the usefulness of bringing in periodically an outside evaluator to provide an independent perspective to the evaluation of board operations. In light of the university’s recognition of the increasing importance of assessment for AU’s continual renewal and of the board’s own awareness of assessment’s value for individual and organizational performance, it is recommended that the board take advantage of periodic external evaluation to have its performance assessed independently. The board’s own policies endorse the prospect of enlisting the services of an external evaluator “from time to time” to assess board performance.

Participation in Governance

Over the years, the Faculty Senate (formerly, the University Senate), the Student Confederation, the Graduate Leadership Council (formerly the Graduate Student Association), the Student Bar Association, the Staff Council, and the Alumni Association have indicated to the board and university administration their

wish for increased participation in the governance of the university. American University's board believes it should give careful attention to the views of faculty, students, alumni, and staff and take advantage of the expertise, interest, and concern of these bodies through shared information and participation in the governing process. (*See* Supporting Document 4.3)

In order to provide meaningful and active participation by the university community while maintaining the board's objectivity and perspective, the board includes and engages student and faculty participation on appropriate standing committees. Representatives appointed by and from the Faculty Senate, the Student Confederation, the Graduate Leadership Council, the Student Bar Association, the Staff Council, and the Alumni Association serve as resource persons distributed among the following board committees: Academic Affairs, Campus Life, and Finance and Investment.

In addition to attending meetings of the board's standing committees, the chairs of the Faculty Senate and the Staff Council, and the presidents of the Student Confederation, Graduate Leadership Council, Student Bar Association, and Alumni Association attend meetings of the full board also as advisory resource persons. As with the standing committees, however, the board may meet in executive session for any matter considered advisable, exclusive of resource persons. (*See* Supporting Document 4.3)

FACULTY

The provost is the chair of the faculty. Each school or college dean is the chair of that school or college faculty and is appointed by the provost with the advice and consent of the school or college faculty and with the approval of the president and board.

According to the Bylaws, "Subject to the powers vested in the Board, President, and Provost, the faculty, functioning through its duly constituted entities, has primary responsibility for: (a) instruction and academic standards; (b) curriculum and course approvals; (c) recommendations of faculty appointments, promotions, and faculty personnel concerns; (d) recommendations for the instructional budget; and (e) recommendations of policies affecting student affairs." (*See* Supporting Document 4.2)

Faculty Governance

The role of faculty governance at American University has undergone a dramatic transition. In fall 2001, as part of his 15-point strategic plan, President Ladner called for "a new model of governance . . . to provide a more flexible, consultative, and efficient system of decision making." (*See* Supporting Document 4.6) He directed the provost to assemble a special project team (1) to develop a smaller body; (2) to focus exclusively on academic and faculty issues; (3) to offer strategic faculty input on future decisions; and (4) to replace

the University Senate with a Faculty Senate, composed of faculty only.

During development of the new body, the project team met twice with President Ladner, discussing the changing administrative nature of the university in recent years and his vision for the new body, which included ways (1) to empower the academic units with greater decision-making authority and (2) to avoid duplication. The project team asked for and received assurances from the administration that in order to be implemented the proposal would need to be ratified by the faculty.

In April 2002, the project team submitted to the entire faculty the final form of the faculty governance proposal, outlining structure and rationale. In a secret ballot vote, the faculty ratified the proposal on April 29, 2002, with 273 votes in favor of the proposal and 143 opposed. Further, the voter turnout exceeded the average senate vote turnout by more than 150 percent.

The election process for Faculty Senate representatives occurred in the summer and fall of 2002. Academic units held elections for service on Faculty Senate committees; there was a faculty-wide vote for at-large Faculty Senate seats. In October, the first meeting of the Faculty Senate was held and new leadership organized; the new leaders assumed their roles in January 2003. In April 2003, the Faculty Senate approved the rules of the new Faculty Senate, Academic Regulation 50.00.04.

The new faculty governance structure is built upon four basic principles: (1) that a democratic and inclusive faculty governance system that strengthens the ability of the faculty to meet its responsibilities to the institution and our students is important; (2) that faculty time is valuable, and the demands of our primary responsibilities for teaching and research are substantial; (3) that whenever possible, decisions should be made at the school, college, and library (i.e., "academic unit") or department level by those most affected by them; and (4) that duplication of functions should be avoided. (*See* Supporting Document 4.19)

To summarize, the major changes made in the structure of the University Senate by replacing it with the Faculty Senate are as follows:

- The new body's name, Faculty Senate, emphasizes its role as the main faculty governance institution on campus. Students are voting representatives on committees.
- The Faculty Senate consists of 23 members (instead of 44), has six standing committees (instead of 14), and four advisory or special committees (instead of three). With its smaller size, the full Faculty Senate functions as its own executive committee to identify and discuss significant issues, set meeting agendas, and assume the nomination process. This avoids redundancy while empowering more faculty to be involved in key decisions.

- There are fewer standing committees, and the workload is consolidated to provide more flexibility and efficiency. Committees are empowered to create ad hoc task forces and/or subcommittees, as needed, to keep the workload manageable. There are six standing committees: (1) Joint Committee on Curriculum and Academic Programs; (2) Committee on Faculty Relations; (3) Committee on Instructional Budget and Benefits; (4) Committee on Faculty Development; (5) Committee on Information Services; and (6) Committee on Student Learning and Academic Engagement. There are four advisory and special committees: (1) Committee on Faculty Equity and Grievance; (2) Hearing Committee; (3) Committee on General Education; and (4) Honors Advisory Committee.
- Election of the members of the Faculty Senate by their colleagues in the academic units links them firmly to the processes and standards from which curriculum and faculty actions develop. Selecting representatives at the local level, where colleagues know each other well, ensures legitimacy and accountability of the Faculty Senate and its committees.
- Elections provide for broad-based, proportional representation across campus. Ten members are elected to the Faculty Senate by the university's academic units; four members elected at large by a campus-wide vote; eight chairs of standing committees sit on the Faculty Senate, as does the immediate past chair of the senate. By electing Faculty Senate members directly from the academic units, the importance of university governance is institutionalized, and there is greater legitimacy and accountability.
- Terms are for two years for the Faculty Senate and its committees, with staggered terms. A member can serve two successive terms (four years), after which there must be a one-year term hiatus before becoming re-eligible for election.
- As established in the university's Bylaws, the Faculty Senate serves as the authoritative voice of the entire faculty on matters pertaining to the academic mission and strategy of the university. The systems of governance at American University also provide for faculty decision making through structures and processes in the academic units. The ratified governance structure more closely ties the mission of the Faculty Senate to its authorized mandate.

University Council

Established in response to the 15-point plan, the University Council serves as a university-wide advisory group on university issues for the president. The council has 12 members: four faculty, four staff, and four students. Five members are *ex officio* members by virtue of their elected positions: the chair of the Faculty Senate, the president of the Student Bar

Association, the chair of the Graduate Leadership Council, the president of the Student Confederation, and the chair of the Staff Council. The other seven members of the council are appointed by the president on recommendation from the President's Cabinet and others.

STUDENTS

American University offers its undergraduate, graduate, and professional students, as well as its faculty and staff, many opportunities to participate in governance organizations, university-wide advisory groups, and leadership roles. For example, student representatives from the Student Confederation, Graduate Leadership Council (formerly, the Graduate Student Association), and Student Bar Association attend general sessions of meetings of the Board of Trustees and some of its standing committees. In addition, there are or recently have been university-wide committees on which students sit, including the Living Wage Project Team (September 2001–February 2002), NCAA Reaccreditation Self-Study Steering Committee and subcommittees (September 2001–March 2003); Middle States Reaccreditation Self-Study Steering Committee and task forces (February 2002–present), and Workplace Conduct Advisory Group (ongoing, meets quarterly).

Students in the Faculty Senate

The Faculty Senate is responsible for instruction and curriculum and guides critical decisions on the budget and student affairs. Students participate in four senate committees to provide direct input on student-related issues. These committees are (1) the Joint Committee on Curriculum and Academic Programs, which has oversight of graduate and undergraduate offerings, including the General Education and the University Honors Programs, with jurisdiction limited to consideration of new programs, major changes, and terminations that affect more than one teaching unit; (2) the Committee on Instructional Budget and Benefits considers all financial matters pertaining to the academic programs and the faculty of the university, considers the physical plant operations and services in support of academic programs, and represents the Senate in matters of faculty benefits; (3) the Committee on Information Services, which serves as a formal advisory committee to the university librarian and the Center for Teaching Excellence, assesses the varying library and computer needs of undergraduate students, graduate students, and faculty and examines the adequacy of the delivery of library and computer services to students and faculty, in particular, facilities, budget support, staff, and cooperation with the Consortium of University Libraries and University Computing Center; and (4) the Committee on Student Learning and Academic Engagement, which serves as the Senate's liaison to the student community

on matters that affect student learning and academic engagement. These matters may include but not be limited to academic performance and retention, academic integrity and student conduct, student-faculty relations, experiential learning, academic support services, financial assistance programs, co-curricular and extra-curricular programming, and residential life. The committee also addresses matters of academic policy pertaining to the university's intercollegiate athletics program.

Residential Life—Residence Hall Association

For the undergraduate student, the Residence Hall Association provides a means to enhance life in the residence halls and advocate for a better one. Each residence hall has individual floor councils, which, together, make up the seven residence hall councils. Representatives from all of the residence hall councils make up the Residence Hall Association General Council, officers of which compose the Residence Hall Association Executive Board.

School Councils

Each undergraduate school and college has its own school council. The president or chair of each school council is a member of the Student Confederation's General Assembly (*see below*).

Student Confederation

The undergraduate student body is represented by a university-wide student government association called the Student Confederation. The mission of the organization is to promote the common welfare of the students, which it does through sponsoring programs and services and acting as the voice of the undergraduate student body. All organizations, clubs, and councils affiliated with the Student Confederation function in accordance with their individual governing instruments, the Student Confederation bylaws, and the Student Confederation constitution, and are eligible for Student Confederation funding. The Student Confederation is made up of three branches: The General Assembly (legislative), The Executive Cabinet (executive), and the Constitutional and Procedural Review Board (judicial).

The Executive Branch consists of four executive officers: the president, vice president, comptroller and secretary, and governing councils for each of the classes and the schools at the university: Class of 2004, Class of 2005, Class of 2006, and Class of 2007, College of Arts and Science Undergraduate Council, Kogod Undergraduate Business Association, School of Communication Undergraduate Council, School of International Service Undergraduate Cabinet, and the School of Public Affairs Undergraduate Cabinet. The Executive Cabinet provides many services and oversees departments that offer programming in a wide range of areas including Artemas Ward Weekend, the

Kennedy Political Union (KPU), the Student Union Board (SUB), Homecoming, Founder's Day, Diversity Action Team (DAT), Student Advocacy Center (SAC), and AU Transit Organization (AUTO).

The General Assembly (GA) is the legislative branch of the student government, consisting of 40 voting members, each elected to a one-year term. The GA allocates student activity fee funds, enacts legislation to further the interests of undergraduate students, approves rules and regulations governing the SC, and acts as a forum for student concerns. The GA is composed of representatives from each class, undergraduate school or college, residence hall, and commuter students.

The Constitutional and Procedural Review Board (CPRB) is the judicial branch of the SC. This branch is responsible for interpreting the Constitution and the governing documents of the SC to ensure that the actions of the SC conform to its established rules.

Student Media

AU is host to six student-run media outlets, governed by the Media Board (American Literary, American Word, ATV, Talon and WVAU) and the Eagle Board of Directors (*Eagle*). Each governing body operates in accordance with its constitution and bylaws. The boards are empowered to approve budgets and elect the leaders of the individual media organizations.

The American University Club Council (AUCC)

The AUCC is the governing board for all recognized undergraduate and graduate clubs at AU. The council provides funding and support to facilitate the creation of new clubs, as well as the continuation and advancement of established clubs. AUCC membership consists of one chairperson, five caucus members representing each of the club caucuses, and two oversight appointments from the SC and GLC respectively. The club caucuses include: Social Groups; Special Interest Groups; Religious Groups; Professional/Service/Academic Groups; and Ethnic and Cultural Groups.

The AAUC receives 15 percent of the mandatory undergraduate student activities fees and 14 percent of the mandatory graduate student activities fees and allocates funds to each recognized student club and association.

The Graduate Councils and the Graduate Leadership Council

To address the needs and concerns of the university's graduate students, individual school and college graduate councils and a Graduate Leadership Council have been established. These organizations replaced the Graduate Student Association (GSA) in January 2003. The purpose of the new structure is to establish a unified representative voice, influencing the university's decision-making process, promoting academic excellence; improving the overall academic and social expe-

rience for the university community and, in particular, for the graduate and professional students, and facilitating communication among graduate and undergraduate students at the university. All graduate students in the College of Arts and Sciences, the Kogod School of Business, the School of Communication, the School of International Service, and the School of Public Affairs are represented by their respective graduate councils and presidents, who in turn form the Graduate Leadership Council.

The individual school or college graduate councils facilitate academic enrichment, programming, and social events for their graduate students and serve as foci for graduate involvement and communication within each school or college. Each graduate council elects a president in accordance with its respective bylaws. These officers are empowered to allot their funding to the schools' or college's graduate student organizations and to legislate and address the concerns of their teaching unit, school, or college.

The Graduate Leadership Council is administered and represented by an executive chairperson and an executive vice chairperson. The Graduate Leadership Council has the authority to debate and legislate in all areas pertaining to the university's policies regarding the academic, social, and cultural well-being of graduate students. It directs the executive chairperson and the executive vice chairperson to forward recommendations and legislation enacted by the Graduate Leadership Council to appropriate university officials, and it dictates the official position of the graduate population on university policy. The General Leadership Council may enact, through legislation passed by a majority vote any policy, regulation, or guideline necessary or proper to ensure effective graduate governance at the university level.

STAFF

In addition to their role in implementing university policy, staff members are involved in university governance in a number of ways. They participate through the Staff Council, an elected body that represents full-time and permanent part-time staff members, and through membership on university standing committees and project teams. This section addresses the role of staff in university governance and the means by which the institution seeks to improve the quality and motivation of staff members. It also describes the university's Performance Management Program, which is designed to provide cohesion and direction for all persons with work-related responsibilities within the institution.

Staff Council

The Staff Council's mission is to serve the interests and needs of the staff pertaining to their daily activities and work conditions as they strive to support the university's

goal of high quality education. Towards this effort, the Staff Council promotes understanding and cooperation by facilitating communication among campus constituencies and by serving as an advocate for staff issues.

The purpose of the Staff Council is "(1) to provide a forum for hearing and reviewing staff concerns and interests; (2) to serve as a sounding board for the administration regarding proposed actions, programs, policies and procedures that will affect the staff; (3) to participate, assist, and advise in decision-making processes that affect the staff's relationship with the larger university community; (4) to initiate suggestions to improve university staff relations, and help bring useful ideas that may originate from within the staff to the attention of the administration; (5) to recommend to cabinet [i.e., the President's Cabinet] staff members who can serve as appointees on other university or human resources committees; and (6) to act, in general, to help make American University's educational community an efficient, fulfilling, and attractive environment for employment." (*See Supporting Document 4.22*)

University Project Teams and Committees

The university involves its students, faculty, and staff in cross-divisional project teams in order to support effective flow of information and enhance decision making. For AY2002–2003, the university maintained 21 teams whose role is defined as either: (1) functional—to coordinate a routine event that fulfills a university function; (2) process improvement—to make recommendations for improvements in policies, procedures, and programs; or (3) compliance—to monitor compliance with regulatory requirements.

Each project team is assigned a chair and provided with a team charter that clearly delineates responsibilities and authority. Each project team reports to the provost or a vice president, meets on a regular basis during the year, and submits periodic end-of-the-academic-year reports on their activities and recommendations.

Nearly 160 staff members, some 40 faculty members, and 36 students were appointed to serve on project teams for AY2002–2003. The number of teams, charters, and members is assessed each summer to determine the need to stop, start, or continue a project team and its activities into the next academic year.

AU Staff's Contribution to University Success

As the academic environment becomes even more competitive, American University recognizes its unique capabilities and resources and uses them to continue raising its position in the academic world. In its 1997 strategic plan, the university identified how it would go about strengthening and differentiating itself. It confirmed that a highly skilled staff would continue, increasingly, to be critical to the university's success. Further, the university considers the diversity

of its workforce one of the strengths that help define AU as a unique place to work. Currently, for example, 43 percent of AU staff members are minorities—an 11 percent increase since 1994—and 55 percent are female (*see* Supporting Documents 4.8 and 4.9).

Just as the university competes for students and faculty, it also competes for staff, and that process does not end with hiring. The university recognizes that to remain competitive, AU must reward all of its qualified and diverse workforce for contributions to the organization. Therefore, through its 1997 strategic-planning process, the university made it a priority to design and implement market-competitive human resources programs that support staff recruitment, retention, and performance.

AU defines *competitive* as (1) offering pay and benefits levels that are competitive with other area employers and human resources programs that are up-to-date and reflect best practices that support the university's mission and goals and (2) providing opportunities for employees to perform at their best and be rewarded appropriately for outstanding performance.

Following a five-year period of instability in its human resources function, the university appointed a new executive director in summer 1999 and initiated a comprehensive review of its Human Resources (HR) systems. The review began with the development of a new staff compensation system and continued with the implementation of a new performance management system, performance rewards system, enhancements to the fringe benefits package, and implementation of new training programs. The program overhaul was completed by fall 2001 and continues to be closely monitored and managed by the HR department.

At the beginning of this process, staff turnover at the university peaked at 25 percent in 1997 (*see* Supporting Document 4.10). Managers reported difficulty filling open positions because, in many cases, the university offered noncompetitive starting salaries. Staff complained about low levels of communication and lack of understanding of how they contributed to the success of the organization. Since the implementation of the new HR programs described below, however, the turnover rate has dropped to 18 percent over the last three years, a rate that is well below the Washington, D.C., average turnover rate of 24 percent. (*See* Supporting Document 4.20) The university attributes this improvement, in part, to the enhancements made in its HR programs.

In spring 2001, the university conducted its first staff satisfaction survey to determine the overall employment satisfaction level of AU staff (*see* Supporting Document 4.11). Some 78 percent of respondents reported being satisfied with the university as a place to work, a figure that was 15 percent higher than the

national comparative data provided by the organization conducting the survey. The survey also revealed that university employees were slightly less committed to the university than employees in other organizations: one in four respondents indicated that he or she would likely leave the university in the next 12 months. The group at greatest risk for turnover appeared to be the 21–30 year olds who had fewer than five years of service and were in non-supervisory positions. A number of these individuals cited graduation from a graduate or professional program as reason for leaving.

After making many changes to its human resources programs, the university feels it is making a greater investment in its staff. In turn, the administration believes this stronger workforce will enable the university to meet the challenges of implementing the university's 15-point plan.

Staff Compensation at Market Levels

A significant amount of work was completed within the past seven years to establish a market-competitive pay system for university staff. Working with William M. Mercer, a leading compensation consulting firm, and the university's vice presidents, deans, and department heads, Human Resources established a guiding compensation strategy and conducted research to determine the university's current level of market competitiveness and to better understand the staff's opinion about the existing compensation system.

To complete this research, the university reviewed the job markets in which it competes for staff and conducted a compensation market analysis that indicated that, as of 1999, staff pay lagged behind the market median with variations by job, that is, with some paid below market rates and others above.

The university allocated money over a three-year period to advance its market position in a very targeted way by improving the starting salaries and pay bands of some jobs and maintaining the salary level and pay bands of most of the university's other jobs. The university did not reduce the pay of any staff member whose pay was identified as being above market norms. By September 2001, the university completed the last phase of its multiyear plan, and William Mercer confirmed that the university's overall staff compensation had reached the university's stated goal of market median.

The university also constructed a new salary structure, with each staff position assigned to a band based on the market data or the relationship of that job to others at the university. Through this process, the university emphasized the importance of having the compensation program reflect the university's strategic plan so that the program supported the goals of flexibility, collaboration, market responsiveness, and simplicity.

Performance Management Program

Following the compensation project, the university implemented a new performance management plan for staff to stimulate more dynamic, strategy-related, goal setting at the university, ensure the alignment of goals with the university's strategic plan, reinforce behaviors that support the university's strategic direction, and create better communication between managers and staff. The program was implemented through a comprehensive communication, training, and coaching strategy. Full proficiency in the use of the program occurred by the end of AY2002–2003.

A survey conducted in spring 2002 found that the process is successful and is used across campus (*see* Supporting Document 4.12). The performance management survey revealed that 84 percent of respondents met with their manager to conduct year-in-review discussions, and 83 percent of respondents rated the overall quality of the interaction with their managers as average or above average. Thirteen percent of respondents rated the interaction as below average or one of the worst discussions. Details regarding the performance management process are discussed in Chapter 2.

Performance Improvement Plan

AU is committed to providing all staff with the opportunity to improve their performance in order to continue successful employment at the university. In the event a staff member does not consistently demonstrate the baseline requirements established for all staff or does not meet performance expectations or demonstrate the skills and functions required by his or her position, a manager may place that individual on a performance improvement plan. This is a short-term plan that determines clear milestones for improvement of work performance within a specified period of time. Failure to meet the milestones established by the performance improvement plan and to maintain acceptable performance results in termination of employment.

Reward Programs

During fall 2001, recognizing the need to retain qualified people, Human Resources implemented the first component of a new total reward program for staff. It includes performance-based salary increases, recognition programs, and work-life strategies that are being implemented in stages over the next few years. For the first time in AU experience, the annual staff salary increases that took effect in September 2001 were based on the employee's performance. Staff performance was measured via the Performance Management Program.

Enhancements to the Fringe Benefits Package

A review of the university's benefits package indicated that it was not competitive with plans provided by

competitor academic institutions. Beginning in January 2000, the university systematically made modifications to the benefits package to make it more market competitive. The most significant enhancements were increasing by 10 percent the share the university pays for medical coverage, lowering the eligibility age for the retirement plan from 26 to 24, expanding the retirement loan program, and implementing staff leave sharing.

Training Programs for Staff

Over the last five years, the university reinstated a staff training function that targets skill development in areas that support the achievement of university goals and mission. Currently there are five required training programs for managers and three for staff (*see* Supporting Document 4.14). In addition, the university offers nearly 40 optional technology courses, in which staff may elect to participate, and numerous health and safety courses.

Additional Opportunities

Over the next five years, the university will work to fully implement the rewards program and will monitor and manage the other changes that are described above. For example, the university sees opportunities to develop better methods of screening and selecting staff for open positions, particularly for management and front-line customer service jobs.

The university's staff workforce has grown four percent since 1994. As of fall 2002, there were 1,223 full-time staff and 464 part-time full-time equivalents (FTEs) (*see* Supporting Document 4.13). The headcount reflects active employees only and does not account for open positions; therefore, some of the difference between the 1994 numbers and those for 2003 is attributed to the number of vacant staff positions at the time the data were gathered. Challenges lie ahead in determining the size of the workforce that will be needed to support the changes to the size of academic programs under the university's 15-point plan.

RECOMMENDATIONS

Over the past 10 years, the constituencies making up American University have been attentive to issues of governance and administration. University administrators, for example, have involved the academic community in the formulation of the 15-point long-range plan. Working with the administration, the teaching faculty has reorganized the system of faculty governance. The university as a whole has, among its activities, adopted a Performance Management Program that includes performance assessment as a key element. Two issues have arisen during the process of data gathering and analysis that deserve further examination: independent evaluation of board performance and effective communication of planning activities and their results.

Regarding the first issue, and with regard to the Middle States Commission's statement on the fundamental elements of institutional leadership and governance—"an accredited institution is characterized by . . . a procedure in place for the periodic objective assessment of the governing body in meeting stated governing body objectives"—it is recommended:

That, in light of the university's recognition of the increasing importance of assessment's value for individual and organizational performance, the Board take advantage of periodic external evaluation to have its performance assessed independently.

Regarding the second issue, the decentralized character of the university requires the institution's leadership to develop and implement comprehensive plans and processes for communicating regularly about the goals of the institution, the strategies for carrying out these goals, and the institution's progress toward reaching them. Regular and, in particular, broad communication helps to coordinate the institution and move it towards its goals in ways that the institution's decentralized structure cannot. For example, at American University, the 15-point plan is widely known because of the depth, breadth, and frequency of communication about it. Less well known are the plan's goals and the reasoning behind them as they provide the context within which the university makes certain decisions and progresses toward its goals. It is important that the university, through its central administration; school, college, and department administration; faculty and student organizations; and communication media such as the university's website and university-wide publications, maintain regular communication about the goals, the strategies and plans developed to reach them, and the university's progress toward attaining them.

To help address this issue, improving communication on university-wide issues and activities, it is recommended:

That the university (1) assess its improving communication efforts, particularly as they relate to university planning and implementation activities; (2) develop, where needed, measurable goals for improving communication; and (3) develop and implement a plan for achieving those goals.

Supporting Documents

- 4.1 American University Organizational Chart, June 2003
- 4.2 American University Bylaws and Act of Incorporation, September 2003
- 4.3 Policies, November 2003
- 4.4 Faculty Manual
- 4.5 Faculty Senate Bylaws
- 4.6 "Ideas into Action, Action into Service: Fulfilling the American University Paradigm"
- 4.7 "Building a Global University: American University in the Next Century"
- 4.8 Data from HR showing minorities in the AU workforce
- 4.9 Data from HR showing women in the AU workforce
- 4.10 Data from HR showing staff turnover rate
- 4.11 Data from HR showing staff satisfaction levels
- 4.12 Data from HR on use of performance management in 2001–2002
- 4.13 Current numbers of employees by type
- 4.14 Training programs for managers and staff
- 4.15 Student Confederation Constitution
- 4.16 Graduate Leadership Council Constitution
- 4.17 American University Board of Trustees, 2003–2004
- 4.18 Student Bar Association Constitution
- 4.19 "American University Governance Proposal," April 15, 2002
- 4.20 2001 HRA Compensation Survey, Section 8
- 4.21 "Marks of a United Methodist Church-related Academic Institution"
- 4.22 Staff Council Web site, <<http://www.american.edu/staffcouncil>>



FACULTY

CHAPTER 5 FACULTY

It is the faculty . . . that is the rich, irreplaceable resource of the university, *sine qua non*. It is their passionate search for truth and understanding, with and for students, that is the central focus of university life, whether students are eager young learners or seasoned academic colleagues.

*(Ideas into Action, Action into Service,
point 7 of the 15-point plan)*

The passionate search for truth and understanding takes place in classroom and laboratory, in seminar and art studio. The faculty are present in all. The faculty of American University are skilled and talented teachers and scholars. They interact closely with their students both inside the classroom and outside of it. They produce scholarship and creative works that advance their fields. They engage in service that enhances both the university and their disciplines. The faculty's diverse passions, talents, and efforts are at the heart of the collective quest that is the university's mission. As we seek to "turn ideas into action," we turn to our faculty to articulate those ideas.

This chapter addresses the faculty contribution to the university's mission. The answers to the following questions must be found in the context of the fundamental changes called for in the 15-point plan: What are the implications of the 15-point plan, and how might the faculty contribute to the changes envisioned and be supported in their efforts as they do so? Given that the faculty is the "rich, irreplaceable resource of the university," this chapter clarifies what this resource is and how it might best be developed.

FACULTY SCHOLARSHIP, CREATIVE ACTIVITY, AND PROFESSIONAL DEVELOPMENT

As the university embarks on change, it is fortunate to have a faculty of immense creativity. For the university to "turn ideas into action and action into service," there must first be ideas that can be turned into action. In the words of the 15-point plan, "AU will stand out because of our distinctive capacity and single-minded commitment to connect people in creative and challenging ways to a superb, interactive faculty." Enhancing this intellectual excellence is of paramount importance if we are to create in students and the global community a desire for interaction specifically with our faculty. Scholarly and creative excellence are also essential to foster an intellectual environment in which all members of the university community, faculty and students alike, can learn, grow, and meet the challenges of an increasingly complex world.

Taken as a whole, there is an enormous breadth of scholarship and creativity among the faculty. This can be seen in part in the quantitative measures of output by the faculty. In 2002, 62 faculty members had books, monographs, government or corporate reports published; 116 had book chapters or conference proceedings published; 122 published refereed articles; 99 published invited articles; 24 published poems, stories, or plays, gave performances, or held exhibitions of their work; 126 served on editorial boards; 41 served on juries or award selection committees. Overall, 302 members of the faculty engaged in at least one of these activities.

External funds awarded to faculty increased from \$7.4 million in FY1994 to \$12.5 million in FY2002. The number of such awards also increased, from 118 in FY1994 to 143 in FY2002. This increase arose despite a decrease in the number of submissions, from 241 in FY1994 to 188 in FY2002. Though submissions were down in total number, they increased in the rate of being funded. In FY1994, 49 percent of submissions were funded. In FY2002, 76 percent were. The faculty are involved in creating ideas, and this involvement has been judged favorably by their peers. Though awards have increased, steps will need to be taken to continue and accelerate this improvement.

To understand fully the excellence of the faculty in scholarship, creative activity, and professional development, it is necessary to look beyond numbers. The university does this routinely as it hires and promotes faculty, as well as when it allocates merit-based salary. Taking the diversity of scholarly and creative pursuits into consideration, the teaching units, which naturally have the greatest familiarity with the field or discipline, develop their own criteria to judge the work of each faculty member. It is instructive to examine some specific instances of the scholarly accomplishments of our faculty. A description of the work of every faculty member would be beyond the scope of this report. We will focus on just two.

Caleen Jennings, professor, Department of Performing Arts, College of Arts and Sciences (CAS), received this year's Scholar-Teacher of the Year Award. Her play *Inns and Outs* won a \$10,000 grant from the Kennedy Center Fund for New American Plays and was a 1999 nominee for the Charles MacArthur Award for Outstanding New Play. Her play *Playing Juliet/Casting Othello* was produced at the Folger Shakespeare Library in 1998 and was a nominee for the Charles MacArthur Award that year. Professor Jennings has

received the Kennedy Center American College Theatre Festival Meritorious Achievement Award in Directing for productions of *The Dining Room* and *Rashomon*. She is a faculty member of the Folger Shakespeare Library's Summer Teaching Shakespeare Institute. She has performed original work at the National Air and Space Museum, the National Press Club, and Andrews Air Force Base. She has been an active member of the Association for Theatre in Higher Education and an adjudicator for the American College Theatre Festival and, in Washington, D.C., for the Helen Hayes Awards. Dramatic Publishing Company has published *Inns and Outs*, *Playing Juliet/Casting Othello*, *Free Like Br'er Rabbit*, and *Sunday Dinner*. New Plays, Inc., has published *A Lunch Line* and *Same But Different*.

David Rosenbloom, distinguished professor of public administration, School of Public Affairs (SPA), is a member of the National Academy of Public Administration and the recipient of numerous awards, including the 2001 American Political Science Association's John Gaus Award for Exemplary Scholarship in the Joint Tradition of Political Science and Public Administration, the American Society for Public Administration's 1999 Dwight Waldo Award for Outstanding Contributions to the Literature and Leadership of Public Administration, the 1993 Charles H. Levine Award for Excellence in Public Administration, the 1992 Distinguished Research Award, and the American University School of Public Affairs' Outstanding Scholarship and Service Awards (1994, 1999, and 2000). His *Building a Legislative-Centered Public Administration: Congress and the Administrative State, 1946–1999* received the National Academy of Public Administration's 2001 Louis Brownlow Book Award. Professor Rosenbloom's research focuses on public administration and democratic-constitutionalism. He was editor in chief of *Public Administration Review* (1991–1996) and currently serves on the editorial boards of about a dozen leading public administration journals. Professor Rosenbloom frequently guest lectures at universities and public service organizations in the United States and abroad. In 1992, he was appointed to the Clinton-Gore Presidential Transition Team with responsibilities for the Office of Personnel Management.

Cutting-edge scholarship, creative activity, and professional development are possible only in an atmosphere in which there is freedom to explore ideas that challenge conventional wisdom. Therefore, the university is committed to academic freedom in research, as stated in the first chapter of the *Faculty Manual*, drawn from the Statement of Principles on Academic Freedom and Tenure issued jointly in 1940 by the American Association of University Professors and the Association of American Colleges:

The teacher is entitled to full freedom in research and in the publication of the results, subject to the adequate performance of his/her other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution.

In sum, the AU faculty engage in scholarship, creative activity, and professional development that is impressive both in quality and in quantity. The passion and talent that faculty display provide the fertile ground from which grow the interactions of students with faculty and of the AU community with the global community.

FACULTY TEACHING

If AU is to stand out for its commitment “to connect people in creative and challenging ways to a superb, interactive faculty” then it is imperative, not only that the faculty be superb, but that interactions with faculty be superb as well. Foremost among these interactions are those that arise through teaching. By every measure, the AU faculty offer outstanding teaching, and there is evidence that already favorable student evaluations of teaching are becoming even more favorable.

In assessing faculty teaching, the *Faculty Manual* instructs that multiple measures be used: “Student evaluations of teaching effectiveness will be important tools in ascertaining teaching effectiveness and will be used in evaluation and review of faculty members at all levels. In making faculty personnel decisions, however, these evaluations will not be the sole evidence for teaching effectiveness.” Other indices of teaching include syllabi and course materials, peer evaluations, videotaping, teaching portfolios in which faculty members discuss their philosophy of teaching and how that philosophy is exhibited in their teaching, student surveys, and periodic reviews such as that recently performed of the General Education Program. Though effective teaching often receives favorable student evaluations, the two are not identical. Reliance on materials other than student evaluations is important because excessive dependence on student opinion might lead to the neglect of richer forms of assessment of teaching effectiveness.

As part of an effort to ensure effective teaching, the Faculty Senate decided in April 2003 to examine grade inflation. If faculty believe that giving favorable grades will ensure favorable teaching evaluations, there is a danger that they will inflate grades at the expense of challenging students. A previous university examination of grade inflation made average grades for each class accessible to teaching unit chairs and other administrators to alert them to potential grade inflation within their teaching units. The relation of grade distributions to course evaluations can now be used in faculty reviews and assessments. The Faculty Senate will likely make additional recommendations on grade inflation after its review.

The effectiveness of faculty teaching is also reflected in the numerous awards won by our students (described elsewhere in this Self-Study Report) and our faculty. For instance, Mary Gray, professor of mathematics and statistics (CAS), received a United States Presidential Award for Excellence in Science, Mathematics, and Engineering Mentoring. Victor Selman, associate professor of management, Kogod School of Business (Kogod), won the Academy of Educational Leadership's Distinguished Teacher Award for Innovative and Creative Teaching. Earlier in this chapter, we described some of the awards and other recognition that have been received by Caleen Jennings, professor of performing arts, and David Rosenbloom, distinguished professor of public administration. All these faculty members are a small number of the AU faculty who have been, and continue to be, recognized by their peers.

Since nonstandardized factors used in evaluating teaching effectiveness vary over time and across courses, it is difficult to describe general trends. Student evaluations of teaching are the most readily available measure of teaching effectiveness for a wide variety of courses taught over the past several years. They include both qualitative feedback, given only to the faculty member teaching the course, and quantitative feedback, available publicly and used widely in evaluating faculty. This report will focus on the latter. A faculty panel is being assembled to examine possible revisions to the current evaluation form to enhance the assessment of faculty teaching.

Generally, students judge AU faculty to be very effective teachers. Figure 5.1 presents data from the evaluations for fall semesters 1994 to 2002. For both undergraduate and graduate courses, ratings of instructors, which were already good, have improved over time. Average instructor ratings for undergraduate courses rose from 4.78 in 1994 to 4.96 in 2002. For graduate courses, the average rating improved from 4.88 to 5.05. As the table shows, this pattern of improvement was consistent across questions, such as the fairness of evaluation and the degree of demand placed on students by the course.

Figure 5.1
Student Evaluations of Teaching
(average scores against highest possible scores)

Undergraduate Courses

Fall Sem.	Instructor Rating*	Evaluation Fair**	Course Demanding**
1994	4.78/6	4.08/5	4.02/5
1995	4.84/6	4.13/5	4.02/5
1996	4.84/6	4.14/5	4.06/5
1997	4.78/6	4.13/5	4.04/5
1998	4.80/6	4.11/5	4.03/5
1999	4.86/6	4.18/5	4.05/5
2000	4.84/6	4.17/5	4.01/5
2001	4.90/6	4.18/5	4.06/5
2002	4.96/6	4.21/5	4.07/5

Graduate Courses

Fall Sem.	Instructor Rating*	Evaluation Fair**	Course Demanding**
1994	4.88/6	4.16/5	4.13/5
1995	4.88/6	4.14/5	4.17/5
1996	4.94/6	4.18/5	4.18/5
1997	4.95/6	4.22/5	4.17/5
1998	4.96/6	4.22/5	4.19/5
1999	4.97/6	4.22/5	4.18/5
2000	4.97/6	4.24/5	4.22/5
2001	5.08/6	4.29/5	4.24/5
2002	5.05/6	4.30/5	4.24/5

*On a scale of 1 to 6: 1 = poor; 2 = fair; 3 = satisfactory; 4 = good; 5 = very good; 6 = superior

**On a scale of 1 to 5: 1 = strongly disagree; 2 = disagree; 3 = neither agree nor disagree; 4 = agree; 5 = strongly agree

To what can we attribute the improvements in course evaluations over time? Figure 5.2 presents student evaluation information for adjunct faculty, temporary full-time faculty, tenured faculty, and tenure-track faculty for each fall semester from 2000 to 2002. Instructor ratings for tenured faculty have remained fairly constant. Instructor ratings for temporary full-time faculty have improved somewhat, as have instructor ratings for adjunct faculty. This last point is particularly noteworthy. As the number of adjuncts has been reduced, teaching evaluations for adjuncts have improved. As a result, the overall gap in instructor ratings between tenured and tenure-track faculty and adjunct faculty has diminished. We will return to this point shortly.

Figure 5.2
Student Evaluations of Teaching
Results by Faculty Type
(average scores against highest possible scores)

	Fall 2000	Fall 2001	Fall 2002
Instructor Rating*			
Tenured	4.98/6	4.99/6	5.00/6
Tenure track	5.15/6	5.01/6	5.08/6
Temporary	4.81/6	4.95/6	5.02/6
Adjunct	4.78/6	4.86/6	4.90/6
Course Rating*			
Tenured	4.75/6	4.78/6	4.74/6
Tenure track	4.91/6	4.75/6	4.76/6
Temporary	4.55/6	4.68/6	4.71/6
Adjunct	4.55/6	4.65/6	4.67/6
Course Demanding**			
Tenured	4.18/5	4.20/5	4.20/5
Tenure track	4.25/5	4.24/5	4.17/5
Temporary	4.02/5	4.04/5	4.07/5
Adjunct	3.95/5	4.01/5	4.00/5

*On a scale of 1 to 6: 1 = poor; 2 = fair; 3 = satisfactory; 4 = good; 5 = very good; 6 = superior

**On a scale of 1 to 5: 1 = strongly disagree; 2 = disagree; 3 = neither agree nor disagree; 4 = agree; 5 = strongly agree

Ratings of how demanding courses are show less change over time. Courses taught by tenured and tenure-track faculty are consistently judged more demanding than courses taught by temporary or adjunct faculty. It is possible that this difference is due to the nature of the courses that the different groups of faculty teach. More detailed analyses should be conducted to explore this possibility.

As described elsewhere in this report, General Education courses taught by adjunct faculty have largely been less well received than those taught by full-time faculty. More full-time faculty are being hired, in large part, to reduce the number of adjuncts teaching General Education courses, and this seems very likely to bolster the overall quality of teaching at American University. However, it must be recognized that AU's location in Washington allows us to attract many talented adjunct faculty, many of whom are distinguished specialists or practitioners whose expertise is vital to the teaching mission of the university. Our students have the opportunity to learn from professionals from such organizations as the World Bank, National Institutes of Health, Associated Press, National Endowment for the Arts, John F. Kennedy Center for the Performing Arts, and National Aeronautics and Space Administration, as well as private industry. These adjunct faculty allow the university to teach a wider variety of classes by complementing the expertise of full-time faculty. This variety is particularly important for enhancing the depth of majors. Our adjunct faculty also provide many linkages throughout the region that mark AU as a university committed to engagement. Improving teaching by reducing the number of adjunct faculty will need to be balanced by the continued, selected use of adjunct faculty who contribute to the quality and diversity of our academic community.

Teaching at its best occurs both inside and outside the classroom. Some of our finest faculty members teach graduate students about becoming faculty members through the Greenberg Seminar series. In 1994, 74.5 percent of undergraduates completing student evaluations of teaching had contact with the faculty member outside of class. This number dropped slightly to 72 percent in 2002. Similarly, 76 percent of graduate students had contact with faculty outside of class in 1994, with this figure increasing to 79 percent in 2002. That such a large percentage of students had contact with their instructors outside the classroom speaks to AU's emphasis on teaching and to the engagement of faculty with students.

The faculty is comprised of scholar-teachers actively involved in research and creative activities and who give students the tools and methods of scholarship while sharing their own passion for learning that is at the heart of academic inquiry. This link between teaching and scholarship is clearly present in courses faculty teach in their areas of expertise. Many students also assist faculty

who are engaged in scholarship or creative and professional activities, and faculty provide customized instruction and guidance for individual students. In fall 2002, 176 undergraduate students and 158 graduate students were enrolled in independent study sections. Another 335 graduate students were enrolled in sections with substantial research papers, thesis supervision, or dissertation supervision. These figures do not include Directed Research and Independent Reading courses or student volunteer work outside the context of formal course registration. The emphasis on linking teaching and scholarship is also reflected in the highest university award for faculty, the Scholar-Teacher of the Year.

Effective teaching is also linked to a solid curriculum that is designed and updated by qualified faculty and other professionals. The *Academic Regulations* require curricular revisions to originate at the department level and be reviewed at different levels of the university (described in Chapter 8, Graduate and Professional Education). Changes in the *Academic Regulations* must be approved by the Faculty Senate.

The university is committed to academic freedom in teaching. The *Faculty Manual*, drawing upon the Statement of Principles on Academic Freedom and Tenure issued jointly in 1940 by the American Association of University Professors and the Association of American Colleges, consistently affirms this freedom.

AU faculty are excellent teachers. Taken as a whole, student evaluations of teaching have been very good and have been improving over time. Teaching is highly interactive and will become more so as the 15-point plan is implemented.

FACULTY SERVICE

The passionate engagement of the faculty leads to service in several forms, at the department level, on behalf of a school or college, or for the university as a whole. Other forms of service strengthen professional communities or share faculty expertise with local and global communities.

The centrality of service is recognized in the *Faculty Manual*: "A member of the faculty should actively contribute to the general development of the University. Participation in faculty meetings and committees and in student organizations and activities constitutes such contribution. Use of the faculty member's professional skills and training in public service to local communities, professional and scholarly communities, and society at large is also evidence of contribution to the University." Many members of the faculty are active in a variety of ways on campus, professionally, and in the community (described in Chapter 9, Engagement).

One of the primary ways that faculty contribute to the university is through participation on committees. As stated in the university Bylaws (Article X, Section 3), the faculty have primary responsibility for:

- instruction and academic standards
- determination of curricula and approval of courses
- recommendations of faculty appointments, promotions, and other faculty personnel concerns
- recommendations for the instructional budget
- recommendations of policies affecting student affairs

These goals are largely accomplished through an effective committee structure. Prior to 2002, the University Senate, with its 14 standing committees and three advisory committees, had seats for 174 faculty members. In order to streamline decision making while maintaining the commitment to faculty governance, this number was reduced dramatically, to 121, via a faculty referendum held in AY2001–2002. The new Faculty Senate structure includes the following entities: Joint Committee on Curriculum and Academic Programs, Committee on Information Services, Committee on Instructional Budget and Benefits, Committee on Faculty Development, Committee on Student Learning and Academic Engagement, Committee on Faculty Relations, Committee on Faculty Equity and Grievances, Hearing Panel, General Education Committee, and Honors Advisory Committee.

This list of university committees is not exhaustive. For instance, 40 faculty members were appointed to serve on project teams for AY2002–2003. In addition to the faculty committee structure, faculty members are involved with many university-wide student activities on campus. For example, many student clubs have at least one faculty advisor.

Each college and department also has several committee positions that must be filled by faculty. For example, in the College of Arts and Sciences (CAS), the Educational Policy Committee has 25 faculty members. Seven faculty members serve on the Steering Committee, seven on the Curriculum Committee, five on the Budget Committee, five on the Interdisciplinary Committee, and five on the Technology Committee. Each individual CAS department has a Rank and Tenure Committee, Curriculum Committee, Student Grievance Committee, and Personnel Committee. The number of committees and the number of faculty serving on these committees varies from department to department.

As described in the *Faculty Manual*, contribution to the university can also take the form of “use of the faculty member’s professional skills and training in public service to local communities . . . and society at

large.” Indeed, such service is central to the effort to turn “ideas into action, and action into service.” Although many of our faculty make this type of contribution, it cannot be easily summarized or documented. A few examples of recent service indicate the variety of contributions made by individual faculty (more are provided in Chapter 9, Engagement).

- Members of the School of Education helped to train teachers, provide technical support, and set up a Web site at a local Washington, D.C., elementary school.
- Professor and filmmaker Randall Blair (School of Communication) helped the Lab School of Washington, D.C., produce a series of videotapes to train teachers to teach disabled students. In 2001, he and his students produced an award-winning series that PBS distributes.
- Immediately after the September 11 terrorist attacks, several School of International Service professors provided guidance and information to students and the society at large. Akbar Ahmed, professor of international service and Ibn Khaldun Chair of Islamic Studies, spent many hours on local and national news shows explaining Islam to the American public. Abdul Aziz Said, professor of international service and Mohammed Said Farsi Chair of International Peace, and Robert Pastor, vice president of international affairs and professor of international relations, led a teach-in that began a week-long series of discussions about terrorism.
- Faculty members from the Washington College of Law (WCL) are engaged in such local activities as the D.C. voting rights movement and attorney ethics committees; in national affairs, by vetting legislation on tort reform and medicines for senior citizens, writing bar examination questions and participating in continuing education activities for federal judges; and in international activities, such as conducting war crimes research, assisting former Communist countries in drafting constitutions, and working in the Balkans with governmental and non-governmental groups.
- Faculty contribute to the university through professional activities, such as service on editorial boards, juries, and award selection committees. Such service not only meets the needs of the profession but also makes the university visible in the broader scholarly community. It helps keep faculty abreast of developments in their field. This, in turn, facilitates research

Figure 5.3
Number of Faculty Serving on Editorial Boards, Juries, or Award Selection Committees

Calendar year	1997	1998	1999	2000	2001	2002
Service on editorial boards	73	78	71	112	126	126
Service on juries or award selection committees	38	46	31	45	36	41

and teaching. Figure 5.3 lists the number of faculty members engaged in these types of activities over the past six years.

The quality of the faculty's professional service is best illustrated with some examples. In 2002:

- Ajay Adhikari, associate professor of accounting, was president of the International Accounting Section of the American Accounting Association.
- Richard Breitman, professor of history, edited the journal *Holocaust and Genocide Studies*.
- David Haaga, professor of psychology, edited the journal *Behavior Therapy*.
- Karen O'Connor, professor of government, edited the journal *Women and Politics* and received the Midwest Women's Caucus for Political Science Award for Outstanding Service.
- Louise Shelley, professor of justice, law, and society, was North American editor of *International Annals of Criminology*.
- Vivian Vasquez, assistant professor of education, received the National Council of Teachers of English Awards for Service and Commitment to the NCTE Executive Committee and for Excellence in Service to the Teaching Profession and to the Discipline of English.
- Jon Wisman, professor of economics, was elected president of the Association for Social Economics.
- WCL faculty and students publish the official law review of the American Bar Association's Section on Administrative Law.

The faculty of American University are actively engaged in providing service to students, academic departments, schools and colleges, the university as a whole, and the wider communities, both local and global. These service efforts represent an enormous commitment of faculty time and talent to the tasks of maintaining academic standards, ensuring the effectiveness of the curriculum, fostering student development outside the classroom, enhancing faculty members' fields of specialty, and promoting citizenship. The 15-point plan promises to increase this service, particularly to students.

Faculty Composition

Thus far, we have discussed faculty scholarship, teaching, and service. For the university to maintain excellence in these areas, and to expand upon its history of accomplishments, it is important that the faculty be well qualified and sufficiently large. This section will discuss both faculty qualifications and trends in faculty size. Figure 5.4 presents an overview of the faculty.

The faculty are well qualified to fulfill the mission of the university. One example of faculty quality is having the highest degree in one's field. Of the 476 full-time

Figure 5.4
Full-Time Faculty by Faculty Status

Faculty Status	Fall 1994	Fall 2002
Teaching*	460	476
Administrative	24	19
Research	15	4
In residence	2	29
Subtotal	501	528
Librarians	30	27
Other**	1	11
Total	532	566

*Includes visiting teaching faculty

**Includes sabbatical replacement for 1994; one semester only and leave without pay for 2002.

teaching faculty at AU in 2002, 96.2 percent had the highest degree in their field. As can be seen from Figure 5.5, this percentage has increased since fall 1994, when it was 91.8 percent. The change seems largely attributable to changes in the instructor rank. In 1994, only nine of 27 instructors held the highest rank in their field. By 2002, this number increased to 16 of 26. In recent years, standards for hiring, retaining, and promoting faculty have been raised. As part of this process, it has become less common for new faculty to be hired prior to completion of their dissertations. In addition, in 2000, new regulations were implemented which allowed instructors who are not tenured or tenure-track faculty and whose primary teaching responsibility is college writing or foreign language instruction to receive renewable five-year full-time appointments. The quality of instruction in those programs, which had formerly relied more heavily on part-time instructors, has improved.

Figure 5.5
Full-Time Teaching Faculty with Highest Degree

AY94-95	# Total	Highest Degree	% Highest Degree
Professor	170	166	97.6%
Associate professor	118	113	95.8%
Assistant professor	134	124	92.5%
Instructor	27	9	33.3%
Total	449	412	91.8%

AY02-03	# Total	Highest Degree	% Highest Degree
Professor	159	157	98.7%
Associate professor	137	137	100%
Assistant professor	154	148	96.1%
Instructor	26	16	61.5%
Total	476	458	96.2%

In order for the faculty to fulfill their roles, it is important not only that they be well qualified but also that they be sufficiently numerous. Sufficiency in number

Figure 5.6
Full-Time Tenured and Tenure-Track Teaching Faculty

	AY94–95	AY95–96	AY96–97	AY97–98	AY98–99	AY99–00	AY00–01	AY01–02	AY02–03
CAS	187	185	182	181	174	172	169	173	171
Kogod	51	46	41	39	40	39	42	41	47
SOC	21	22	23	23	23	24	23	27	26
SIS	33	33	34	37	36	38	39	43	40
SPA	44	42	46	41	42	40	43	44	40
WCL	33	37	38	44	43	49	48	50	48
Wash. Sem.	0	0	0	0	0	0	0	0	1
Total	369	365	364	365	358	362	364	378	373

is difficult to define and must be considered in the context of the institutional mission. In this report, we will present trends in three areas: number of faculty, student-faculty ratios, and average class size.

Number of Faculty

Overall, the number of tenured and tenure-track teaching faculty varied little in recent years, rising from 369 in 1994 to 373 in 2002. There was some shift in tenured and tenure-track faculty within schools and colleges, as can be seen in Figure 5.6. The Washington College of Law (WCL), the School of Communication (SOC), and the School of International Service (SIS) experienced increases in tenured and tenure-track faculty, while the School of Public Affairs (SPA), Kogod School of Business (KSB), and College of Arts and Sciences (CAS) experienced mild declines in tenured and tenure-track teaching faculty. In 2002, SPA had more tenured and tenure-track faculty than in 1992 or 1993, and so this decline from 1994 is likely a statistical anomaly. The decrease in the size of KSB's tenured and tenure-track faculty was planned in the light of changing enrollment patterns. Some of the CAS decline was the transfer of four faculty and two other tenure lines to KSB in 2002, some was due to searches for tenure lines that had not yet been filled, and some was likely attributable to faculty on the newly created junior faculty course reduction program. For purposes of this analysis, only AAUP faculty are included. AAUP faculty include all instructional faculty, defined as all those members of the instructional-research staff who are employed full time and whose major (at least 50 percent) regular assign-

ment is instruction (including released time for research)—regardless of whether they are formally designated as faculty. Excluded are administrative officers with faculty rank, faculty on leave without pay, faculty on disability, research faculty, library faculty, and faculty not paid by the university.

The percentage of full-time teaching faculty holding tenure declined slightly from 1994 (62.8 percent) to 2002 (57.8 percent). This is due, in part, to a large number of retirements and the hiring of tenure track faculty to replace them. The FY2004 budget, approved February 28, 2003, includes funds earmarked to create new faculty lines, and so it is likely that the recent increase in the number of tenure-track teaching faculty will continue in the near future. Half the increase in temporary faculty occurred in WCL, which experienced rapid enrollments (*see* Figure 5.7). Overall, then, full-time teaching faculty increased from 449 in 1994 to 476 in 2002.

In addition to full-time faculty, American has a large cadre of adjunct faculty. The 15-point plan calls for a reduction in the number of adjunct faculty (point 8), which had increased from 498 in AY1995–1996 to 593 in AY2000–2001. In the last two years, there has been a substantial decrease to 526 adjunct faculty in AY2002–2003, including a decrease from 498 to 395 outside of WCL. In the context of increasing enrollments, WCL adjuncts have increased from 95 to 131 from AY2000–2001 to AY2002–2003. These figures include all academics in full-time staff positions, such as Clovis Maksoud, former Arab ambassador to the UN and director of American University's Center for

Figure 5.7
Temporary Full-Time Teaching Faculty

	AY94–95	AY95–96	AY96–97	AY97–98	AY98–99	AY99–00	AY00–01	AY01–02	AY02–03
CAS	38	30	40	37	49	51	52	53	41
Kogod	6	7	10	18	13	14	7	10	9
SOC	7	10	7	6	8	9	7	7	7
SIS	7	8	10	10	8	12	10	11	11
SPA	9	6	5	5	11	12	5	4	11
WCL	0	0	0	0	0	2	0	6	10
Wash. Sem.	13	15	16	15	11	13	22	18	14
Total	80	76	88	91	100	113	103	109	103

the Global South. When one looks at the total number of adjunct faculty who teach courses, excluding those in other positions at the university, the total is 475. Consistent with this decrease in the number of adjuncts, the percentage of courses taught by full-time faculty has increased and is expected to continue to increase. In AY2000–2001 the percentage of courses taught by full-time faculty reported to *U.S. News and World Report* was 70.3 percent. This percentage increased to 73.6 percent in AY2001–2002 and 75.1 percent in AY2002–2003.

American University values faculty diversity. The percentage of teaching faculty who are women or minority has increased in recent years. In 1994, 33.4 percent (150 of 449) of full-time teaching faculty were women. This number increased to 40.8 percent (194 of 476) in 2002. From 1994 to 2001, AU hired 145 tenured and tenure-track faculty. Seventy-six (52.4 percent) were women, 69 (47.6 percent) were men. Direct statistical comparisons of racial or ethnic groups for 1994 and 2002 are not available. Figure 5.8 provides a breakdown of full-time faculty by race or ethnicity and by gender for 2002. From 1994 to 2001, 40 of the tenured or tenure-track hires (27.6 percent of the total) were minority members, whereas 105 (72.4 percent) were nonminority. Since only 16.2 percent of full-time faculty in 2002 were minority, the percentage of tenured and tenure-track minority faculty is increasing. To encourage diversity in hiring, in recent years, search committees have been required to report on the percentage of their applicant pools who were women and minority members before being allowed to proceed with interviews, and many searches have included members or observers from the University Diversity Committee (recently replaced by the Multicultural Issues Project Team).

Figure 5.8
Race and Gender of Full-Time Teaching and Administrative Faculty
AY02–03

Race or ethnicity	Women	Men	Total
Nonresident Alien (international)	1	3	4
American Indian or Native Alaskan	0	2	2
Asian or Pacific Islander	10	19	29
African American	15	16	31
Hispanic	10	8	18
White	162	249	411
Total	198	297	495

Note: Table includes 19 administrative faculty (1 Hispanic male, 4 white females, 14 white males).

Women and minority members are also represented amongst adjunct faculty, as shown in Figure 5.9. In fall 2002, 44.4 percent of adjunct and part-time faculty were women and 55.6 percent were men; 13.1 percent

were underrepresented minorities. Both of these figures were virtually unchanged from fall 2000, the earliest date for which reliable data are available.

Figure 5.9
Race and Gender of Adjunct or Part-Time Faculty
AY02–03

Race or Ethnicity	Women	Men	Total
Nonresident Alien (international)	2	4	6
American Indian or Native Alaskan	0	0	0
African American	19	12	31
Asian or Pacific Islander	10	10	20
Hispanic	7	4	11
White	172	229	401
Unknown	1	5	6
Total	211	264	475

Student-Faculty Ratios

Another way of determining whether the faculty is sufficiently large is to examine student-faculty ratios. This ratio has varied within a fairly narrow range since AY1994–1995, from a low of 14.2:1 in AY1999–2000 to a high of 15.8:1 in AY2002–2003. Though the latest ratio is higher than that of recent years, it is lower than in AY1991–1994, when it ranged from 16.2:1 to 17.8:1. It should be noted that there has been a shift in the student body in recent years. Undergraduate, degree-seeking FTEs have increased from 4,460 in 1994 to 5,500 in 2002. By contrast, non-WCL graduate degree-seeking FTEs have decreased in this same time period from 2,619 in 1994 to 2,312 in 2002. Thus, ratios of undergraduate students to faculty have likely increased, whereas ratios of graduate students to faculty have likely decreased in recent years. The 15-point plan calls for AU to emphasize undergraduate education. This emphasis occurs in a context in which the student body has become more heavily undergraduate over the course of several years.

Average Class Size

Average class sizes have also varied within narrow ranges, though they now tend to be at the upper end of the recent ranges, except in the Washington College of Law (WCL). Average class size in 000-200-level classes was slightly higher in 2001-2002 (27.1) than in 1994-1995, when it was 26.3. Part of this increase is due to a decline in English Language Institute (ELI) courses, which tend to be much smaller than others. The ELI program was discontinued at the close of AY2002–2003. Average class size for 300-400-level classes also was slightly higher in 2001-2002 (22.1) than 1994-1995 (21.5). Average class size for non-WCL 500-level classes in 2001-2002 was 18.2, the same as it was in 1994-1995. WCL 500-level classes declined in size to 37.6 in 2001 from 43.7 in 1994.

Average class size for non-WCL 600-700-level classes stood at 18.4 in 2001-2002, toward the middle of the 1994 to 2000 range (17.8 to 19.8). WCL average class size for 600-800-level classes in 2001-2002 (24.9) was also in the middle of the range for prior years, 22.3 to 29.2, but down significantly from peak. In general, faculty are sufficiently numerous that average class size has not seen significant increases, though there are some upwards pressures for courses below the 600-level outside WCL.

Given the increase in undergraduate students relative to graduate students, there has been a shift in the number of course sections of different levels taught on campus by the faculty. Without this shift, average class size likely would have risen, particularly at the 000-200-level. The number of non-ELI 000-200-level class sections rose from 994 in 1994-1995 to 1,195 in 2001-2002, a 20.2 percent increase. In contrast, the number of 300-400-level sections has remained fairly constant, increasing 2.2 percent from 621 in 1994-1995 to 635 in 2001. The number of non-WCL 500-level sections has increased 11.8 percent, from 296 in 1994-1995 to 331 in 2001-2002. In contrast, the number of 600-700-level classes has remained fairly constant, dropping 1.7 percent from 605 to 595. WCL has increased the number of both 500-level (93 to 124, 33 percent) and 600-800-level (212 to 270, 27.4 percent) class sections. Taken together, these numbers indicate that faculty teaching efforts have shifted towards 000-200-level classes in recent years.

In sum, AU faculty are well qualified for their positions. The 15-point plan envisions enlargement of “the scope and impact of teaching both within and outside classroom settings.” It emphasizes service “through sustained, formal and informal contacts that go beyond and augment the classroom experience.” These additional responsibilities will need to be considered in light of the size of both the full-time and adjunct faculties. There are some upward pressures on class size from reducing the size of the adjunct faculty. In this context, the university has made a commitment to increase the number of full-time faculty, in part to provide the enhancements proposed in the 15-point plan.

ROLES, RESPONSIBILITY, STANDARDS, AND HIRING PROCEDURES FOR FACULTY

For the faculty to be productive, it is essential that their responsibilities be clearly defined. The *Faculty Manual* spells out faculty roles and responsibilities in detail. It describes the criteria for determining whether faculty are engaged in high-quality scholarship, creative activity, and professional development: “Evidence of development, scholarship, and creativity includes the publication of significant scholarly contributions, publication of teaching methodology and materials, public lectures, participation in responsible positions in professional organizations, creative production and

performance, and other professional activity that demonstrates concern for advancing the faculty member’s discipline or interdisciplinary work.”

Criteria for faculty appointments and promotion are also described in relation to qualifications, teaching, creative, scholarly, and professional development, and contribution to the university.

Full-time faculty are evaluated annually as part of a merit pay review process. Faculty submit annual reports of their activities to committees in their teaching units. Recommendations for pay increases come from these committees through the administration to the Board of Trustees. Faculty performance is assessed every year, with implications for faculty salaries.

Faculty also undergo evaluations as part of tenure and promotion procedures. These typically occur during reappointment after an initial two-year contract, reappointment to a fifth and sixth year, reappointment to a seventh (tenure) year, and when a full review is requested by the teaching unit head. The faculty member is evaluated by several different parties, including a committee from the teaching unit, the dean, the university-wide Committee on Faculty Relations, and the dean of academic affairs, and for promotion or tenure, by the provost and the president. Procedures for these reviews are available at <www.american.edu/academics/provost/dean.htm>. When Middle States last visited American, tenure-track faculty received a full review every year when they sought reappointment after their initial two-year contract. Making reviews somewhat less frequent has allowed them to be both more meaningful and less burdensome.

Adjunct faculty must go through a review process similar to the appointment process for full-time faculty. The department chair, school or college dean, and dean of academic affairs must approve the appointment. Appointments are for three years, although a faculty member may not necessarily teach every semester during that period. All teaching evaluations are reviewed before an adjunct faculty member is reappointed.

In 1998, revisions were made to the criteria for appointment or promotion to the ranks of assistant, associate, and full professor. The impact of these changes was to raise standards and make more explicit the role of service to the university and to students. The old and new criteria for appointment to the rank of associate professor are described below.

Old Criteria: Associate Professor: An appointee to this rank must hold a doctorate, if customary in the discipline. He/she must have demonstrated ability as a teacher, must have demonstrated capability for scholarly achievement and professional growth, and must have had at least four years full-time teaching experience in a college or university in the rank of Assistant or Associate Professor, or at least five years full-time

Figure 5.10
Faculty Salaries

Rank	AY94–95	AY95–96	AY96–97	AY97–98	AY98–99	AY99–00	AY00–01	AY01–02	AY02–03
Full	\$78,028	\$80,283	\$83,511	\$85,481	\$87,719	\$91,447	\$97,335	\$103,435	\$108,295
AAUP level	2	2	2	2	2	2	1	1	1
Associate	\$52,994	\$52,384	\$54,914	\$58,553	\$59,439	\$61,762	\$67,007	\$71,982	\$74,793
AAUP level	2	3	2	2	2	2	2	2	1
Assistant	\$41,667	\$41,864	\$43,454	\$46,036	\$48,116	\$50,631	\$52,430	\$56,238	\$58,770
AAUP level	3	4	3	3	3	3	3	2	2
Instructor	\$26,439	\$27,858	\$31,642	\$33,716	\$32,524	\$29,742	\$35,324	\$41,069	\$43,283
AAUP level	4	3	4	3	4	5	4	3	3

teaching experience in a college or university, counting for this purpose not more than three years at the rank of Instructor.

New Criteria: Associate Professor: An appointee to this rank must hold a doctorate, or the highest degree customary in the discipline. The faculty member must have demonstrated high quality as a teacher, shown engagement with students in and outside the classroom, must have demonstrated significant scholarly or creative accomplishments appropriate to the faculty member's discipline, show potential for becoming a scholar or artist of distinction, and have demonstrated professional recognition and growth. The faculty member must have had at least four years of full-time teaching experience in a college or university in the rank of Assistant or Associate Professor, or at least five years of full-time teaching experience in a college or university, counting for this purpose not more than three years at the rank of Instructor.

These changes in criteria have been one part of university efforts to enhance an already strong faculty. As part of these efforts, two procedural changes that facilitate effective hiring have occurred since the last visit of Middle States. First, the cycle for authorizing new hires begins more than a year before the faculty line is scheduled to be filled. Typically, calls for new positions are made in May or June with decisions about whether to search for those positions being made in June or July. This timing permits search committees to target candidates more quickly than had often been the case before. Second, teaching units are allowed to carry over a search to a second year if they decide that there is no candidate whom they wish to hire in the first year. This freedom has served to encourage units to be more selective in their decisions.

In addition, various incentives have been added to help attract new faculty. For instance, first-year tenure-track faculty receive a reduced teaching load to facilitate their transition to the university. Perhaps foremost among the new incentives is the junior faculty course release program. New faculty members may apply for one semester without teaching responsibility, to be taken during their third year. This generous opportu-

nity coincides with increased expectations for faculty scholarship. The junior faculty course release is expected to promote scholarship as newer faculty progress toward tenure. The first four such leaves were awarded in AY2000–2001, with 13 given in AY2002–2003. Support for associate professors as they move towards becoming full professors is being discussed or implemented. A newly established Bender Prize is now awarded annually to an associate professor to recognize important scholarly or creative work. These initiatives help facilitate recruitment and retention of faculty.

One of the challenges in recruiting and retaining faculty in 1994 was low faculty salaries, set against the high cost of living in the Washington area. The university made a concerted effort to increase salaries for full-time faculty (*see* Figure 5.10). From 1994 to 2002, average salary for full professors increased 38.8 percent, from \$78,028 to \$108,295. Average salaries for associate professors increased 41.1 percent, from \$52,994 to \$74,793. Average salaries for assistant professors increased 41.0 percent, from \$41,667 to \$58,770. Since 1994, salaries for associate professors and professors have risen from AAUP 2 level to AAUP 1 level. Those for assistant professors have risen from AAUP 3 level to AAUP 2 level. Those for instructors have risen from AAUP 4 to AAUP 3 level.

Adjunct faculty salaries have increased in recent years, from an average of \$2,781 per course in 2000 to \$2,998 per course in 2002. Adjunct salaries vary across discipline and experience, so it is difficult to make generalizations about them. However, there is concern that in some cases salaries are too low to attract strong candidates. As AU moves to increase the quality of its adjunct faculty, it is likely that adjunct salaries will be increased.

High standards for faculty reflect the mission of the university. Central to the general criteria for the evaluation of faculty members is the balanced role that effective teaching and creative, scholarly, and professional development play in the lives of our faculty. This is reflected in two key points in our mission statement, the Statement of Common Purpose:

The university distinguishes itself through a broad array of undergraduate and graduate programs that stem from these primary commitments: . . .

- interactive teaching providing personalized educational experiences for students, in and out of the classroom
- research and creative endeavors consistent with its distinctive mission, generating new knowledge beneficial to society

As stated in the *Faculty Manual*, teaching is “a primary consideration” in our standards. Together with evidence of professional development, scholarship, and creativity that demonstrate “concern for advancing the faculty member’s discipline or interdisciplinary work,” we offer our “enduring commitment to uncompromising quality in the education of [our] students.”

FACULTY SUPPORT

For faculty to execute their duties, they need institutional support for their teaching, scholarship, creative activity, professional development, and service. We will describe some of the means by which faculty efforts are supported and the results of a survey of faculty perceptions of support.

The mission of the Center for Teaching Excellence is to celebrate, facilitate, and strengthen excellent teaching. It operates under the premise that assisting with technological innovation in teaching and strengthening teaching-research linkages are complementary goals. Established in 1998, the center embodies AU’s commitment that superb teaching, within and outside the classroom be paramount. The center conducts a wide variety of activities that assist faculty in developing their teaching skills and in using computer and internet technologies appropriately. Many faculty take advantage of the center’s programs. The center offers faculty small sums of money to support teaching activities. It organizes the annual Ann Ferren Conference on teaching, which this year drew 152 faculty members on the Saturday before the first week of classes in January. The center aggressively promotes the use of Blackboard technology in instruction and offers faculty individualized tutorials. From spring 2002 to spring 2003, the number of course sections using Blackboard increased from 454 (27 percent) to 708 (42 percent). The number of students in course sections using Blackboard increased from 10,484 (32 percent) to 15,520 (49 percent).

As the Center for Teaching Excellence was created to assist faculty in their teaching, the Office for Sponsored Programs (OSP) serves to promote faculty research. OSP serves three primary functions:

Pre-award support including identification of potential sponsors, budget development, assuring compliance with sponsors’ application requirements, proposal production, and support activities

Post-award administration, including sponsor negotiations, contractual and regulatory compliance, budget modification, and project close-out

Compliance with federal, state, local, and university policies and regulations affecting research involving human and animal subjects, radioactive and hazardous materials, and patent licensing.

In addition, OSP helps to identify individual award opportunities (Guggenheim, Fulbright, etc.) and hosts a variety of seminars designed to augment faculty knowledge of the individual awards and sponsored program opportunities. OSP maintains a library in order to assist both the OSP staff and the AU faculty in the sponsored research process.

Several other mechanisms exist to support faculty scholarship and teaching. The Faculty Senate holds an annual competition for research awards for summer support. For AY2003–2004, 18 awards, worth \$103,778, were distributed. In AY2002–2003, 14 curriculum development awards, worth \$26,208, were distributed. For AY2003–2004, 18 awards, worth \$11,028, were distributed to faculty in a Faculty Software Award competition.

Faculty support can come via recognition of their good work. American annually distributes a variety of awards to honor faculty accomplishments. They include: the Scholar-Teacher of the Year; the University Faculty Award for Outstanding Scholarship, Research, and Other Professional Contributions; the University Faculty Award for Outstanding Contributions to Academic Development; the University Faculty Award for Outstanding Teaching; the University Award for Outstanding Teaching in General Education; the University Faculty Award for Outstanding Teaching (Adjunct); the University Faculty-Administrator Award for Outstanding Service to the University Community; the Bender Prize, and the University Faculty Award for Innovative Use of Technology in Teaching.

Faculty can apply for sabbaticals every seven years. They may apply for a one-semester sabbatical at full pay or a full-year sabbatical at half pay. The sabbatical program is widely used. Forty faculty were on sabbatical in AY2002–2003.

It is important for faculty members to have their own offices for their own work and for confidential meetings with students. Since the last visit of Middle States, AU has acquired additional space and redesigned buildings to greatly increase the number of single faculty offices for tenured and tenure-track faculty. As new faculty lines are added, one challenge will be to provide new faculty members with their own unshared offices.

Faculty Survey

To gauge research, teaching, and service support, the faculty were surveyed in February 2003 (*see*

Supporting Document 5.4) as part of this self-study. The survey was short so as to increase the response rate, which was 36.9 percent. However, the brevity precluded the detailed follow-up questions that would have assisted in better understanding faculty responses.

Surveys were anonymous. Faculty identified only their primary school or college and their rank. Faculty were asked to indicate their agreement or disagreement with six statements about the degree to which their department, their school or college, and AU support their research and teaching, and with two statements about their overall experience of support and satisfaction at AU. They answered three open-ended questions about factors that support and hinder their teaching, research, and service at American, as well as what might be changed to support their teaching, research, and service.

Most faculty (59 percent) who responded to the survey either agreed or strongly agreed with the statement that they were satisfied with their experience at American. A much smaller proportion (19 percent) disagreed or strongly disagreed. Furthermore, faculty were far more likely to agree than disagree that their department, their school or college, and the university support their teaching. For instance, 67 percent agreed or strongly agreed that the university supported their teaching. Only 16 percent disagreed or strongly disagreed.

In contrast, respondents were relatively more likely to disagree or strongly disagree (35 percent) with the statement that the university supports their research. Only 40 percent agreed or strongly agreed with this statement. Faculty were somewhat more likely to indicate that their department and their school or college support their research. Dissatisfaction with research support was more likely at the associate and full professor ranks (38 percent) than for assistant professors (20 percent). Dissatisfaction with research support was also somewhat higher in the College of Arts and Sciences (43 percent) than in the rest of the schools and colleges (27 percent).

Further open-ended questions probed at what factors helped or hindered teaching, research, and service and asked for suggestions about what steps could be undertaken to foster faculty development. One of the most notable results of this exercise was the variety of issues that faculty members raised. Different teaching units and different faculty have different needs. Increased help with faculty teaching, research, and service is most likely to occur by considering what each individual needs to foster his or her development, in addition to more centralized, uniform support. Treating everyone the same may not be the most productive approach for the university.

Overall, 105 faculty listed various factors in response to the question of what facilitated their teaching, research, and scholarship. They were allowed to list multiple items. Three factors emerged most often. The Center

for Teaching Excellence and its programs were cited by 35 faculty. The importance of the center to the university has been demonstrated through heavy participation in the center's activities. Having talented and supportive colleagues, the second factor, was cited by 33 faculty. That colleagues are seen as one of the most important factors in supporting teaching, research, and service emphasizes the importance of making good faculty appointment and retention decisions. It also speaks to the atmosphere of collegiality that exists among faculty at the university. Various forms of tangible research and teaching support (such as course releases, internal grants, and junior faculty course releases) were cited by 32 faculty. We will return to this third factor when we discuss obstacles to faculty development.

The open-ended questions were quite broadly worded and so faculty are likely to have construed facilitating factors in multiple ways. Many factors other than the three described above also were cited. For instance, some faculty listed support of interdisciplinary collaborations, the merit review process, academic freedom, library resources, and other factors. That these factors were cited less should not be taken as a sign that they are less important. Nor should the factors mentioned by various faculty be considered an exhaustive list of what they feel helps them with their work.

Responses to questions about what hinders faculty efforts and what improvements might be made reveal several broad themes.

The factor that drew the greatest response was the teaching load. AU faculty carry, on average, a five-course load. Overall, 123 faculty members provided written responses to at least one of the three open-ended questions. Just over half of them (63) listed course loads as either a hindrance, something that could be changed to facilitate their work, or both. Given a five-course load, engaging in teaching, research, and service is difficult without compromising the quality of one of these areas. Meeting this challenge—indeed, improving faculty efforts as called for in the 15-point plan—would be helped greatly by reducing the course load.

The teaching load, though on average five, varies across the faculty. To some extent this reflects the heterogeneity of faculty interests. Some prefer a mix of teaching, research, and service that has a greater proportion of classroom teaching. Having some faculty teaching more than five courses allows others to teach fewer than five, while maintaining the average. Encouraging some faculty to teach six courses so that others might teach fewer than five will need to be done with care. Heavier teaching loads for faculty who do not volunteer could be seen as punitive and serve to demoralize faculty. Also, heavier teaching loads for some might shift the mix of faculty in the classroom, with less presence by our most productive scholars.

The second factor was material support for research, teaching, and service. A wide variety of examples was raised, each by a relatively small number of faculty. They include travel awards, research support, library resources, returning more overhead on grants, improving classroom equipment and computer resources, and acquiring more space. The university has been taking steps to improve funding for faculty support. For instance, the 15-point plan commits \$500,000 “to establish a fund for Presidential Research Fellowships for individual faculty to increase their scholarly activities.” Though the future holds greater promise, current limited funding is perceived as restricting the development of faculty talents.

The third factor was faculty concern about administrative centralization of authority. Several faculty mentioned over-attention to details and arbitrary rules from central administration as a hindrance. Others encouraged more discretionary authority for deans, department chairs, and faculty, along with respect for faculty expertise. Decentralization permits people to be more creative, feel in control, and make decisions at the level where the issues are best understood. A spirit of mutual concern, respect, trust, partnering, and operating in good faith is necessary for a productive university community. Indeed, this spirit can provide one of the most important lessons that students can learn from our faculty and administration. Examination of the obstacles and incentives present in faculty life is not new. Indeed, in 1999–2000, a provost-senate working group examined “factors that facilitate or hinder faculty participation in intellectual, programmatic, and community life at American University.” Steps that can be taken to foster the partnership of administration and faculty, and to further recognize the perspectives of those “in the trenches,” within the context of the broad institutional mission, will be helpful.

Finally, some faculty expressed concern about the effect of cutting graduate programs. Graduate students are key to fostering faculty research both by serving as research assistants and by growing into junior colleagues and collaborators. The loss of graduate programs, discussed in the chapter on graduate education, is likely to render more difficult the recruitment of faculty who are drawn to the benefits of engaging in scholarship with and teaching graduate students. It will also make research more difficult for faculty who lose their graduate programs. It will be important to find new avenues for faculty members who have suffered from these cuts.

In sum, the university supports faculty through various means. Faculty most frequently report the Center for Teaching Excellence, their colleagues, and various funding sources as supportive. They also express concerns about certain factors, especially teaching load, lack of funding, administrative centralization, and loss of graduate support.

SUMMARY AND RECOMMENDATIONS

AU faculty are well qualified to engage in teaching, research, and service. Indeed, the faculty are highly engaged in all three, and to good effect. There are promising trends in teaching evaluations in recent years. Progress in scholarship, creative activity, and professional development is more difficult to measure, but it is clear that the faculty are productive in this area.

The 15-point plan presents the campus with profound change. It calls for a reduction in the percentage of courses taught by adjuncts (point 8), a reduction in teaching loads for productive scholars (point 9), and the addition of resources and meaning to teaching, research, and service (point 7), while simultaneously calling for a reduction in the size of the university (point 2), a reduction in the number of graduate programs (point 4), and a focus on making the undergraduate experience central to the mission of the university (point 3). The interplay of these actions, as well as their consequences, will need close examination as the plan is implemented. For instance, some courses can be taught just as effectively with slightly larger class enrollments; others cannot. Reducing the number of course sections might restrict the variety of courses teaching units can offer their majors. Though the number of 300–400–level course sections has increased slightly since 1994, it is down 19 percent from peak levels in 1989. Great care will need to be taken to retain the diversity of course offerings characteristic of an excellent university.

The 15-point plan indicates that “we will need to enlarge the scope and impact of teaching both within and outside classroom settings.” If faculty are more engaged with students outside the classroom, this will draw time away from performing their other functions. Already, faculty note that time pressures limit their ability simultaneously to teach; engage in scholarship, creativity, and professional development; and perform service as effectively as they would like.

The recently passed FY2004–2005 academic budget allocates funds to hire more full-time faculty. This allocation should improve teaching by reducing the role of adjuncts in General Education while assisting in the preservation of diversity of course offerings for majors. As faculty become more engaged with students outside the classroom, having more full-time faculty will spread this task, making it more likely that this additional contact will present itself as an opportunity, not a burden.

Decreasing the size of the student body would reduce pressures on class size but would simultaneously reduce revenue. Increased fund raising (point 1 of the 15-point plan) would help to retain or increase faculty size in the face of reduced student numbers.

There will be additional complexities relevant to faculty in the implementation of the 15-point plan. For

instance, reducing the number of graduate programs reduces opportunities in some fields to engage in research with graduate students. The implications for faculty, in meeting the 15 points, will need to be examined carefully as the plan is implemented. We make the following recommendations.

- **Reduce Teaching Load.** The overarching theme of the 15-point plan is to “mobilize our strengths and transform American University into an academically distinctive, intensely engaged community.” The additional time created by reducing the course load would help faculty to interact with students outside the classroom; prepare even more effectively for work inside the classroom; perform the research, creative activity, and professional development at the heart of the academic endeavor; and engage in service to university, profession, and community. To the question, What could be changed that would help their teaching, research, and service? the faculty’s most prevalent answer was far and away a reduced teaching load. The provost has also cited course load as the most difficult problem American University faces in recruiting faculty. Course load reduction would free faculty to utilize their particular strengths to the betterment of the university community as a whole.
- **Facilitate Faculty Participation.** The AU faculty are an invaluable resource that can provide perspective into the means by which goals can best be met and the energy and effort to accomplish those means. Its work and enthusiasm are essential to successful implementation of the 15-point plan. Remaining obstacles to faculty efforts, across the range of research, teaching, service, should be eliminated whenever possible and incentives and resources for such efforts should be made available.

Supporting Documents

- 5.1 *Faculty Manual*
- 5.2 *Academic Regulations*
- 5.3 *Faculty Publications, Professional Service, Grants, and Awards, 2002*
- 5.4 2003 Faculty Survey Results



LEARNING RESOURCES
AND CAMPUS LIFE

CHAPTER 6 LEARNING RESOURCES AND CAMPUS LIFE

OVERVIEW

At American University a broad range of resources and services support students in their academic endeavors and in their personal lives. The services, offered through all divisions of the university, address Standard 9 of the *Characteristics of Excellence*, which states, “Within the scope of the institutional mission, student services can reinforce and extend the college’s influence beyond the classroom. These services promote the comprehensive development of the student, and they become an integral part of the educational process, helping to strengthen learning outcomes.” These programs contribute to the university’s ethos of engagement as they help students develop the knowledge, skills, and self-assuredness to become global citizens.

Academic support services include library instruction and services, a rich array of electronic information resources, growing book and journal collections, high-end technology with wireless options, the services of the registrar, professional academic advisors across the disciplines, alumni services, career counselors, and specialized centers offering individualized support for study, writing, language, and quantitative skill development.

Student support services that meet the needs of all students include such programs as counseling, health care and education, and judicial services. Other programs meet the needs of specific populations, such as multicultural students; international students; gay, lesbian, bisexual, and transgender students; and students with disabilities. Through consultation and outreach, these programs educate the campus community about health and wellness issues, behavioral norms and expectations, and the richness of diversity that characterizes AU community life.

Student life encompasses a broad array of services and programs that affect the quality of the overall student experience. These include orientation programs, which welcome new members of the community; housing and dining programs, which meet both basic and developmental needs; leadership and personal growth experiences offered through the University Center, Student Activities, and the Kay Spiritual Life Center; community service opportunities both here and abroad; a comprehensive athletics and recreation program that emphasizes physical and mental well-being as well as athletic achievement; and the programs and services of Public Safety, which create a safe environment that the community needs to thrive.

ACADEMIC SUPPORT SERVICES

Libraries

The university library, <www.library.american.edu>, synchronizes its priorities with the 15-point plan. The library has focused in particular on the first five points, beginning with a major fund-raising program in 1998 (point 1), becoming a smaller but higher-quality university (point 2), enriching the undergraduate experience through information literacy (point 3), assessing the strength of the collections to support graduate study (point 4), and continuously seeking ways to increase its operational efficiency (point 5).

Overview and Description of Services

A library is judged by three criteria: the quality and breadth of service it provides to students and faculty, the quality of its on-line resources and collections, and the adequacy of its physical plant. The university library has succeeded in meeting goals for improvement for all three criteria as verified by data and through student satisfaction expressed in the Campus Climate Surveys over the past five years.

The first criterion by which a library is judged is the quality and breadth of service it provides to users. The AU library has a long-standing reputation for its positive customer service. As library faculty and staff work to maintain that standard, they have created a number of ways in which students can become more information literate and can pursue their information needs independently.

Teaching students to become independent searchers and to be able to verify the authenticity and suitability of the information they locate is one of the most important services offered by the library. Most library faculty participate in the library instruction program, which provides numerous instructional sessions in the library and in campus classrooms. In 2001–2002 library faculty offered 246 instruction sessions, reaching 4,416 students and introducing them to the library and to specific resources for their disciplines.

Coordinated by the library instruction team, the library promotes information literacy, or “the ability to locate, evaluate, and use information in order to become independent learners.” The instruction team developed the publication *Information Literacy at American University: Recommended Learning Outcomes* and widely circulated it on campus beginning in 2000 (see Supporting Document 6.1). Responding to the

American University Library is one of eight members of the Washington Research Library Consortium (WRLC), a consortium of university libraries in the Washington, D.C., region founded in 1988. WRLC members share resources and contain costs through direct borrowing, preferred interlibrary loan service, a daily courier, an on-line library system (ALADIN), and an off-site high-density storage facility.

General Education review, the team defined the library's role in supporting the new information literacy goal that is part of the General Education Program. Additionally, in 2001–2002 the team held open forums for faculty regarding incorporating information literacy skill development into their courses and sponsored round table discussions on plagiarism and academic integrity.

The team designed *Information Literacy: A Proposal*, which summarizes the state of information literacy at AU and provides recommendations for ways in which it can be incorporated across the curriculum (see Supporting Document 6.2). In implementing these proposals during 2002–2003, the team designed an on-line, Web-based tutorial that introduces students to basic information literacy skills; the tutorial will be piloted during fall 2003. Other components of *Information Literacy: A Proposal* are being addressed through library representation on the project to design a University College for undergraduate students. Another phase will move the efforts to all university majors.

Library faculty work with Center for Teaching Excellence staff to introduce faculty to the Blackboard course management system. The library migrated its electronic reserves operation to Blackboard in August 2001 and helped to design “linkmaker” software that faculty use to link to their e-reserve materials. In fall 2001, of the 258 reserve lists, 65 included electronic materials on Blackboard. A year later, in fall 2002, of the 340 reserve lists, 111 were electronic.

Reference librarians provide research assistance via the reference desk; telephone; e-mail (since 1996); virtual reference, also called on-line chat (2002); individual consulting appointments; and open “office hours” sessions (2001). In FY2002, people asked more than 39,000 questions at the reference desk and 4,700 questions at media services.

Many other efforts have been made to move library users to more independence. For example, <myALADIN> is a feature of the library's on-line system that allows borrowers access to their records to check due dates and fines, to renew materials electronically, to download articles requested through interlibrary loan, and to customize a menu of preferred databases. In 2002, forms for requesting interlibrary loans from outside WRLC and for requesting that certain books be purchased became available on the library Web site. In spring 2000, a self-checkout machine was installed, enabling borrowers to check out their own library books without going to the circulation desk. Self-checkout transactions in 2001–2002 numbered 13,452.

With regard to the second criterion by which libraries are evaluated, on-line resources and collections, the library is able to meet more information needs now than ever before in its history. This is possible for four reasons:

1. The library has markedly expanded its offerings of electronic resources. The development of information technology, the amount of information available electronically, and the phenomenal capacity of on-line searching tools have provided a rich array of resources that were not available 10 years ago through print materials alone.
2. The library materials budget has nearly doubled over the past 10 years, enabling the print collection to grow at a faster rate. The collection does not, however, meet the standards established by the Association of College and Research Libraries for universities the size and character of American University. (Volume count at end of FY2003: 777,000. Goal for collection size according to latest standards available: 1.2 million volumes. The library has been reducing the gap by approximately 20,000 volumes per year.)
3. The library is able to target collection development more closely to program needs after the completion in 2001 of a major collection assessment. Using the WLN Conspectus software, the project defined desired goal levels and present collection levels in 2,400 subject areas. As resources permit, the library is continuing to work to close the gap between collection levels and goals.
4. The library launched a fund-raising program in 1999, which has increased the funds available for the purchase and preservation of library materials. During FY2003, just four years later, that effort had attracted more than 1,100 donors and \$269,800

Whether students find the information they need via the Web, through licensed on-line databases, or in the expanding print collection, they are urged to begin their research through the library Web site. The Web site was completely redesigned in 2001 using state-of-the-art architecture with interactive and expandable capability. It provides access to the ALADIN system, which includes a catalog of print and electronic holdings of eight libraries, and on- and off-campus direct access to e-books and licensed databases. It offers information about the library, an e-mail reference service, subject guides to resources in the library and on the Web, forms for requesting services, and information targeting distance users. Print resources continue to be heavily used by students, who consistently call for more books in the collection. (See Chapter 3, Institutional Resources, for more details regarding the print collection.)

The third criterion of evaluation is the adequacy of the physical plant. AU library facilities, varied in quality and size, are in four locations: the Jack I. and Dorothy G. Bender Library and Learning Resources Center, the Anderson Computing Complex, and the Music Library on the main campus and the Washington College of Law (WLC) Library. The Bender Library

opened in January 1979 and was even at that time one-half the size called for by the library building program. Hence, the building has been outgrown by the print collection (of which 12 percent is relocated to the off-site WRLC Center), by new technology, and by expanded user and staff activities. It is in need of renovation in the short term and expansion in the foreseeable future.

The Anderson Computing Complex, the largest computer lab and computer-based training center on campus, became administratively part of the library in June 2002. This reorganization provides an opportunity for library services to be expanded to the new location and for computer services to be strengthened in several locations. The Music Library will be relocated in 2005 when the arts programs move to the Katzen Arts Center. Its future location is unknown at this time.

The Law Library, which reports administratively to the dean of the law school, moved to its new site in 1996, thereby markedly expanding its space. Its collections primarily serve the curricular needs of the law school and it is open to the university community.

Assessment

Surveys of students concerning the quality of the library indicate a mixed and somewhat inconsistent evaluation. In general, the Campus Climate Survey suggests a growing degree of satisfaction and improvement over the last five years. A second survey instrument, LibQUAL+, and focus group results suggest a lesser degree of satisfaction, particularly with print collections and the quality of the facilities. The university participated in a pilot project testing the Web-based LibQUAL+ survey in 2001 and will use the revised and updated survey in 2003 to further assess student satisfaction (*see* Supporting Document 6.3).

Student response as tracked by the Campus Climate Survey shows that over the past five years the area of most increased satisfaction according to both undergraduate and graduate students is library collections. However, the current level of satisfaction regarding the collections is still below where it should be for an institution that aspires to attract and retain academically successful students. In 1997, 13 percent of undergraduate students rated the collections excellent or good. By 2001, 38 percent of the respondents rated the collection as excellent or good, which is an increase of 25 percentage points. Since 1999, when the survey was first given to graduate students, ratings of excellent and good for library collections have risen 9 percentage points, from 41 percent in 1999 to 50 percent in 2001.

Library facilities are second to library collections in improvement for undergraduates according to the Campus Climate Survey. Excellent or good ratings went up 20 points over the five years, from 39 percent

to 59 percent. For graduate students, library services were the next-most improved after collections. Library services were rated excellent or good by 72 percent of graduate students in 1999 and by 78 percent in 2001, an increase of 6 percentage points.

Technology and Learning

State-of-the-art technology is a basic underpinning for the changes articulated in the 15-point plan. In the earlier (1997) strategic plan several goals addressed the need for high-end computing support, and those goals were met by the (then) Office of Information Technology, the library, and numerous other units on campus. The technological advances made through the 1990s position the university to support learning in the twenty-first century. The programs of the Center for Teaching Excellence, since 2002 responsible for significant aspects of technology that support academic pursuits, help to fulfill points 7 and 9 of the president's 15 points.

Publicly available computers are provided, primarily for students, in numerous locations throughout campus. Except for the computer clusters located in the residence halls, each lab has technical staff to assist students in efficiently using software programs. Training sessions on various software packages and the use of on-line information resources are offered by the Center for Teaching Excellence, e-operations, the library, and faculty as needed in certain courses. This training strengthens students' technical acumen, leads to improvements in their learning and performance, and builds their information literacy skills.

The Center for Teaching Excellence <www.american.edu/academic.depts/provost/teachingcenter/>, provides technical support and training to faculty and staff, enabling them to offer resources for students. The center is charged to facilitate and strengthen effective teaching by faculty and to reinforce relationships between teaching, scholarship, creative activities, and professional practice. It assists faculty and doctoral students in using technology in teaching and in expanding their pedagogical methods. The center works to increase faculty presence in aspects of student life beyond classes and office hours through faculty resident advisors, Saturday brunch with faculty, and other cocurricular activities.

The Center for Teaching Excellence has also been pivotal in the adoption of Blackboard courseware by faculty over the past four years. Through the center's strategic action, the use of Blackboard courseware by faculty across all disciplines has increased dramatically since 2001. (*See* Figure 6.1)

The Washington College of Law incorporates new technologies into its legal education, and its facility was designed with that goal in mind. It offers state-of-the-art network and audiovisual capabilities with more

Figure 6.1
Blackboard Use, Fall 2001–Spring 2003

Blackboard Use	Fall 2001	Spring 2002	Fall 2002	Spring 2003
Number of sections using Blackboard	358	454	656	708
Percent of sections using Blackboard	21%	27%	40%	42%
Number of enrollments in sections using Blackboard	8,708	10,484	15,988	15,520
Percent of enrollments in sections using Blackboard	25%	32%	44%	49%

than 2,000 network ports, numerous smart classrooms, an advanced course management system, in-house curriculum development and training support, and well-staffed, responsive technical support.

The university provides services to meet the needs of students with learning and physical disabilities. Adaptive technology is available in two private rooms in the library and in the Anderson Computing Complex. The technology includes software and hardware. In the library a disabilities services coordinator provides support and training on the equipment as needed. Students with disabilities continue to become aware of adaptive technology and use it increasingly. For example, in FY1999, 17 students used the library's special services rooms for 675 hours. In FY2002, 40 students used the rooms for more than 1,000 hours.

Academic Advising

AU provides comprehensive academic advising for all degree-seeking, certificate, and nondegree students taking undergraduate and graduate courses. Though the principal focus is on advising current students, staff provide academic advice throughout the student lifecycle, from prospective applicants through alumni. Academic advising is directly linked to President Ladner's 15 points through point 10, which focuses on its singular importance.

Academic advice is given by professional staff located in the college and schools who work closely with other campus offices. Academic advising includes contact with students in the following ways:

- individual and group advising on undergraduate and graduate programs and relevant progress toward degrees, administrative requirements, course sequencing, internships, graduation, other campus student resources, faculty research interests and expertise, and specific information on research options and further study
- recruiting, open houses, orientations, and workshops
- providing guidelines, worksheets, and other written materials on program requirements
- communicating with faculty and administration on individual student concerns, scheduling, and enrollment management

- keeping records and reporting data, including responding to reports from the registrar's office about potential student problems and evaluating academic records for awards or academic warnings

Academic advising staff include expert professionals, administrative support staff, and well-trained student assistants. Faculty contribute significantly to advising, particularly for upper-division majors and graduate students. Although responsibility for advising resides in specific college and school offices, there is synergy among academic advisors and the registrar's office, the Career Center, offices of admissions and financial aid, and offices in Campus Life.

Systematic assessment mechanisms have provided valuable information regarding student satisfaction with academic advising. The most consistent instrument is the university Campus Climate Survey. The spring 2001 survey showed the lowest recorded satisfaction level with academic advising. Across college and schools, only 60 percent of the students strongly agreed or agreed that they were satisfied with advising. Based on those results, academic advisors set a collective goal to increase student satisfaction. They created an action plan: procedural changes were made, outreach to students was increased, and advisors focused on providing the best possible service. Frequent training sessions for all advisors improved their knowledge and skills. The 2002 survey results showed improvement, with a 72 percent student satisfaction rate.

The School of Communication (SOC) is one example of changing procedures to increase student satisfaction. In 2000, the Campus Climate Survey indicated that 66 percent of students were satisfied with the advising in SOC. It went down to 62.8 percent in 2001. Preceding that survey, SOC had changed procedures, eliminating walk-in consultations and seeing students on an appointment-only basis during the registration period. As a result of the lower satisfaction rating, SOC advisors changed their policy again to accommodate students on a walk-in basis, and their satisfaction with the service went up to 79.9 percent in 2002.

Some units use surveys and focus groups to supplement the results of the Campus Climate Survey. Deans, faculty, student leaders, and advisors conduct individual and group point-of-service assessments and solicit student feedback on an ongoing basis. For example, as

a result of a focus group several years ago, CAS freshmen are more closely identified with one academic counselor and are encouraged to see that advisor for all the help they need. Registration workshops are organized to make that identification possible, and advisors are encouraged to reach out to students through e-mail.

Assessment reports are also incorporated into various discipline-specific self-studies conducted in recent years for program accreditation. For example, the Kogod School of Business annually assesses its effectiveness through Educational Benchmarking, Inc. (EBI), an independently administered exit survey of student satisfaction used by many AACSB-accredited undergraduate programs. The School of Education conducts student surveys at the conclusion of its programs and surveys alumni in accordance with the requirements of NCATE, the national accrediting agency for education.

Procedures for pursuing a resolution to a complaint or filing a grievance are part of the university's *Academic Regulations*, which are available on the registrar's Web site. Information specific to each college and school is available through its Web site and the student handbook. Most schools and colleges have a committee of faculty and students that hears formal grievances and recommends resolutions to the associate dean or dean.

Office of the Registrar

The Office of the Registrar, <www.american.edu/american/registrar>, provides the academic community, and students in particular, with many services and resources. Its mission is shaped by President Ladner's 15 points, specifically point 2, which calls for a smaller university with fewer programs and staff, and point 5, which calls for a reduction in operation costs and an increase in operational efficiency.

Services provided by the Office of the Registrar include:

- publication of the university catalog
- publication of the *Schedule of Classes*, including up-to-date information on the Web
- student registration and add-drop activities available on the Web, with walk-ins welcome
- enrollment verification and early warning rosters accessible to faculty via the Web
- grade rosters accessible to faculty for electronic submission; grade monitor access for deans
- official and unofficial transcripts to students with their authorization
- written letters of certification per student authorization
- management of the student evaluation of teaching process
- degree audit reports and unofficial transcripts, via the Web, for students and advisors

- determination of student eligibility for graduation
- maintenance of the integrity of student academic records
- student enrollment and discrepancy reports and ad hoc reports for deans
- data management and clean-up, including user training for Colleague and the Web
- liaison with academic and administrative offices to address individual student concerns

During the past two years, the Office of the Registrar, e-operations, and e-administration have worked to ensure that the needs of clients are being met in the most efficient manner possible. For example, with spring 2002 priority registration in October 2001, Web registration and add-drop were made available to all returning students through their student portal, <my.american.edu>. What had been accomplished through mass mailing became an e-mail exchange.

In spring 2002, faculty were introduced to electronic versions of their enrollment verification and early warning rosters, which provide faculty real-time information about their course section enrollments and attendance. Electronic submission of final grades followed in April 2002. Once an instructor has entered the final grades and submits the roster, students have immediate access to their grades through the student portal. Deans can oversee the submission of final grades, as well as access several other reports. Compliance is high, at 96 percent (internships, coops, and independent student courses make up 4 percent).

In 2001, the university upgraded the degree audit system to the newest version of DARS, called DARwin. With the development of the portal and Advising Wizard, advisors and faculty gained immediate on-line access to DARS reports. Now undergraduates can track their progress in real time from the time of their initial registration through graduation. More graduate programs are scheduled to use DARS in the near future. In 2001, the Office of the Registrar also implemented Colleague's communications management feature with the goal of providing better communication with applicants for graduation.

A newly developed Web-based application that supports the transcript process was implemented in spring 2003. This new transcript application, accessible through the portal, cuts manual labor practically in half for staff and significantly reduces processing time. The automated transcript system includes a transcript monitor, which keeps track of mailing addresses and when transcripts are printed and mailed.

The 2002 Campus Climate Survey revealed that undergraduate and graduate students agree that the Office of the Registrar has shown marked improvement since 1999. Responses about "efficiency of the

registration process” from undergraduates show an improvement of 45.2 percent since 1999, and from graduate students an improvement rate of 32.5 percent. Responses about “courtesy and helpfulness” from undergraduates showed an improvement of 13.9 percent since 1999 and from graduates an improvement rate of 10.6 percent. Remarks contributed through the registrar’s suggestion box have been positive and very useful for initiating enhancements to processes and procedures.

Career Centers

AU Career Center

The Career Center, <www.american.edu/careercenter>, serves undergraduate and graduate students and alumni, excluding law and graduate business students. Its services relate directly to university success in meeting President Ladner’s 15-point plan, particularly points 3 and 6. Reporting to the dean of academic affairs in the Office of the Provost, the center is a centralized unit offering a full range of career development services. Its major units are internships, career development, employer outreach and marketing, and the Office of Merit Awards. Twenty-four full-time staff, four part-time staff, and 20 part-time student staff keep the center open 46 hours per week throughout the calendar year.

In 2002–2003, 6,300 students met individually with career center advisors, more than 11,400 students attended Career Center programs, including more than 2,000 students who attended the two job fairs. Of the more than 1,100 students who registered for academic internships, half visited the internship advisors for help throughout the process. In general, 75 percent of AU undergraduates report that they have completed at least one internship or co-op by the time they graduate, and these experiences are among the most visible manifestations of students’ engagement outside of the university. The greater Washington, D.C., community is aware of AU’s strong internship programs, and the Career Center receives thousands of internship and job listings a year from employers wishing to recruit AU students. In 2002–2003, 6,500 internships and 7,800 full-time positions were posted for AU students on the Career Center Web site.

The Career Center is organized into teams to serve the specific needs of students in each school or college. Advisors are knowledgeable in core academic content, field application (internships and jobs), and career and internship advising. In collaboration with these units and the AU Abroad Program, the center works to expand experiential learning opportunities in Washington and beyond and to reward appropriately the faculty who supervise for-credit, experiential options. Faculty moderate panels, mentor national merit award applicants, serve on award review committees, supervise interns and meet with their employ-

ers, and join center staff on employer visits. Cross-functional teams also operate regularly or on an ad hoc basis in order to focus on specialized areas, such as employer workshops on the Americans with Disabilities Act and hiring international students.

In recent years the Career Center has increased its services to first- and second-year undergraduate students. A career decision-making workshop guides freshmen and sophomores who are unclear about a career path or academic major through a highly structured decision-making process. Self-assessment tools are available to assist students in this effort. Additionally, through peer advisor and staff presentations and workshops in residence halls, classrooms, and around campus, the center provides numerous opportunities for students to assess their interests, skills, and values in relation to their career goals and academic experience.

The Office of Merit Awards, housed in the center, helps attract and retain students of high academic achievement and promise. It serves primarily undergraduate students in search of nationally competitive internships, graduate school fellowships, and such awards as the Truman, Marshall, Fulbright, Boren, Goldwater, and Udall scholarships. The volume and quality of service provided to students has greatly increased over the past five years. Working collaboratively with the University Honors Program and faculty, the director identifies students eager to pursue nationally competitive awards and engages AU faculty to mentor students over many months of application preparation. In 2003, this office and the faculty it recruited mentored five Truman Scholarship finalists, more than any other university in the United States. Graduate student applicants also work with this office, especially those pursuing Fulbright and Boren fellowships.

Alumni have access to the Career Center for their own personal and professional improvement. Alumni networking events and the AU alumni on-line community allow students to “meet” alumni and explore how to translate their academic studies into careers. In addition, student-alumni receptions and alumni career advising help to cultivate alumni for the development campaign. A large percentage of employers of AU interns are AU alumni.

Finally, the center manages the off-campus federal work-study program for the university, arranging for students to use financial aid awards to work in community service sites and to tutor throughout the D.C. metropolitan area. Students working off campus earn between 10 percent and 12 percent of the university’s annual federal work-study award (seven percent is mandated).

In terms of assessment, students complete an on-line, anonymous questionnaire after each advising appointment and evaluations after each workshop, job fair, or panel presentation. Satisfaction with services is 99 percent positive in point-of-service evaluations; “excellent

and good” responses in the Campus Climate Surveys are in the 61 percent range. The center uses open-ended comments from the Campus Climate Survey to better understand student concerns and improve services. For example, after reviewing survey results the School of Communication and Career Center discussed changing the way career services were delivered to students. Led by the complete cooperation of the dean, the Career Center increased the staffing devoted to that school and partnered intensely with SOC faculty and staff throughout the year. AU’s Campus Climate Survey results provide evidence that the partnership is on the right track. Satisfaction with career advice for undergraduates went from 50% in 2002 to 66% in 2003 and for graduate students satisfaction went from 8.3% to 50%. Similar improvements occurred in the areas of “internship listings and advice” and “links with alumni”.

The Career Center also uses the AACSB Undergraduate Business Student Exit Survey to better understand KSB students’ needs and concerns. While some of the results are positive, the survey shows dissatisfaction in relation to comparison schools on two key indicators for business rankings: the quality and the quantity of employers recruiting Kogod undergraduate students on campus. The KSB Assistant Dean for Undergraduate Programs is working with the center’s assigned KSB staff to improve employer outreach and to communicate the center’s programs and services to students and faculty.

KSB Graduate Student Career Services

In the Fall of 1996, responsibility for Graduate Career Planning and Placement for students in the Kogod School of Business graduate programs was shifted to the school. This transfer supported ongoing KSB efforts to become more student-centered in providing services to its graduate students – especially MBAs. This also reflected an increasing trend for the top MBA programs to bring career planning and placement into the business school. It is well appreciated by the Kogod School and AU leadership that MBA placement statistics are a critical component of most of the major MBA quality rankings. In fact, the Wall Street Journal Ranking of Global MBA programs uses a survey of Corporate Recruiters to rank the quality of business schools. As a testament to career services success, in its latest survey the Kogod MBA program was ranked 42nd in the world in terms of quality and was the only DC area private University to make the top 50.

Washington College of Law Career Services

The Washington College of Law Office of Career Services (OCS) counsels students and alumni regarding career planning and job search strategies. There are one part-time and six full-time career advisors, all of whom formerly practiced law. Areas of specialized counseling include judicial clerkships, public interest, private prac-

tice, government and alumni counseling. OCS coordinates two formal recruitment programs per year. Law firms, government agencies, public interest organizations, trade associations, corporations, and other organizations are invited to interview students on campus or to receive student resumes for review. In addition, employers regularly list employment and internship opportunities with the office. OCS also participates in numerous minority and public interest job fairs, and intellectual property recruiting conferences.

OCS has made impressive strides since the last self-study. Specifically, the number of employers coming on campus to recruit WCL students has increased over 100% (from approximately 60 in 1995 to 121 in 2002), and the 9-month post-graduation employment rate for our graduates during this period has dramatically increased from 77% to 86% in 2002.

1. Recruitment Initiatives

The fall recruitment program is organized into three separate methods for recruiting law students: (1) employers receive resumes from interested students and then spend a day interviewing students on-campus; (2) employers receive resumes from interested students, but contact students directly for interviews at their offices; (3) students individually apply to employers who have indicated an interest in receiving WCL student resumes. In 2002, a total of 371 students were recruited through one of these methods. In Spring 2002, OCS invited 3,000 local and national employers to interview WCL students. These included public interest organizations, trade associations, consulting firms, corporations, and small firms. The effort resulted in 258 employers requesting resumes of WCL students.

2. Outreach to Employers

Over the past eight years, OCS has undertaken several major initiatives aimed at raising the visibility of the law school and its students among both the local and national legal communities. The goal of this campaign is to inform the legal community about the many exciting changes that have positively affected the school and the student body, and to entice legal employers to recruit and hire WCL students. This campaign has included the publication of numerous brochures that highlight the strengths of WCL students to potential employers.

In addition, OCS has engaged in traditional and new media outreach. For example, WCL launched a radio campaign designed to bring major regional exposure to WCL’s programs, scholarship, and graduates. We know of no other law school in the country to address its audience through this medium, and feedback from legal employers and alumni alike has been uniformly positive.

3. Outreach to Students

Throughout the year, OCS receives numerous job announcements for experienced attorneys, part-time law

clerks, unpaid interns in public interest organizations, and clerks for local judges. The office maintains a searchable web-based job listing database that enable users to gain access to daily information on these job listings, internships, and related announcements. The following statistics reflect the number of employment announcements received by the OCS during calendar year 2002.

Type of Listing	Number of individual employers
Paid student positions	360
Attorney (0+ years experience)	989
Volunteer Internships	190
Federal Judicial Clerkships	8
State Judicial Clerkships	32
Fellowships	115

In response to OCS outreach, we now have over 500 WCL alumni in our Alumni Mentor Network, a program designed to offer advice to students and alumni. The office created a mentor database divided by geographic and practice areas. Hard-copy binders, containing mentor information, are available to students in the OCS. Mentors are also available through e-mail.

4. *Employment Statistics*

WCL's OCS has improved employment statistics gathering over the past eight years. Statistics for employment nine months out and at graduation continue to show a noticeable improvement in the number of students employed. For example, approximately 84% of the class of 2002 were employed at graduation compared to approximately 65% of the class of 1998.

Alumni Services

Loyal alumni are the most fruitful source of financial support through charitable giving to the university. Efforts to engage alumni in student experiences and in life-long university activities are helping to fulfill point 1 of President Ladner's 15-point plan, which states that the university "will undertake and complete the largest and most successful fund-raising campaign in AU's history." Generally, outreach activity to alumni is coordinated by three full-time staff in the alumni programs office, <www.alumni.american.edu>, in the Office of Development. The Career Center and the college and schools also engage alumni in the academic mission of the university by including alumni speakers in classrooms and connecting students to alumni who offer internships, advice, and mentoring.

During the past five years, opportunities for students to interact with alumni have increased, including senior class gift activities, career networking events with students and alumni in conjunction with career services, and a student-alumni association. Reunion Weekend each fall focuses on alumni, particularly those marking

particular years since graduation. In 2002, Homecoming (traditionally a student-sponsored weekend) was combined with Reunion Weekend in order to promote interaction between students and alumni. Additionally, alumni are involved in the admissions process and play a vital role in their work with prospective and newly accepted students. Last year, alumni hosted more than 15 send-off receptions for newly admitted students in various regions of the country.

The growth in the size of the senior gift is one indication of success in cultivating new alumni. In 1998, \$9,083 was raised by the senior class for the gift (lamp posts), with 193 seniors contributing. In 2001, \$49,823 was raised with 259 students participating (cyber café). In 2002, \$40,622 was donated by 112 students (memorial plaque). The goal is to assist the students in choosing a gift that appeals broadly to the student body and to work with them in the fund-raising process to increase the amount raised for the gift each year.

The number of alumni who volunteer to assist students with career advice and internship opportunities and to serve as role models also continues to grow. For example, in FY 2000, 145 alumni participated in three career-networking receptions held for students on campus. So far in FY2003, 250 alumni have participated in five such career-networking receptions. The alumni on-line community, to which students have access, has more than 12,000 registered alumni members, of which a total of 1,794 have offered to speak on panels, offer career advice, hire interns, recruit at job fairs, and more.

The alumni participation rate in annual giving; the extent to which alumni, particularly recent graduates, become involved in alumni chapter activities; and the success of the senior class gift are all measures of the success of services offered to students. As students interact with alumni earlier in their AU career, in some cases even as they are in the process of making the decision to attend AU, the university hopes to strengthen the lifelong relationship it has with alumni. The alumni participation rate has grown from 10 percent of alumni giving in 1998 (about 7,400 alumni) to 17 percent of alumni giving in 2003 (about 12,100 alumni).

Additional Academic Support Services

Academic Support Center

In order to facilitate academic inquiry, the Academic Support Center (ASC), <www.american.edu/ocl/asc>, part of the Office of Campus Life, provides individual academic skills counseling, workshops, referral to peer tutors, supplemental instruction for high-risk classes, writing assistance, services for students with learning disabilities and attention deficit disorder (approximately 300 per year), services for student-athletes (an ASC counselor is based in the Department of Athletics), consultation and outreach to the university community, and related materials and Web resources.

The ASC is housed in space newly renovated for its purposes in 2002 and is in a high-traffic area, a location which facilitates students' awareness of its services. The ASC serves all students at the university, and the demographics of the users approximate the university's student profile in terms of racial and ethnic diversity. In AY2001–2002, 763 students were seen by a counselor on an individual basis (4,073 sessions). There were 6,040 contacts with ASC staff in other services, such as workshops and supplemental instruction sessions.

The ASC sends an evaluation form each April to students who have seen a counselor or requested a tutor; 99 percent rated the overall service as good to excellent on the 2001–2002 survey. On the Campus Climate Survey, administered to students each spring, 78 percent of undergraduate respondents rated services as good to excellent on the AY2001–2002 survey. In terms of retention, 43 percent of respondents to the ASC survey said that the ASC helped them to stay in school. Of those, 92 percent said that the services were important or essential in their retention. Grievances from students with disabilities are referred to the 504/ADA compliance coordinator, and complaints from other students are handled through administrative remedies.

Writing Center

Managed by the Department of Literature in the College of Arts and Sciences, the Writing Center is closely aligned with the academic mission of the university. It provides high-quality, collaborative coaching in writing to all AU students, both graduate and undergraduate. In AY2001–2002, the Writing Center provided 1,699 sessions for 607 students. More than half of these sessions were with international students. It offers 96 tutor-hours a week, and its staff is composed of 16 student tutor-consultants and a full-time staff associate director. Tutor-consultants receive extensive training and support; they meet weekly in the fall semester and bi-weekly in the spring for training and supervision sessions. In 2001, the Writing Center moved into newly renovated space and is conveniently located in the new home of the College of Arts and Sciences.

The Writing Center assesses its services through surveys administered to all users a few weeks before the end of the semester, and results are used to improve services where indicated. Tutor-consultants also fill out evaluations of center operations, which lead to improvements in training staff. The center adheres to the university's academic grievance procedures, and promulgation of the university's Academic Integrity Code is inherent in its work. The associate director fields complaints that are appropriate for administrative remedy.

Language Resource Center

Housed in the Department of Language and Foreign Studies, the Language Resource Center (LRC),

www.american.edu/lfs/lrc, supports AU's mission as a global university by complementing language study. It enhances students' ability to increase their language proficiency and cultural awareness through pedagogical support to faculty for technology-enhanced instruction and through programs and services offered by the LRC itself. These include the use of advanced technologies in audio, video, film, computer, and satellite communications. For example, the LRC offers continuous foreign language news, popular programming in a number of languages, and satellite downlinks to residence halls, Bender Library, and other locations via campus-wide cable. In addition to holdings, both print and electronic, that support classroom study in nine languages, the LRC offers tutoring in these languages. It also administers language placement exams and the tool-of-research examinations for master's and PhD candidates to demonstrate foreign language proficiency.

The LRC is staffed by one full-time director, 13 part-time students, and 11 language tutors. This staffing pattern creates a challenge in implementing projects that require continuity, but it does allow for extended hours of service, including nights and weekends. In the future, facilities need to be upgraded and functional spaces need to be enlarged and reconfigured. Students are encouraged to use a comment and suggestion box to provide point-of-service feedback; faculty work closely with LRC personnel to recommend changes or improvements; and weekly staff meetings provide a forum for discussion of these recommendations and for planning implementation.

Mathematics and Statistics Tutoring Lab

The Mathematics and Statistics Tutoring Lab supports high-quality mathematics and statistics undergraduate offerings and provides limited support for graduate offerings. It makes it possible for students with a variety of backgrounds to succeed in mastering quantitative concepts. Services include equivalency and placement testing, tutoring, and sessions to introduce students to statistical software.

About 1,500 students a semester use the lab, with fewer students using it during summer sessions. All incoming freshmen and transfer students who do not complete placement testing during orientation are tested in the lab once the semester begins. About 100 students a year take an equivalency exam. Lab staff advise students about the courses they should take and how to deal with difficulties they encounter. Staff work closely with academic advisors to be sure students are placed in appropriate classes.

More qualified tutors and more space for the lab as well as more computers in the lab itself are goals to improve service. Complaints about service are rare, however. There are about 10 a year, typically handled by the director of the lab, who can often make adjust-

ments in service to address the students' concerns. When students have difficulty in courses, the staff look at the extent to which students have used lab services as an indication of whether lab services are effective. They also look at the success rate of students who follow staff advice about appropriate placement compared to those who do not as a way of assessing the effectiveness of placement procedures.

STUDENT SUPPORT SERVICES

Office of the Dean of Students

Supporting the university's mission as a values-based institution and a caring community, the Office of the Dean of Students, <www.american.edu/ocl/dos>, offers programs and services that foster students' growth and development, communicate the values and standards of the AU community, and advocate for students' interests. The office also provides weekly communications to parents of freshmen, a newsletter for parents, and programs for parents attending special events. Programs and services include a comprehensive Greek life program (see Campus Life, *below*); advisement of two honor societies; support services for new transfer students; and joint programming with other units to address issues such as alcohol and drug use and sexual assault.

The dean's office is frequently involved in addressing student concerns and managing crises. In AY2001–2002, there were 245 significant student issues brought to the dean's office for resolution. These cases often involve multiple offices and may fall into several categories of concern, such as financial matters, counseling issues, health-related problems, and neighborhood concerns. Crises may include suicide attempts and high-profile judicial cases. When students are transported to the hospital for possible alcohol or drug use, each of them meets with the associate dean for discussion, referral, and parental notification. As assistant vice president in the Office of Campus Life, the dean of students also supervises the seven units composing the Student Learning and Development Cluster. The missions of these units are closely aligned with that of the Office of the Dean of Students; this synergy contributes to a seamless experience for students.

Assessment occurs through point-of-service surveys for specific programs and through feedback from students and families who bring issues to the office for resolution. To address alcohol and drug issues on campus, the office administered the Core Alcohol and Drug Survey for the first time in the spring of 2002. Widely used nationally, this survey provides valuable information about students' actual use, perceptions of use, and attitudes about some aspects of campus life. The results are informing the work of a university-wide task force which the dean has convened to address policy implications of the data, enhanced programming, increased involvement of faculty in these issues, and improved methods of communicating information to students.

Counseling Center

The counseling and consultation-training services of the Counseling Center, <www.american.edu/ocl/counseling>, support students' academic and personal development and retention at the university. Services offered include counseling services for students; training and consultation services to students, staff, advisors, and faculty; clinical supervision and training to graduate students; and limited psychiatric services. The center serves all students in the university community, although ongoing counseling is limited to full-time students. The demographics of users approximate the demographics of the AU student population in terms of racial and ethnic diversity. As is true of counseling centers nationally, the center serves a somewhat disproportionate number of undergraduates and women. The center is located in newly renovated space close to the hub of student activity but removed enough to ensure confidentiality. In AY2001–2002, 850 students participated in individual counseling, and 1,150 students, staff, and faculty participated in groups and workshops. Twenty-six graduate students participated in clinical training, including interns who were the first cohort in the process of establishing an internship program approved by the American Psychological Association (approval expected in AY2003–2004).

Consistent with national trends, the Counseling Center has seen a dramatic increase in the demand for services (a 40 percent increase between AY1997–1998 and AY2001–2002). Additionally, there is an increase in the complexity of issues students present, often resulting in more emergency interventions (a 93 percent increase between AY1997–1998 and AY2001–2002). Part of the increase in demand may also be attributable to a change in service delivery which began in 1998. The center has greatly increased its consultation and outreach activities and thus its visibility. Evaluations of the center reflect these trends. The center surveys all users and typically receives positive ratings for the quality of services (average ratings for quality of care are in the good to excellent range) and its impact on retention (58 percent of respondents report that counseling helped them to stay in school). However, ratings about the quantity of service are less positive; 31 percent of the respondents rate the quantity as poor to insufficient. (*Quantity* refers to ongoing counseling and specialized services since all other services are readily available.) This concern about the quantity of service may depress student satisfaction as reflected in the undergraduate Campus Climate Survey for AY2001–2002; a global measure of satisfaction on this survey indicates that 63 percent of respondents rate the services as good to excellent. To compensate for the limited availability of ongoing counseling and specialized services on campus, the Counseling Center staff has developed a referral process

for extensive off-campus resources and facilitates a student's connection with these services. Students with grievances may seek assistance from the director of the center or the relevant professional organizations of the counselors. All clinical training programs have specific grievance procedures for participating trainees.

Student Health Center

The Student Health Center (SHC), <www.american.edu/ocl/healthcenter>, supports students' academic pursuits by ensuring that they have access to quality medical care and live in a university environment that encourages healthy lifestyles. Its activities are particularly relevant to point 15 of the president's 15-point plan, "We should take seriously our responsibility to encourage physical fitness throughout our community." The coordinator of health education at the SHC serves as the cochair of the Wellness Project Team, which reports directly to the vice president of campus life and is charged with implementing this point. Achievements to date include an assessment of physical activity among entering students (data which can serve as benchmarks for measuring future progress) and the development of a plan to expand intramural sports.

The health center provides acute medical care, gynecological and reproductive health care, minor emergency treatment, immunizations, allergy injections, and health education. It is also responsible for the university's mandatory health insurance program and for compliance with District of Columbia immunization requirements. There is an organized community network of providers and hospitals that supplements its work. In AY2001–2002, the center had 12,768 contacts with students who came for services such as office visits with providers, referral to specialists, and routine injections. Evaluations of services among users are positive; on an internal survey, 95 percent of respondents said that they were satisfied or very satisfied with their overall experience at the health center. These results are markedly discrepant from the results typically obtained on the Campus Climate Survey (in the same year, 32 percent of the undergraduate respondents rated the health center's services as excellent or good). Grievances are typically handled by the center's director, with involvement of the dean of students when necessary.

The discrepancy in these ratings speaks to long-standing problems with the center that the university has begun to address. It is located in an older building on the edge of campus, has inadequate space, and is funded through allocation funding in an era when students and families expect services that exceed what is possible with this funding model. Consequently, students in general are intensely negative about the center because of its location and limited hours and services. The university has identified space on the main campus that will more appropriately house the Student Health Center and is examining funding options to

provide for such highly desired services as expanded hours and increased physician coverage. The expectation is that the Student Health Center will be relocated and redesigned by fall 2004.

Judicial Affairs and Mediation Services

Judicial Affairs and Mediation Services (JAMS), <www.american.edu/ocl/jams>, emphasizes developing students' sense of responsibility and supports the university's mission as a "values-based institution" (point 11). In 1999, the Student Conduct Code was entirely revised to better achieve these objectives and to streamline its procedures. Experience since is that the new code, developed with university-wide consultation, is succeeding. Minor cases are heard in disciplinary conferences with one hearing officer; cases in which student status is at stake are heard by the Conduct Council, a community review board consisting of faculty, staff, and students. In AY2001–2002, there were 940 cases adjudicated, and about two-thirds of the charges resulted in findings of responsibility. After completing discipline procedures, students fill out an evaluation form. Evaluations are typically positive, especially in relation to the fairness of the process.

As is true on campuses nationally, AU struggles with alcohol and drug use among its students. In fact, 63 percent of the cases heard by JAMS in AY2001–2002 were alcohol or drug related. The JAMS staff has instituted a number of measures to address these issues among those who violate the Student Conduct Code. Minor violations result in mandatory participation in an on-line alcohol education program, more major violations result in mandatory attendance at a 7 1/2-hour alcohol and drug education class with a trained counselor as the instructor, and repeat violations result in a mandatory assessment off campus with the requirement that students complete all recommended treatment. A pilot program, made possible through grant funding, has been instituted to provide one-on-one intervention at an earlier stage. Initial results are promising in preventing repeat violations. Over time, given staffing constraints and the mission of JAMS, these programs need to move to the health education program in the Student Health Center once it is relocated and its services redesigned.

International Student Services

All of the activities of the International Student Services (ISS) office, <www.american.edu/ocl/iss>, support the university's mission as a global university. In particular, the staff ensure that international students are in compliance with INS regulations and are acculturated to the university and the U.S. educational system. The office works closely with faculty, staff, and students to educate them about the needs of international students and to increase cultural awareness. It achieves its goals through such programs and services as orientation, immigration advising, intercultural programs, and cross-cultural

training. In AY2001–2002, ISS issued documents for 734 newly enrolled international students, and there were 9,925 walk-in visits to the office for a variety of services. There is a point person in the office designated to hear student complaints, and students are guaranteed a response within 24 hours. The office conducts focus groups and uses surveys to assess student satisfaction. Responses are used for service improvement where necessary.

The university has experienced a decline in its international enrollment in recent years. Part of the decline is attributable to the increased competition for international students among peer institutions and community colleges. ISS expects to support the enhanced recruitment efforts that other divisions in the university are undertaking. The university enrolls a significant number of students from the Middle East and may be experiencing a drop-off in enrollment attributable to 9/11. Post-9/11, ISS was universally lauded both on and off campus, with extensive media coverage, for its efforts to support international students. In winter 2003, ISS also received extensive media coverage for its implementation of the new INS tracking system, SEVIS; the ISS program, given its student friendly approach and its accessibility, has become a model for other campuses nationally.

Multicultural Affairs

Multicultural Affairs, <www.american.edu/ocl/oma>, supports the university's mission by advocating for equity and equal access. It provides programs and services that promote a campus community which embraces multiculturalism, celebrates diversity, and fosters positive interaction among all students. Specifically, it provides welcoming and nurturing opportunities for African, Asian, Hispanic-Latino, and Native American students (together comprising approximately 17 percent of the AU student body) and engages them in the life of the campus and the community. Programs include STEP, an intensive summer program for multicultural students (approximately 35 a year); HI/SCIP, for D.C. high school students who wish to take college courses; the Frederick Douglass Scholars program, which provides scholarships and academic support to high-achieving multicultural students (approximately 30 per year); a mentoring program for newly enrolled students; and significant cocurricular activity including theme months, such as Black History Month and Hispanic Heritage Month. Awards recognize students' academic achievement and leadership in the university community.

Multicultural Affairs tabulates office visits as one indicator of its utility to students; there were 2,882 visits in AY2001–2002, a 42 percent increase over the previous year. This increase was partially attributable to a move into newly renovated space in a high-traffic area and to additions to staff. While the new location is cer-

tainly welcome, the office has less space than it did in its prior location and there is less room for students to congregate. Staff also survey students in all of the programs to determine their level of satisfaction; in the same reporting year, students' overall satisfaction was 4.4 on a 5-point scale, with 5 being very satisfied. Retention rates for students enrolled in programs sponsored by the office are typically higher than retention rates among the general population. The office is supported by an advisory board consisting of faculty, staff, and students. Students with grievances typically seek redress from the director of the office or the supervising assistant vice president.

Gay, Lesbian, Bisexual, Transgender, and Ally Resource Center (GLBTA)

The GLBTA Resource Center, <www.american.edu/ocl/glbta>, supports the university's mission as a values-based institution, emphasizing values such as human rights and dignity, social justice, diversity, and individual freedom (point 11 of the 15-point plan). It enhances the student experience through outreach to prospective students; programming for all members of the campus community; co-programming with other offices; and advocating for students' interests. It provides celebratory events to recognize students' achievements while they are enrolled and reaches out to alumni once students graduate. In AY2001–2002, there were approximately 50 visits per week by students, faculty, and staff; 11,350 hits to the Web site; approximately 10 peer education programs; 25 programs open to the university community; Safe Space training programs for a variety of audiences; 347 items checked out from the library of more than 1,100 sources; and more than 300 people on the office listserv.

Staffed by one full-time coordinator and nine students, the center occupies newly renovated space that provides private office space, workspace, and lounge-library space. It is in need of administrative support and a larger operating budget in the future. The coordinator evaluates center services through utilizations statistics, program evaluations, participation rates at events, and occasional surveys on pressing topics. Grievances are handled on a case-by-case basis, and students are referred to appropriate offices to resolve grievances that are violations of university policy.

Disability Support Services

Disability Support Services (DSS), <www.american.edu/ocl/dss>, works with individuals who have permanent or temporary physical, medical, or psychological disabilities to promote their full participation in academic programs and campus activities. The university's values of equity, equal access, and fostering diversity are embodied in its work. It achieves its mission through the provision of accommodations for students, staff, and faculty; training for all members of the university community; awareness programming;

and consultation and referral, where necessary. Approximately 100 individuals with disabilities are served every year by this office, which is staffed by a full-time director, a full-time administrative assistant, and a part-time assistant. The office is located in newly renovated space in close proximity to the Counseling Center and the Academic Support Center, with which it has highly collaborative relationships.

DSS evaluates its services through an annual user survey and uses this information to adjust services accordingly. A university-wide Disability Compliance Project Team monitors services to individuals with disabilities and provides suggestions to DSS, among other compliance responsibilities. The office also has a student advisory board. Students with grievances are referred to the university's Section 504/ADA coordinator (a service provided by the director of Judicial Affairs and Mediation Services), although many grievances are handled informally as the director of the office works with faculty, staff, and students to determine effective and reasonable accommodations.

CAMPUS LIFE

While all the programs and services described thus far promote the engagement of students in campus life and beyond, those that follow are particularly important in achieving this goal. From the time of orientation, students are encouraged to seek out opportunities for leadership development and community service, whether as undergraduates or graduate students. The campus and the community are rich with opportunities for involvement and making a difference. AU students are known for both of these commitments.

New Student Programs

New Student Programs, <www.american.edu/orientation>, supports the mission of the university through introducing new students, particularly undergraduates, to its values and traditions. Academic advising and exposure to faculty in each of the schools and colleges are key components of its programming. Families are included in these efforts through such activities as parent orientation and Family Weekend, which typically registers about 1,200 participants. During the summer of 2002, 1,034 freshmen (approximately 80 percent of the class) and 950 parents went through one of five summer orientations. A cadre of student orientation coordinators and leaders are the backbone of staffing for the program under the leadership of a full-time director and a full-time program assistant. About 800 students participated in Welcome Week, a program of experiential learning and social opportunities. This week also includes a brief orientation for freshmen who were unable to attend the summer sessions, an orientation for transfer students, and a joint orientation with International Student Services to integrate international and domestic students from the outset of their college experience. In place of the

graduate orientation it once offered, New Student Programs has developed a Web site to provide basic information to graduate students and has assisted schools and colleges in developing their own orientations for this population.

Evaluations are done at the conclusion of each orientation, and results are used to make adjustments in the future. Students and parents give orientation high marks. Survey instruments have remained constant in the past few years so that staff can monitor trends over time and adjust programs accordingly. While complaints are rare, problems are handled by the director and her student staff, who are well trained in customer service.

Housing and Dining Programs

Much of the activity that occurs in the residence halls supports the university's commitment "to the development of thoughtful, responsible human beings in the context of a challenging yet supportive academic community" (Statement of Common Purpose). Approximately 3,500 students are housed in 10 residence halls. The halls provide an environment conducive to study, opportunities for faculty-student interaction outside of the classroom, co-curricular programming through resident assistant floor programming, and relationships with residential life staff that foster open communication and referral to appropriate campus services when necessary. Dining programs build community and offer students healthy choices as well as a variety of food options tailored to AU's diverse student body. Financial services, such as EagleBuck\$ (a one-card program), and a variety of housing options, including apartment-style living, prepare students for responsible living after they graduate. Off-Campus Housing provides students with a comprehensive Web site of rental listings and information about such topics as tenant-landlord relationships and the housing search process. Several special-interest housing options exist, including a community service floor, honors floors, and a hall for students interested in international-intercultural experiences. A pilot faculty-in-residence experiment is currently under way in Anderson Hall.

Residential Life and Housing Services became Housing and Dining Programs, <www.american.edu/ocl/housing>, in June of 2002 when the Office of Student Services became the Office of Campus Life (point 12 of the 15-point plan). This was not just a name change—this new entity represented the outcome of an assessment of how services were being provided to students in some fundamental areas (point 5). There was a bifurcation in service delivery that was sometimes confusing to students and inefficient administratively. A task force developed recommendations that, once approved, resulted in Housing and Dining Programs assuming responsibility for all student housing; aspects of dining services, including

marketing and contracting of student meal plans; shared responsibility for management of the overall program; and management of the one-card program, EagleBuck\$, and laundry services. All these programs and services are evaluated through voluntary customer feedback forms, an annual evaluation of the room selection process, evaluation forms available at floor events, and the Campus Climate Survey. These results are used to improve services when necessary. For example, the Campus Climate Survey has pinpointed customer service problems in some areas that are being addressed through intensive training. The executive director is available to help students solve grievances and complaints. While some students believe that the process is cumbersome, there is a formal process for grieving provisions of contracts and leases.

University Center and Student Activities

Another key element in achieving point 12 and point 5 of the 15-point plan is developing the University Center concept. The University Center, <www.american.edu/ocl/uc>, like Housing and Dining Programs, has “consolidated campus services designed to enhance campus life generally for students, faculty, and staff” in order to provide “more effective and efficient services to students in particular.” The center has acquired all event scheduling on campus; it has developed a student-centered event service team; and it is leading a project team dedicated to cross-functional, consensus decision making. In AY2001–2002, 947 room requests in Mary Graydon Center were filled, and more than 50 major events, such as those involving guest speakers or artists, were staged.

Student Activities, <www.american.edu/ocl/activities>, contributes a good deal to the university’s mission as a values-based institution that fosters diversity. Student activities fees are distributed through a student-run, democratic process that serves as a crucible for students debating both the politics and the merits of resource allocations to various initiatives. The range of student organizations along multiple vectors—race or ethnicity, sexual orientation, politics, religion, social issues—is wide and participation is deep. In AY2001–2002, there were 122 recognized student organizations advised by Student Activities, and a van service run by students made 969 trips in that year in support of student projects and activities. Leadership programs and training opportunities help students develop the skills they need to achieve the goals of their organizations and help to prepare leaders for the future.

Many student organizations also help students to gain practical experience in their field of study. The Kennedy Political Union, one of the oldest and most respected student-run speakers bureaus in the country, hosts individuals such as Bob Dole, Tipper Gore, and Coretta Scott King; receptions with these individuals allow for discussion and debate. Media such as the

Eagle campus newspaper and ATV television help students apply the skills they learn through the study of communication. Undergraduate Student Confederation members learn campaign management and other political skills. Students are also represented on nearly every university-wide governance group, where they gain understanding of the functions of a complex organization.

Graduate students are represented among these programs as well as undergraduates. The Graduate Student Association became the Graduate Leadership Council (GLC) in spring 2003, a reorganization which gave more resources to Graduate Councils in each of the schools and colleges while maintaining campus-wide functions for the GLC itself. These functions include awarding grants for research projects, planning social events, cosponsoring events with other organizations, and advocating for graduate student interests.

The university has historically dedicated few general funds to support extracurricular programming and leadership development through Student Activities, relying on the student activities fees administered by the graduate and undergraduate student governments to address student interests and needs in these areas. As the university’s extracurricular program becomes more sophisticated and expectations increase for programs that complement the curriculum, more resources are needed to fund staff-initiated programs carried out in collaboration with students.

The University Center concept is still evolving to include the three-building footprint of the Mary Graydon Center, Butler Pavilion, and Bender Arena. While staff have been added to manage campus-wide scheduling, there is still a need to improve the funding for event support since many events have set-up and technical needs that cannot be met efficiently. There is also not enough programming space on campus to meet the high demand, thus necessitating the use of classrooms and arenas for events that would more appropriately be housed elsewhere. Future renovations need to include this type of space.

The University Center collects space use and space needs data that guide policy and procedure decisions. The Student Activities staff provide an annual profile of student fee distribution and use which informs student leaders for the next round of budget allocations. All freshmen at the orientations during summer 2001 received a Student Expectations for Life on Campus Web survey, which has been used as the basis for programming decisions.

Greek Life

In 2001, the Greek Life program, <www.american.edu/ocl/dos/greeklife>, was moved from Student Activities to the Office of the Dean of Students to give it more visibility and to further develop its link to

achieving the goals of the institution. The Greek community fulfills traditional functions as a vital force in campus-wide programming and as a strong contributor to school spirit, but it also engages in extensive philanthropic activity that supports the university's commitment to service. AU recognizes 10 fraternities and 13 sororities with a total membership of about 800 students. There are no Greek houses, but some chapters have chapter rooms in the residence halls. A new program, the Greek Achievement Plan, awards points for significant achievements. Another initiative is Greek 101, a mandatory orientation for all new pledges. Increasingly, AU's chapters receive awards at regional and national conferences. They are also recognized at an awards ceremony each year for their contributions to the AU community.

In the past two years, two fraternities have lost university recognition because of disciplinary infractions and failure to manifest the values and standards of the AU community. The Interfraternity Council has been supportive of the stance the university has taken as it seeks to embody the positive characteristics of Greek life and distance itself from behaviors that compromise its mission. As Greek life is increasingly aligned with community values, steps such as these should not be necessary.

Kay Spiritual Life Center

Inaugurated on October 4, 1965, Kay Spiritual Life Center, <www.american.edu/ocl/kay>, is home to Catholic, Protestant (various denominations), Jewish, Evangelical, Muslim, Baha'i, Unitarian Universalist, Latter Day Saints, Buddhist, and Hindu faith traditions. This diversity and the vibrancy of spiritual life at Kay are in keeping with the university's commitment to being a values-based institution and a community that is welcoming and inclusive. Sometimes tensions erupt as the campus mirrors conflicts occurring nationally and internationally. Kay Center staff work diligently in these times to keep the lines of communication open and to foster dialogue and learning.

In addition to worship services, Kay offers programs to strengthen its commitment to instilling values such as human rights and dignity and social justice. The Great Advocate Series brings speakers to campus who are internationally known human rights defenders. The Campus Dialogue on Race, cosponsored with Multicultural Affairs, brings together groups of community members who, with a trained facilitator, process their own reactions to race. A recently established endowment funds the Poynter Lecture each year in which a noted speaker is brought to campus. Table Talk roundtable discussions bring together practitioners and scholars to consider the moral dimension associated with a variety of topical issues. International alternative spring breaks to places such as Honduras, Cuba, and Mexico provide opportunities for students to immerse themselves in another culture and,

depending on the program, receive academic credit. As one of the few spaces on campus able to accommodate up to 250 people for an event, Kay hosts a large number of events that may not be directly related to its mission but play a significant role in achieving the university's educational objectives. In AY2001–2002, 1,505 events took place in Kay, including worship services, center-sponsored programs, academic and nonacademic events, and community events.

The Kay Center underwent renovation in 2002 to improve the lighting and general appearance. However, its space is too limited for the scope of activities it currently houses, and expansion is indicated when funding becomes available. While the center does not conduct formal assessment of its activities, the growth of its programs speaks to its strengths in meeting the spiritual and programming needs of the campus.

Community Service Center

The Community Service Center, <www.american.edu/ocl/volunteer>, is the embodiment of AU's commitment to "turn ideas into action and action into service." One of its most notable achievements is the Freshman Service Experience (FSE), a program for entering freshmen, which typically brings more than half of the freshman class to campus to engage in service before classes start. These students, along with a cadre of upperclass leaders (often former FSE participants), go to more than 60 sites throughout the city to give service over the course of three days. The office also offers DC Reads, in which more than 130 students a semester volunteer to tutor students in the D.C. public schools in reading. The Volunteer Clearinghouse lists service activities at more than 500 organizations, and there are service learning projects, coordinated with faculty members, that send students out to do course-related service which typically includes an academic component. The director of the center also advises several student organizations that have service as their primary mission. Each year, approximately 2,000 undergraduates (36 percent of the population) volunteer in some capacity through these activities.

Located on the second floor of Mary Graydon Center in newly renovated space, the Community Service Center has two full-time professionals but is seriously lacking the administrative support it needs to deal with the complexity of programs it offers. There are plans to address this need in the coming budget cycle. The center also has its own van to use for community service projects but grapples regularly with the transportation needs of its volunteers and must rely on van services offered by the Student Confederation. In terms of assessment, FSE satisfaction surveys over the years have yielded consistently positive results. Student staff and participants in other programs often provide informal feedback that is used to make program adjustments. Web activity is tracked to determine the information that visitors find most useful.

Department of Athletics and Recreation

The Department of Athletics and Recreation, <aucagles.com>, is a Division I member of the National Collegiate Athletic Association (NCAA). There are 19 intercollegiate varsity sports, including 10 women's teams and nine men's teams. In AY2002–2003, 249 student-athletes (137 women and 112 men) participated in these teams. Formerly a member of the Colonial Athletic Association, the university became a member of the Patriot League in 2001. This change, while somewhat controversial at the time, has proven to be very successful as it has aligned AU with institutions that are more comparable academically and athletically (American University, Army, Bucknell University, Colgate University, Holy Cross College, Lafayette College, Lehigh University, and Navy). As an institution that historically has placed a high value on integrity, principles, and fairness, the university's objectives for its athletics program reflect those ideals. The department also feels strongly that integration into the university community is an extremely important component of its mission.

The department offers academic support, including individual academic counseling, guided study for selected students, individual tutoring, early registration, faculty advisors, and a freshman orientation program called TALONS (Thinking and Learning Opportunities for New Student-Athletes). This is a mandatory workshop series covering such topics as campus resources, nutrition and eating disorders, juggling the rigors of academics and athletics, and time management. The program staff (a staff member from the Academic Support Center and a graduate student) work closely with many offices in the university. The approach works and the results are reflected in a stellar record of academic and athletic achievement. Average GPAs are typically above 3.0, and AU's student-athletes often win league and NCAA awards for their academic prowess. In AY2002–2003, three student-athletes earned the Patriot League Scholar-Athlete of the Year award, three were National Academic All-Americans, and one was selected as the Patriot League's National Academic Player of the Year, a first-ever achievement.

To facilitate communication between the department and the student-athlete, a student handbook is given to each student-athlete during the first week of classes. This handbook clearly outlines NCAA eligibility guidelines, Patriot League policy and guidelines, and numerous other departmental policies and procedures relative to student-athlete responsibilities. The department has a Student-Athlete Advisory Board composed of one student-athlete from each team. This group meets monthly and discusses issues related to team involvement in the university, competitions, academics, community service initiatives, and services that are provided by the department. The department uses the advisory group to help evaluate the services provided

to the student-athlete. Another such tool is the Senior Student-Athlete Exit Questionnaire and Exit Interview, which is conducted by the athletic director.

Another important component of the Department of Athletics and Recreation is intramural sports and club sports, which provide a variety of recreational activities for the university community and support AU's commitment to physical fitness (point 15). The department has an intramural handbook as well as a link on the American University Web site to advertise and solicit involvement and clearly outline policies, procedures, eligibility rules, participation entry forms, and the code of conduct. Evaluations are solicited from participants to ensure that services provided are exemplary and that as many students' interests are being addressed as facilities will allow. The goal is to continue to grow intramurals and to increase sports offerings in order to increase participation rates. During the fall 2002 semester, four sports were offered: flag football, singles tennis, outdoor soccer, and a holiday basketball tournament, with a total of 1,225 participants in all activities.

The Department of Athletics and Recreation also offers an extensive club sports program. Originally housed in the Office of Campus Life in Student Activities, club sports moved in 2002 with the understanding that students would be better served with a direct connection to the athletics department, the more appropriate place for the program. There are currently 250 students who are involved in the club sports. There are 14 teams including ballroom dance, fencing, field hockey, men's and women's ice hockey, roller hockey, crew, men's and women's rugby, sailing, softball, men's and women's Ultimate Frisbee, and cycling. Depending upon student interest, the roster of teams as well as the number of participants could grow.

NCAA requires all colleges and universities with Division I athletics programs to undergo an extensive self-study and certification process. American University conducted its first self-study in 1995–1996, with certification received in 1996. Its second self-study occurred in AY2002–2003. It included responding to the NCAA and institutional recommendations from the last self-study as well as engaging in a current evaluation of the program in four areas—governance and commitment to rules compliance; academic integrity; fiscal integrity; and equity, welfare, and sportsmanship. This self-study culminated in a peer review team visit in February 2003. At the conclusion of the visit by the peer review team (February 23–26, 2003), the chair provided a positive verbal report to the president, which was followed by the team's written report and evaluation in March. Both assessments suggested that AU is substantially in conformity with NCAA operating principles and is fulfilling its athletics mission in the four areas. In addition, all required actions from the previous self-study (1996) have been

completed. As part of the process, the NCAA requested minor clarifications for a small number of items, to which the university responded in April. All materials have now been forwarded to the NCAA Committee on Athletics Certification, and we await the final notification from that committee regarding AU's certification.

Public Safety

Public Safety, <www.american.edu/finance/dps>, supports the university's commitment to being a "student-centered" university. Living in a safe environment is fundamental to students' ability to pursue their academic and cocurricular activities. Public Safety offers numerous services to create this environment. Police services include 33 uniformed officers with Metropolitan D.C. police, special police, or guard licensing and specialized in-service training. Working with a community policing model as their framework, they conduct patrols, respond to calls for emergencies and public service duties, assist victims, prepare reports, distribute a daily crime log as well as crime alerts and reports, and serve as liaison with local, state, and federal law enforcement agencies. Over the last five years, Public Safety has received three Department of Justice COPS grants, which added 15 additional officers and community service technician positions to the unit.

Public Safety is also responsible for alarm and video camera systems, emergency systems and emergency response, ID card services (more than 10,000 ID cards a year), and publications such as the Annual Security Report and an emergency procedure guide. Transportation services (1.3 million passenger trips a year) include 11 transit buses that operate four shuttle routes serving university facilities on and off campus. Parking enforcement for the campus and neighborhood includes permit management (2,350 parking spaces and 2,100 parking permits) and parking ticket adjudication. Educational activities include a rape aggression defense program, CPR and first aid training, and other crime prevention programs on topics such as safety in the city, drug awareness, and date violence.

Service improvements are often arrived at through the benefits of membership in the International Association of Campus Law Enforcement Administrators, where industry standards and best practices are disseminated and technical assistance is available. The office has a close working relationship with the Public Safety Director's group among consortium universities through which mutual concerns and solutions can be shared. Public Safety also sends a satisfaction survey to each customer contacted by the patrol unit officers. These surveys determine areas for improvement. For example, response time to calls was identified as a concern during one reporting year. Improving response time was then included in a performance management

plan for officers for the next year. Subsequent surveys indicated improved satisfaction in this area. In addition, officers who are liaisons to the residence halls frequently field and resolve student complaints. The director investigates student grievances not resolved through informal means.

OTHER CAMPUS SERVICES

In addition to the services provided by AU, the campus includes a number of shops and restaurants run by outside vendors. These services include: Chevy Chase Bank, Eagle's Nest (a convenience store that includes a Subway sandwich shop), the UPS Store, Hair City, STA Travel, Megabytes (a fast food restaurant and ice cream shop), Wagshal's American Café, and McDonalds. The Campus Store, where students go to buy textbooks and school supplies, is also run by an outside vendor. The store offers a wide variety of gift, specialty items and AU apparel to the university community. These services are overseen by Auxiliary Services. The office assesses student satisfaction with the services and seeks student input when space opens for new vendors.

ASSESSMENT OF LEARNING RESOURCES AND CAMPUS LIFE

Organizational Assessment

One of the hallmarks of the university's approach to service delivery in the past five years has been its efforts to streamline, coordinate, and consolidate services to provide a more seamless experience for students and greater administrative efficiency. The importance of these efforts is highlighted in point 5 of the 15-point plan ("we will . . . increase operational efficiency"). Some of the gains in this area have come about through the formation of university-wide project teams that cut across divisional lines to address shared functional areas. For example, the University Orientation Project Team, cochaired by a staff member from the Office of Campus Life and one from the Office of the Provost, has membership from all divisions in the university and has made great strides in coordinating all aspects of orientation programming. The Administrative Operations Project Team, again with membership from all divisions, meets regularly to share information about projects, such as renovations and major events that may affect campus life and require adjustments in programming for students. The Learning Resources Project Team brought together staff and faculty responsible for academic support services; its work led to a Web site where students can access information in one place. A by-product of these efforts has been the formation of closer working relationships across divisions that help solve problems more quickly and efficiently when they arise.

Some of these efforts have been more structural in nature. For example, point 12 of the 15-point plan calls for the formation of the Office of Campus Life,

to “provide more effective and efficient services to students in particular.” This goal was achieved in June 2002 when the Office of Student Services became the Office of Campus Life. A prior reorganization in AY1997–1998 had already consolidated services to best meet the needs of students as traditionally defined in a student affairs division. That reorganization, with minor modifications in the five years since, produced the student learning and development cluster (composed of the Counseling Center, the Academic Support Center, the Student Health Center, Disability Support Services, New Student Programs, Judicial Affairs and Mediation Services, and the Community Service Center) and the intercultural cluster (composed of International Student Services, Multicultural Affairs, the GLBTA Resource Center, University Center, Student Activities, and the Kay Spiritual Life Center). The student learning and development cluster reports to an assistant vice president and dean of students, and the intercultural cluster reports to an assistant vice president, with Housing and Dining Programs reporting directly to the vice president. This streamlined reporting structure, the commonalities among the missions of the units in each of the clusters, and the coordination of services across the division laid the foundation for the formation of the Office of Campus Life.

This reorganization came after a year of discussion among staff who were charged with looking for additional ways to streamline services for students and group services that were functionally related. Significant changes included the formation of Housing and Dining Programs (formerly Residential Life and Housing Services), which assumed responsibility for all student housing; aspects of dining services, including marketing and contracting of student meal plans and shared responsibility for management of the overall program; and the management of the one-card program, EagleBuck\$, and laundry services. The Office of the Dean of Students assumed responsibility for programming for parents of students. The University Center now handles event scheduling, and a new University Center project team was formed to provide advice and guidance on matters related to the use and development of the three-building footprint that makes up the University Center (Mary Graydon Center, Butler Pavilion, and Bender Arena). New areas of collaboration were identified between the Office of Campus Life and Public Safety. Further changes to the office are anticipated over time as the needs of the campus evolve.

Reorganizations to improve the quality of service to students and increase efficiency have occurred in other areas of the university as well. For example, in 1999 staff and faculty in the university library began a transition to a team environment. The goals of the reorganization included enabling the library to be flexible

in meeting the changing needs of students, using technology and information formats; continuing to provide outstanding service at a high level of productivity; and developing ways to assess effectiveness and service. A traditional hierarchical organization was flattened, former departments were trained to operate as function teams, and cross-function teams became a mechanism for addressing ongoing activities and short-term projects that cut across function lines. All full-time library employees participated in training to develop skills for effective team operation and for facilitating more efficient meetings.

Decentralization of some functions has improved operational efficiencies. For example, during the 1990s, technology for learning was the purview of Academic Computing, an administrative unit of the Computing Center (later named the Office of Information Technology); the library; the Center for Teaching Excellence; and the college and schools. In 2000 e-academics became the responsibility of the provost. Two years later in June 2000, e-academics was dissolved and technology responsibility was decentralized even further. At that time, the Center for Teaching Excellence, the library, and the college and schools became responsible for various components of information delivery and training in the use of technology.

This context of ongoing evaluation and improvement of the framework within which services are provided to students manifests the university’s commitment to being a student-centered university. From the student perspective, categories of services are somewhat artificial; for them, the more transparent the “framework” the better. However, the broad categories of academic support services, student support services, and student life capture the themes of student services on this campus.

Tools of Assessment

While tools of assessment vary across units, there are some commonalities. Many programs use point-of-service surveys to determine student satisfaction. Results of these surveys are often combined with the results of campus-wide surveys which can provide benchmark data and assess trends over time. One such survey is the Campus Climate Survey referenced throughout this chapter. While it does not assess all services, some key services, such as financial aid and public safety, are represented. Other, more global, surveys, such as the graduation census, and data such as retention rates complement the assessments of specific services. National surveys, such as the freshman census and the National Survey of Student Engagement (NSSE), allow the university to benchmark itself against other institutions on a number of important institutional characteristics.

Assessment information helps to shape divisional priorities related to service provision and program development. For example, the Office of Campus Life uses

freshman census data to understand the characteristics of entering students and their developmental and programmatic needs. Campus Climate Survey data have led to new customer service initiatives in offices such as Housing and Dining Programs and have substantiated the need for revamping health services. While university benchmarks on the NSSE have exceeded national benchmarks in most categories, a below-average score in the “supportive campus environment” category in the first year of the survey led to redoubled efforts not just in the Office of Campus Life but all across campus. The result was an improved score in the second survey administration. The graduation census does not ask about campus services specifically; however, the Office of Campus Life staff monitors responses carefully to assess students’ more global levels of satisfaction with the AU experience. In addition to shaping divisional priorities, all of these data are reported to the Campus Life Committee of the Board of Trustees to assist them in making policy decisions and setting priorities.

The library provides another example of using tools of assessment to improve service. Because of the mixed reviews that students have given the library historically, library faculty and staff undertook a systematic assessment of collections and of user satisfaction. The library chose the nationally recognized WLN Conspectus software and launched the Collection Assessment Project in 1998 to assess the adequacy of information resources (i.e., books, journals, electronic resources, videos, and sound recordings) as measured against the academic curriculum. The results of the assessment, compiled in 2001, now guide the selection of materials and expenditures of the materials budget. To measure user satisfaction, the library named an assessment team in 1999 which undertook the following projects:

- LibQUAL+: administered this Web-based survey during its national pilot phase in spring 2001 and again in spring 2003
- Campus Climate Survey: analyzed the Campus Climate Survey responses across a five-year spectrum, 1998–2002
- Focus groups: hosted three focus groups of undergraduate students, fall 2002

Assessment: A Shared Responsibility

Some assessment and concomitant service improvement issues cut across divisional lines. For example, the interface among the Office of the Registrar, Financial Aid, and Student Accounts is an important one for students. Historically, however, students have expressed dissatisfaction with these relationships.

To improve service delivery among these offices, several initiatives have been undertaken. Financial Aid staff are now cross-trained with Student Accounts staff, and some of them relocate to the Student

Accounts office during times of peak demand. Technological advances have made on-line information more readily available so that staffs in all of these offices can respond to students’ questions without referral to another office.

The university has also trained selected staff from offices across campus in process improvement. The president has appointed a university project team, led by the acting vice president of enrollment services, to study the processes that cut across these offices as well as academic advising. After study and analysis, the team will make recommendations to further enhance services in these areas.

Efforts such as these have become more common university wide. As students expect a seamless experience in terms of service delivery, boundaries between offices have broken down in an effort to meet those expectations. While some of the solutions are technological in nature, many require a highly “networked” environment among service providers themselves. American University has made great progress in creating such an environment.

RECOMMENDATIONS

As the 15-point plan states, there are three integrated priorities for AU if it is to fulfill its mission as a distinctive national and international university: the quality of academic inquiry, the quality of student experience, and the quality of extensive engagement in Washington and global affairs. Learning resources and student life play a critical role in achieving these priorities. While considerable progress has been made in developing these areas, further improvement is necessary to provide the high-quality, student-centered learning experience that the plan outlines. These recommendations support the achievement of this goal:

- Continue to invest significant financial resources in improving the library. Expand the print collection and add electronic databases, thereby increasing support for the core undergraduate curriculum and the research agendas of the newly defined graduate programs. Update and expand library facilities and collections. Begin fund raising to expand library space.
- Address the space and facilities issues that confine programmatic development and undermine a high-quality experience for students. Examples include improvements to the Kay Spiritual Life Center, which is home to many programs that complement the classroom experience; the University Center, which lacks space to support the large communal gatherings important to strengthening student’s engagement with campus life; and the Student Health Center.

While space on campus is finite and resources and creativity are required to maximize what is available, there are notable examples in renovations to date of the difference these projects can make in the student experience.

The renovation of the first and second floors of Mary Graydon Center is one such example. Giving high priority to projects such as these in terms of fund raising and the renovation and construction schedule will advance the 15-point plan significantly.

Supporting Documents

- 6.1 *Information Literacy at American University: Recommended Learning Outcomes*
- 6.2 *Information Literacy: A Proposal*
- 6.3 *Report on the LibQUAL+ and Campus Climate Surveys, Library Assessment Team, May 1, 2002*
- 6.4 Bender Library Web site,
www.american.edu/library
- 6.5 Office of Campus Life Web site,
www.american.edu/ocl
- 6.6 Student Handbook,
www.american.edu/handbook
- 6.7 2002 Campus Climate Survey



UNDERGRADUATE EDUCATION

STUDENT PROFILE

Who Are American University's Undergraduate Students?

American University's 6,283 undergraduate students (*see* Supporting Document 7.1) comprise a community notable for its commitment to learning, inquiry, and service in the broadest terms. AU's location in the national capital looms large in attracting students to the university and, once matriculated, to the particular courses of study they pursue. According to the 2002 CIRP freshman census, nearly 56 percent of AU's first-year students report that American University was their first choice of college and more than 79 percent say that its location in Washington, D.C., was a very important reason in their selection.

Location-related educational opportunities, both in and out of Washington, D.C., are an important factor for students, since approximately 70 percent of respondents cite the opportunity to intern in Washington, D.C., as very important and 59 percent identify study abroad as a very important reason for choosing AU. Forty-two percent of AU freshman census respondents plan to major in the social sciences, compared to 13 percent at the other 716 private universities participating. Likewise, almost 13 percent of students list communication and journalism as probable majors, compared to only 5 percent of students at the other private universities (*see* Supporting Document 7.2). These indicators imply that the public sector is a major interest of incoming students.

Evidence of the cosmopolitan nature of AU students abounds. Roughly 12 percent of students overall and 9 percent of degree-seeking undergraduates are international students from 146 countries. Almost 18 percent of degree-seeking undergraduates and 22 percent of students overall are a U.S. minority, and 61 percent are women (*see* Supporting Document 7.1). In fact, AU historically has been a leader in the education of young women. (AU has traditionally appointed significant numbers of women faculty members as well).

Our undergraduate students pursue activist careers and engage deeply and energetically in social and political issues. One of 10 respondents seek legal careers, compared to less than one in 14 at other private universities. Nearly one in seven students anticipate careers in foreign service and more than 1 in 10 consider government service or policy making as a career objective (*see* Supporting Document 7.2). Similarly significant indicators come from the National Survey of Student Engagement (NSSE). A historical comparison of those data indicates that American continues to evolve, in President Ladner's words, as a "private university with a public responsibility."

Our student retention rate is also high. Students entering as freshmen from 1994 to 1997 were, on average, 85 percent certain of remaining after a year and more than 70 percent certain of remaining until graduation. These figures vary little by race and ethnicity.

Incoming Student Qualifications

American University has become an increasingly selective university, based upon lower admissions rates and rising high school GPAs. Entering SAT scores have remained near the 1200 composite mark (allowing for the re-centering of SAT scores in fall 1996), reaching 1226 in 2003. Significantly, AU's average SAT profile has been from 19 to 26 percent higher than the national average.

More importantly, as Figure 7.1 illustrates, incoming high school GPAs, after some flattening out, show a recent significant upward trend. In fall 2003, nearly 80 percent of incoming students presented GPAs in excess of 3.00, as compared to only 68 percent in 1995. The number of entering students in the top 20 percent of their high school class has remained stable.

Admissions Rates and Selectivity

Admissions rates also reflect increasing selectivity. In the past decade, the admissions rate has dropped 17 percentage points while the applicant pool has grown and, with it, the quality of admitted students. This statistic

Figure 7.1—Admitted and Enrolled SAT and GPA Data

	1994*		1995*		1996		1997		1998		1999		2000		2001		2002		2003	
	Admit	Enroll	A	E	A	E	A	E	A	E	A	E	A	E	A	E	A	E	A	E
SAT (mean)	1220	1220	1210	1200	1200	1182	1205	1183	1211	1191	1208	1186	1209	1194	1223	1210	1229	1214	1242	1226
GPA (mean)	3.21	3.18	3.23	3.22	3.22	3.17	3.23	3.16	3.23	3.18	3.27	3.19	3.28	3.21	3.30	3.23	3.36	3.32	3.39	3.40

A=admitted, E=enrolled

Source: Table 21, Academic Data Reference Books

*The College Entrance Examination Board recentered its calculation of Scholastic Aptitude Test scores in fall 1995. Data for 1994 in this table have been adjusted to the recentering per www.collegeboard.com/research/html/rs05.pdf, tables 1 and 2.

speaks well of the recruitment work of the undergraduate admissions staff and the growing attractiveness of AU to the more able students. (See Figure 7.2)

Freshman Service Experience

Few things typify entering AU students better than the enthusiasm with which incoming freshmen have embraced the Freshman Service Experience (FSE). Since 1991, FSE has asked students to begin their life at the university through a service project. On average, 600 entering freshmen participate in FSE, working to turn “ideas into action and action into service” (see Supporting Document 7.4).

FSE lasts four days and focuses on community service, leadership development, building community among freshmen, and orientation to the university and Washington. Student-led volunteer groups work at more than 60 nonprofit sites throughout the city and participants meet with faculty, alumni, deans, community leaders, and policy makers to discuss how their community work relates to academic issues.

Competitor Schools

Another indicator of AU student quality comes from statistics concerning the institutions that undergraduate students choose to attend if they do not enroll at AU. Figure 7.3 lists these institutions for the past 10 years, but several trends are obvious:

- Among all applicants, George Washington University and Boston University are the two institutions most selected over American University.

- Syracuse University, New York University, Boston College, and the University of Maryland are consistently in competition with AU and tend to be chosen in roughly equal numbers.

- Honors students consistently include Georgetown University in the same pool as American University and tend to choose AU.

OVERVIEW OF UNDERGRADUATE EDUCATION

Five of AU’s six schools and colleges offer undergraduate degrees: the College of Arts and Sciences, the School of International Service, the School of Public Affairs, the Kogod School of Business, and the School of Communication. Only the Washington College of Law does not teach undergraduates. Not counting associate degrees and certificates, the university supports 56 undergraduate major degree programs and 47 minors.

Educational Offerings as Congruent with Mission

AU’s primary goal for the next century is to build a distinctive, global university identified by its extraordinary connections to Washington, D.C., and marked by the highest levels of academic excellence and creativity. The university’s 1994 Statement of Common Purpose asserted that “the place of American University among major universities with first-rate faculties and academic programs grounded in the arts and sciences is secured by its enduring commitment to uncompromising quality in the education of its students. But its distinctive feature, unique in higher education, is its capacity as a national and international university to turn ideas into

Figure 7.2—Full-time Undergraduate Admissions Rates

	1994	1995	1996	1997	1998	1999	2000	2001	2002	2003
Applied	4,829	5,652	5,707	5,883	6,542	7,790	8,454	10,355	9,883	10,254
Admitted	3,724	4,385	4,484	4,673	4,936	5,619	6,061	7,056	6,265	6,131
Admit %	77%	77.6%	78.6%	79.4%	75.5%	72.1%	71.7%	68.1%	63.4%	59.8%
Enrolled	1,003	1,274	1,171	1,171	1,280	1,204	1,300	1,419	1,312	1,237

Source: Academic Data Reference Books

Figure 7.3—Freshman Competitor Data

	1994	1995	1996	1997	1998	1999	2000	2001	2002
1	George Washington University	George Washington University	George Washington University	George Washington University	N/A	George Washington University	George Washington University	George Washington University	George Washington University
2	Boston University	Boston University	Boston University	Boston University	N/A	Boston University	Boston University	Boston University	Boston University
3	Syracuse University	New York University	Georgetown University	Syracuse University	N/A	University of Maryland College Park	Syracuse University	Syracuse University	New York University
4	University of Maryland College Park	Syracuse University	Syracuse University	Boston College	N/A	New York University	New York University	New York University	Syracuse University
5	Boston College	Georgetown University	New York University	New York University	N/A	Syracuse University	University of Maryland College Park	Georgetown University	University of Maryland College Park

Figure 7.4—Undergraduate Majors

Undergraduate Majors:	
American Studies (BA)	International Studies (BA)
Anthropology (BA)	Jewish Studies (BA)
Art History (BA)	Justice (BA)
Audio Production (BA)	Language and Area Studies:
Audio Technology (BS)	French/Europe (BA)
Biochemistry (BS)	German/Europe (BA)
Biology (BS)	Russian/Area Studies (BA)
Business Administration (BS, BA)	Spanish/Latin America (BA)
Chemistry (BS)	Law and Society (BA)
Communication: Journalism (BA)	Liberal Studies (BA)
Communication: Public Communication (BA)	Literature (BA)
Communication: Visual Media (BA)	Marine Science (BS)
Communication Studies (BA)	Mathematics (BS)
Computer Information Systems (BS)	Mathematics, Applied (BS)
Computer Science (BS)	Multimedia Design and Development (BS)
Economics (BA, BS)	Music (BA)
Elementary Education (BA)	Performing Arts: Music Theatre (BA)
Environmental Science (BA)	Performing Arts: Theatre (BA)
Fine Arts (BFA)	Philosophy (BA)
Foreign Language and Communication Media (BA)	Physics (BS)
French Studies (BA)	Political Science (BA)
German Studies (BA)	Psychology (BA)
Graphic Design (BA)	Russian Studies (BA)
Health Promotion (BS)	Secondary Education (second major only)
History (BA)	Sociology (BA)
Interdisciplinary Studies (BA, BS)	Spanish Studies (BA)
Interdisciplinary Studies: Communication, Legal Institutions, Economics, and Government (BA)	Statistics (BS)
	Studio Art (BA)
	Women's and Gender Studies (BA)

action and action into service by emphasizing the arts and sciences, then connecting them to the issues of contemporary public affairs writ large, notably in the areas of government, communication, business, law, and international service.”

The range of undergraduate programs encompasses comprehensive study in the arts, the humanities, business, communication, international studies, the social sciences, and the natural sciences. Each major has sufficient content and breadth to allow students to specialize in a field of study as well as to obtain a breadth of liberal education. The General Education requirements and elective courses assure that range of experience. Almost all major programs require a minimum course grade of C or better.

The university requires 120 credits for its undergraduate degrees, typically taken in four years. For the entering class of 1997, the four-year graduation rate was 64.8% and the six-year graduation rate was 71.6%. Credit-hour requirements in the different major areas range from 36

to 72 credit hours, some of the difference resulting from specific undergraduate program accreditations.

Classroom teaching takes advantage of the location and character of the university as well as the interactivity of the classroom. Despite faculty commitment to a wide range of duties and programs and the desire to use fewer adjuncts in the classroom, average undergraduate class sizes remain low enough to foster interactivity and community. From 1996 to 2001, undergraduate average class size hovered around the 24-student mark (*see* Supporting Document 7.14). Although the General Education program has seen some increase in average class size, the undergraduate program as a whole has not. This static average class-size number seems benign, but actually is related to several larger issues.

The use of adjunct professors has been a major issue. President Ladner, in his *Ideas into Action, Action into Service*, specifies in point 8 that “the number of adjunct faculty will be reduced sharply, with no more

Figure 7.5—Undergraduate Major Program Changes 1994–2002

Program	Action	Effective Date
College of Arts and Sciences:		
BA in Music and Technology	Terminated	Fall 1994
Secondary Education	New (second major only)	Fall 1995
BA in Women's and Gender Studies	New	Fall 1995
Bachelor of Music	Terminated	Fall 1995
BA in Literature: Cinema Studies	Terminated	Fall 1995
BA in Religion	Terminated	Fall 1995
BS in Health Promotion	New	Fall 1997
BA in Arts and Cultural Management	New	Fall 1998
BS in Biochemistry	New	Fall 2000
BA in Audio Production	New	Fall 2002
BA in Arts and Cultural Management	Terminated	Fall 2002
BA in Economic Theory	Terminated	Fall 2003
BS in Economics	New	Fall 2003
BA in Marine Science	New	Fall 2003
Kogod School of Business:		
BS in Accountancy	New	Fall 1995
BS in Accountancy	Terminated	Fall 2002
School of Communication:		
BA in Communication Studies	New	Fall 2002
College of Arts and Sciences and School of Communication (joint):		
BS in Multimedia Design and Development	New	Fall 1999

than 10 percent of undergraduate courses taught by adjuncts.” This call mirrors an ongoing concern about using adjuncts in the General Education Program, where the rate has been limited since the inception of the program to 30 percent. The actual data for fall 2003 discloses a 20.2 percent adjunct utilization rate in General Education, a number surpassing the program’s target.

Reducing the rates at which adjuncts are used without an increase in full-time teachers would result in fewer course sections unless enrollment falls or average teaching load increases. The university, however, is

committed to smaller enrollment and will add 17 new faculty over the next two years. Maintaining a stable average class size could bring two curricular shifts:

- some class sections would absorb additional students (as in the case of several new large General Education sections in economics, politics, and communication)
- other sections would decrease in number, presumably upper-level major courses, graduate courses, and honors courses (honors sections increased by 20 from 1999 to 2002, in part driven by the strategic plan’s mandate for growth).

Figure 7.6—Undergraduate Programs with Individual Professional Accreditation

Program or School	Accrediting Body
Department of Chemistry, College of Arts and Sciences	American Chemical Society
School of Communication	Accrediting Council on Education in Journalism and Mass Communication
School of Education, College of Arts and Sciences	National Council for Accreditation of Teacher Education and National Association of State Directors of Teacher Education and Certification
Kogod School of Business	Association to Advance Collegiate Schools of Business
Music Program, College of Arts and Sciences	National Association of Schools of Music

Coherent Learning Experience and Synthesis of Learning

Curricular coherency at AU denotes more than connections of knowledge and learning between courses in a given discipline or even across disciplines. Coherency as a curricular concept requires that all courses of instruction, no matter their form of inquiry or discipline, take into account, thoughtfully and deliberately, fundamental assumptions, principles, and purposes endemic to AU.

The General Education Program assures coherent learning through the values common to its courses overall as well as through specific objectives within its five curricular areas. Secondly, all students are required to complete college writing and mathematics requirements, a nine-credit or equivalent experience contributing to coherent learning at the outset. Increasingly, academic units have begun adopting gateway courses as a tool for coherency. The Kogod School of Business instituted a required course titled Business 1.0, in which majors are given a broad overview of the business profession as well as Kogod's mission and approach to training students. The School of Public Affairs offers a Leadership Training Program, for which students apply for acceptance. The School of International Service offers a required Leadership Gateway for its majors. The School of Communication's popular gateway course, Understanding Mass Media, offers a comprehensive overview of the history, values, practice, and future of print, broadcast, and film media. The school's Writing for Mass Communication requires extensive work in basic writing techniques.

A University College, currently under design, will further the synthesis not only of learning, but living and learning. The University College will focus on the first two years of the student experience and develop common university themes and priorities that will be reflected in service, action, research, and documentation.

Academic Integrity

At the heart of scholarship is integrity. American University takes ethical standards as applied to learning, teaching, research, and writing very seriously and expects both faculty and students to respect the responsibilities of scholarly life and conduct their activities accordingly.

AU has developed an Academic Integrity Code and, upon their arrival at the university, disseminates this code to all of its students. The code specifies expectations of academic conduct, explains the specific nature of various behaviors, and outlines specific procedures for handling any charges brought to light concerning violations of the code. Any member of the university community—students, staff, or faculty—may bring charges to the appropriate dean's office through the faculty member. Faculty who discover violations of

academic integrity that they deem unintentional, may discuss these informally with the student.

If academic integrity infractions are found to be intentional, college deans' offices must adjudicate them. Sanctions may range from resubmission or lowered grades on the work in question, to failures in the course, to notations on the student's permanent record, to dismissal from the university. Cases may also be brought to code conduct panels and some sanctions (those involving notations on the student's permanent record) may be appealed to the Provost.

Cases of academic integrity violations and numbers of sanctions imposed have risen over the past years, with a near doubling of both charges and sanctions within the past three years. Between AY 1999–2000 and 2002–2003, charges brought by faculty, students, or staff increased from 55 to 95. In the same period, sanctions imposed increased from 45 to 72. A large percentage of these cases involve plagiarism with an increasing number specifically involving the Internet.

Evidence also suggests that good practices of academic integrity are deliberately learned, or at least gained through experience. The largest number of charges in AY 2002–2003 were brought against freshmen, the smallest, graduate students. About 75 percent of the penalties in AY 2002–2003 resulted in a failing grade for the course.

As a result of these statistical observations and toward the ends of academic betterment, the Office of the Provost has begun a specific campaign to bring academic integrity issues before the community. It maintains an academic integrity Web site focusing not only on process, but also on developing academic excellence. (www.american.edu/academics/integrity). Other university offices contribute significantly to the effort to improve the culture of academic integrity.

The General Education Program publishes the academic integrity code booklet and collects the annual statistics on charges and sanctions. The program has added information literacy as a learning objective, and the nascent University College also expects to feature it as a focus of its first-year seminars. Professors are expected to make statements about academic integrity in course syllabi (indeed, this is a required element in General Education syllabi), engage in conversation about elements of academic integrity such as citation, plagiarism, inappropriate collaboration, and copyright law, and otherwise promote the awareness and skills needed to promote a healthy, honest, academic culture.

ENROLLMENT MANAGEMENT AND FINANCIAL AID

Policies and Procedures

In support of the university's mission, the Admissions office seeks students who are academically distinctive and intensely engaged and who add to the diversity

Examples of Internship Sites for American University Students:

Internships offer experiences ranging from Washington-area museums and galleries to the John F. Kennedy Center for the Performing Arts, the World Bank, the National Institutes of Health, the Brookings Institution, the U.S. Department of State, the White House, scores of Congressional offices, and embassies. School of Communication students intern at a variety of major news operations, including ABC News, Bloomberg News, CNN, C-Span, Dateline NBC, Discovery Communications, Fox News Channel, the Montgomery (Md.) Journal, National Public Radio, the Washington Business Journal, the Washington bureau of Tokyo-based Yomiuri Shimbun, WAMU-88.5FM, WETA public television, WJLA Channel 7, WTTG Channel 5, and WRC Channel 4.

that contributes to AU's global mission. Toward that end, Admissions takes a holistic approach in its review of applicants. This means that the definitions of *academically distinctive* and *intensely engaged* reveal themselves in more than numbers. There is no single formula for admission. The evaluation process emphasizes a variety of indicators to assess a student's "fit" at the university. Indicators include:

- review of the candidate's transcript, GPA, and SAT scores
- the strength of a student's high school curriculum and seriousness of purpose
- contribution to the school and community as evidenced by involvement in extracurricular activities
- personal qualities as described in the applicant's essay or personal statement and by letters of recommendation.

AU values diversity within its campus community and strives to ensure a class that is diverse in all aspects. We believe that all members of the AU community benefit when different voices are heard and different perspectives are expressed. Diversity enhances academic discourse and improves mutual understanding. To maintain our profile as a diverse and global university, additional admission factors are considered. While these have no specific numeric or quantitative value, they are important as indicators that a student would enhance as well as value the AU experience. These factors include:

- status as a first-generation college student
- geographic representation
- racial or ethnic background
- circumstances a student has overcome that would predict his or her ability to succeed.

In the past few years, AU has encouraged applicants to have a personal interview with Admissions staff members. The number who do so have increased dramatically, with obvious benefits both to the student and the university.

The *University Catalog*, the undergraduate application (included in the Admissions viewbook), and the Admissions Web site outline admission requirements, including course distribution and standardized testing requirements for prospective freshmen. Prospective transfer students receive similar information.

Publications external to the university (e.g., *The College Handbook*, published by the College Board; *Peterson's Profiles*) also offer a statistical outline of the incoming freshman class that includes the following data:

- application deadlines
- number and percentage of freshman candidates admitted and enrolled

- middle 50 percent SAT scores of students in the freshman class
- percentage of students admitted with a GPA of 3.0 or higher
- percentage of international and domestic multicultural students.

In addition to these printed materials, members of the Admissions staff, in the course of conducting group information sessions or personal interviews, provide prospective students, their families, and guidance counselors with profiles of the freshman and transfer populations and address questions related to the admission evaluation process. University Marketing, Admissions, and other Enrollment Services staff, along with others across campus as appropriate, review printed admissions materials annually. The Admissions office updates its Web site as needed.

Advanced Placement

Undergraduates may gain up to 30 credit hours from one or a combination of Advanced Placement (AP), International Baccalaureate, and College Level Examination Program (CLEP) subject examinations. The appropriate teaching unit recommends the advanced standing or course waiver based on these credits. Each unit reviews the status of these exams and makes recommendations for acceptance of credit hours through the council or educational policy committee within that unit's school or college. While the structure of each curriculum oversight group varies from school to school, each one includes faculty and student representation and has oversight of curricular changes that include the monitoring of these accelerated programs. For example, when the AP exam for statistics became available, the Department of Mathematics and Statistics reviewed the exam, set a standard for AP credit, and then recommended its incorporation into the existing set of exams to the College of Arts and Sciences Educational Policy Committee.

Financial Aid

Admissions application materials (a viewbook and a booklet titled *Investing in Your Future*) include detailed financial aid information, application forms, and important dates, deadlines, and procedures. Students typically learn of their financial aid status at the time of their admission to the university. In addition to the award notice, the information packet includes information about financial aid regulations, requirements for renewal of awards, and students' rights and responsibilities. Students may also request these documents prior to award notification by contacting the Financial Aid office. Both Financial Aid and Admissions staff are also available to meet with prospective as well as enrolled students.

Student concerns persist regarding undergraduate financial aid, particularly with regard to the amount of financial aid available at the university and the policies for administering it. The AU Campus Climate Survey indicates declining satisfaction (between the years 1999 and 2002) with the amount of financial aid awarded students. The composite of “excellent” and “good” responses to the question of amount has ranged from 53.1 percent in 1999 to 35.5 percent in 2002. Data for 2003 shows a small reversal of this trend with a 41.7 percent rating. Student responses on the level of service received are correspondingly depressed. Students have also voiced concerns on the policies for distributing financial aid and varying levels of support over the typical four undergraduate years.

Notwithstanding, the university has increased spending on undergraduate financial aid in the interest of recruiting qualified students with high academic standards and of keeping pace with rising tuition costs. Financial aid is one of the fastest growing expenditures in the university budget and has grown from an outlay of \$23.1 million in FY1995 to \$39 million in FY2003, a 68.8 percent increase. In the same period, the undergraduate tuition discount rate, financial aid expenses as a percentage of tuition revenue, has increased from 27.9 to 29 percent.

As part of the undergraduate financial aid award process, the university also administers both merit and need-based awards through grants, scholarships, campus work study, and loans.

EDUCATIONAL PROGRAM AND CURRICULUM

Internships and Experiential Learning

AU students value the integration of their academic curriculum with professional experience, a reality borne out by the large numbers who avail themselves of internship opportunities. AU offers full- and part-time internships that provide students with the opportunity to earn credit for field experience related to their education and career goals. Many students also engage in non-credit internships. Full-time faculty members from all units oversee the for-credit internships. Internship assessment includes performance evaluation by employer and faculty alike, journal records, portfolio records, and research papers or reports. The academic units and the Career Center’s internship program office administer these full- and part-time internship opportunities. The latter office staff consists of a full-time director and five advisors. AU’s graduation census confirms that 70–80 percent of students have completed an internship while at AU. These cannot be tracked exactly because many internships are uncredited and informal. Counting credit-bearing internships only would falsely indicate a smaller percentage of students engaged in experiential learning than is actually the case.

GENERAL EDUCATION PROGRAM

General Education Requirements

All AU undergraduate students complete the university’s General Education requirements. The university launched this program in fall semester 1989 and comprehensively reviewed it in AY2000–2001. The review focused on:

- determining the viability of the contextual nature of the program and assessing the connection of program learning objectives, competencies, and goals to the values of the university
- assessing the program structure in terms of credit hours and curricular categories and levels
- evaluating each course in the program
- assessing the course clustering and linkage between courses in the five curricular areas.

A committee of 27 faculty, staff, students, and administrators led the principal aspects of the review. They engaged the entire community, including alumni, through student and faculty focus groups, town meetings, questionnaires, and other consultative processes. They also gave the course review work to the faculty members who taught the courses. Hundreds of individuals were part of the process. The review led to structural changes in the program and a new course-clustering plan.

Currently, students are obliged to take two courses in each of five curricular areas for a total of 31 credit hours. The courses are designated as either foundation courses, broadly construed and often interdisciplinary, or as second-level courses, often more specific in scope and more directed at a specific discipline or topic. The five curricular areas are: (1) The Creative Arts; (2) Traditions That Shape the Western World; (3) Global and Multicultural Perspectives; (4) Social Institutions and Behavior; and (5) The Natural Sciences.

From 7-10 foundation courses in each area are linked in approved clusters to a group of a dozen or more second-level courses. Students who have completed any one of the foundation courses in a given cluster may take any one of the second-level courses that follow. Instructors are asked to draw real and effective intellectual connections in these often interdisciplinary pairings. Each curricular area contains two clusters, each consisting of three to five foundation courses and eight to eleven second-level courses. Students select a foundation course and any second-level course in the same cluster.

Program Objectives, Values, and Goals

The program is driven by overarching principles and institutional values. In addition to specific learning objectives articulated for each curricular area, the program as a whole develops several fundamental ideals and skills. These include:

Examples of Experiential Learning

- The Department of Government’s foundation-level General Education class, Politics in the United States (GOVT-110), has a one-credit required (for majors) companion class called the Washington Laboratory, in which students visit Capitol Hill and governmental agencies a half-day a week during the fall semester.
- Government’s Laboratory in Leadership Development (GOVT-361) requires similar experiential components.
- Government has three institutes with experiential learning components: the Campaign Management, the Public Affairs, and the Women and Politics Institutes.
- Freshman-level courses in the Department of Justice, Law and Society, such as Introduction to Systems of Justice (JLS-104), incorporate into the course curriculum required field experiences, such as police ride-alongs, prison visits, and court watches.
- Insider’s View of Justice (JLS-520) holds all its class meetings at criminal justice sites.
- The Department of Justice, Law and Society also offers two summer institutes abroad, in which students visit police, court, correctional, and governmental institutions for lectures, tours, and demonstrations.

(Continued on p. 96)

(Continued from p. 95)

- The School of Communication's reporting courses require students to cover news events off campus. One recent section of Advanced Reporting (COMM-425) was built around a semester-long, member-of-Congress "beat," in which students covered a member of the U.S. House of Representatives.
- Students in the reporting class (COMM-320) take on a growing number of "real" outside reporting assignments, such as public community meetings and on-campus programs, and work on profile stories (about someone with whom they are not acquainted).
- Students in How the News Media Shape History (COMM-270) have been required to complete research papers by examining newspapers on microfilm at the Library of Congress and have visited and written about the Journalists' Memorial in Arlington, Va., which commemorates journalists who have been killed in the line of duty.

- writing, to enhance basic communication skills
- critical thinking, to enhance the ability to make and analyze judgments based on reasoning and evidence
- recognizing ethical issues pertinent to the field or discipline
- quantitative and computing skills
- intuitive, creative, and aesthetic faculties, and the ability to connect these with reasoning skills
- awareness of a variety of perspectives, including those perspectives that emerge from new scholarship on gender, race, and class as well as from non-Western cultural traditions
- information literacy skills, to evaluate the myriad sources of data available to students
- oral communications skills
- a global perspective.

Program Reputation, Governance and Administration, and Assessment

The General Education Program has been a model nationally for such programs. Not only have its various

directors been prominent in associations and conferences on undergraduate education and core education, they have also consulted on the design and implementation of similar programs elsewhere. Originally envisioned in the mid-1980s, the AU model for General Education was one of the first in the country to embed overarching values and learning objectives in courses required of all undergraduate students.

The program has been actively engaged in self-assessment since its inception, which has led to a number of improvements, even prior to the comprehensive review of AY2000–2001. The General Education office and director have responsibility for the day-to-day administration of the program. Governance is in the hands of the General Education Committee, a special committee of the Faculty Senate. That committee is composed of five senior faculty appointed by the senate, five faculty appointed by the director (one representing each of the five curricular areas), a faculty coordinator, and the director. However, General Education "belongs" to the university's five undergraduate colleges and schools in that they offer and staff the courses and receive credit for the student enrollments in the courses.

Figure 7.7—Student Satisfaction in General Education by Faculty Status
(mean values against highest possible scores)

Question 12: Is this a demanding course? 1=strongly disagree; 2=disagree; 3=neither agree nor disagree; 4=agree; 5=strongly agree
 Question 14: Overall, this course is? 1=poor; 2=fair; 3=satisfactory; 4=good; 5=very good; 6=superior
 Question 21: Overall, the instructor is?

Fall 1998

Faculty Category	Question 12 Mean	Question 14 Mean	Question 21 Mean
Sections taught by full-time	4.03/5	4.65/6	4.79/6
Sections taught by adjunct	3.74/5	4.11/6	4.26/6

Fall 1999

Faculty Category	Question 12 Mean	Question 14 Mean	Question 21 Mean
Sections taught by full-time	3.92/5	4.50/6	4.95/6
Sections taught by adjunct	3.27/5	4.04/6	4.21/6

Fall 2000

Faculty Category	Question 12 Mean	Question 14 Mean	Question 21 Mean
Sections taught by full-time	3.98/5	4.70/6	4.90/6
Sections taught by adjunct	3.74/5	4.39/6	4.67/6

Fall 2001

Faculty Category	Question 12 Mean	Question 14 Mean	Question 21 Mean
Sections taught by full-time	4.08/5	4.96/6	4.72/6
Sections taught by adjunct	3.94/5	4.52/6	4.40/6

Fall 2002

Faculty Category	Question 12 Mean	Question 14 Mean	Question 21 Mean
Sections taught by full-time	4.24/5	4.62/6	4.92/6
Sections taught by adjunct	3.90/5	4.40/6	4.66/6

The General Education office and the colleges and schools jointly bear responsibility for enrollment management and course staffing. Each semester, the program generates nearly 10,000 course enrollments in almost 300 sections. In order to keep class sizes at optimal levels, General Education's needs, as articulated in the enrollment plan generated and distributed to the colleges and schools, are often a factor in faculty-hiring decisions. The equation is complex and is comprised of a number of indicators.

General Education regulations stipulate that no more than 25 percent of class sections in the program, or in any unit teaching courses in the program, may be taught by other than full-time faculty members, defined as full-time tenured, tenure-line or temporary faculty. Each year, the General Education office audits these faculty utilization statistics and reports them to the colleges. Deans can use this information in managing their teaching resources. In the interests of effective classroom teaching, the General Education office also tracks another variable—course enrollment. General Education average class sizes have increased in the past 10 years, and especially in the past two years, reflecting larger incoming classes. Balancing average class size and the use of adjuncts has been an important part of General Education planning.

Quality of teaching in large General Education classes, as well as in sections taught by adjuncts, as evidenced in student evaluations of teaching, are areas of particular scrutiny. Figure 7.7 correlates General Education sections taught by full-time and part-time faculty with three summative questions from the university's student evaluation instrument.

The difference in student evaluation results between full-time instructors and adjuncts is even more striking in teaching units that employed more than 50 percent non-full-time instructors in General Education classes (see Supporting Document 7.5). Although there were notable exceptions in some departments, full-time faculty generally were evaluated more positively in key measures of instruction—specifically, questions concerning course rigor (question 12), the overall assessment of the course (question 14), and the overall assessment of the instructor (question 21).

These data have played an important role as evidence supporting lowered ceilings on adjuncts, enrollment planning, and procurement of resources for those faculty members teaching the largest number of students or those seeking to enrich their teaching with innovative pedagogy.

Support for Innovative Teaching

In order to support General Education teaching in the largest sections as well as to encourage faculty wanting to engage in innovative teaching, the General Education Program has offered small stipends for class

assistants since 1994. The General Education Faculty Assistance Program (GEFAP) invites faculty to apply for up to 60 hours of undergraduate or graduate assistance per semester. The application process uses a simple on-line form in which a faculty member describes the classroom activities to be included in the assistant's work. The program does not fund assistants purely for grading, or set-up and preparation, but rather rewards those projects that take advantage of the peer-to-peer relationship in learning (e.g., tutorials, reviews, discussion groups) or that enhance the General Education values, learning objectives, and goals (e.g., writing coaching and reviews, on-line discussions and class sites, field experiences, service opportunities).

In 1998, GEFAP obtained a permanent budget and currently supplies up to 40 assistants per semester. Each semester, students in assisted sections evaluate their GEFAP assistants. Not surprisingly, these results are overwhelmingly positive. A comparison of the summative questions in the student evaluation of teaching forms, has demonstrated semester after semester that GEFAP-assisted sections show higher levels of student satisfaction.

The General Education Program has also fostered curricular innovation. Since the fall semester of 1998, the General Education Program in collaboration with the College Writing Program, Department of Literature, College of Arts and Sciences, has offered sections of linked courses in which a cohort of first-year students takes a combination of a General Education course with College Writing. Far from a simple writing-across-the-curriculum experiment, this plan allows the expertise of the writing instructor to enhance written work in the General Education foundation course while providing content for the College Writing class. Faculty teams report that such teaching linkages are rewarding, while students rate it highly as both an enhancement of writing work and a community-building innovation.

EMERGING PROGRAMS AS A RESULT OF LONG-TERM PLANNING

The University College

President Ladner's *Ideas into Action, Action into Service* states that "our primary institutional reputation will be anchored in a new, very selective, high-quality, interdisciplinary undergraduate program for freshmen and sophomores, known as University College." In fall 2002, the provost and vice president of campus life jointly convened a project team to begin defining such a college. The work of the team continues at present, but certain design features of a University College are emerging from the deliberations.

The work of the project team began by articulating a series of living and learning objectives for the University College and proceeded to model possible

designs for the college, each of which would point to particular outcomes. The common elements of this discussion project that the University College will engage students during the first two years, beginning with New Student Orientation and the Freshman Service Experience, and leading to a freshman seminar. Its residential nature will reflect the living arrangements in residence halls. The College will connect with existing core undergraduate programs such as General Education and the College Writing requirements. In the second year of study, students will begin to engage in directed research projects under the eye of selected faculty.

The University College project team has identified the following objectives:

- to connect students with faculty, staff, and their peers in vibrant and creative ways
- to create opportunities for students to participate in intellectual, interdisciplinary programs that address ethical and cross-cultural issues
- to link academic experiences to opportunities that engage students with Washington and the world and connect ideas with action and service
- to increase the cohesion and focus of the first two years of the undergraduate experience
- to strengthen AU identity formation and develop lasting ties to the institution.

Upon completing the two years, AU undergraduates should:

- be aware of and feel connected to American University traditions, history, and values
- have been immersed in rigorous academic inquiry and have completed a research experience
- be able to demonstrate information literacy, ethical awareness, openness to diverse viewpoints, and cross-cultural understanding
- have been exposed to experiences that connect them to Washington and the world
- have created a documented reflection of their experience and have participated in a culminating event to recognize the experience.

Internationalization of the University

On March 17, 2003, President Ladner established a project team to transform into reality point 6 of *Ideas into Action, Action into Service*, specifying that AU will “become the premier global university in the United States.” Under the leadership of the vice president of international affairs, Dr. Robert A. Pastor, this project team generated an extensive report responding to the president’s charge to evaluate the current state of the university’s “global character and potential compared to

other universities; review and assess our international programs, partnerships, and other activities aimed to enhance our presence abroad; and identify the unique international expertise of our faculty and propose strategies for leveraging their talents in new ways.”

The project team’s agenda focused on specific elements implicit in President Ladner’s charge:

- to suggest ways to improve and expand the study abroad experience for all students
- to prioritize geographical areas for targeted expansion of programs and activities
- to re-conceive and enlarge the operations of the World Capitals Program sites and integrate them with the local environment (also *see below* under World Capitals)
- to expand the presence of international faculty and students
- to consider new ways to integrate key elements of the Washington Semester Program to serve as an incentive for international students to come to AU

The learning outcomes identified by the task force were:

- an ability to function effectively in other countries, other cultures, and foreign environments, and so to appreciate the differences among them as well as the common values that unite humanity
- increased knowledge and expertise on particular countries and regions of the world
- competency in one or more foreign languages
- development of functional skills of high relevance in other countries
- growth in students’ intellectual curiosity and sense of personal autonomy

The project team settled on four key recommendations, which it forwarded to the president for implementation:

- encourage all AU undergraduates to avail themselves of an international experience that could include an array of programs
- expand the World Capitals Program, with additional sites and greater integration of study at these sites with the locality
- develop partnerships and strategies to increase the number and quality of international students coming to AU (in part, to fill the places of those leaving to study abroad)
- improve foreign language proficiency through immersion courses, teaching additional languages, or a competency certificate program in languages.

In June 2003, President Ladner accepted the project team’s recommendations and goals while encouraging

continued feedback and discussion. He echoed the overall objective of the initiative, that “all AU undergraduates will be strongly encouraged to have a study-living experience abroad.” The specific target is a doubling of the number of students availing themselves of such an experience in the next four years.

OTHER ACADEMIC PROGRAMS

Freestanding programs

Freestanding programs, that is, programs built across the lines of traditional majors or minors, include pre-professional curricula such as pre-engineering (offered in conjunction with the University of Maryland at College Park), pre-law, and pre-medicine. The five-year pre-engineering program combines the advantages of liberal arts and professional education as students work closely with a faculty advisor in one of the natural sciences, mathematics and statistics, or computer science to tailor course selection to individual needs and interests. Pre-law requires that student programs be supported by a broad selection of courses from mathematics, the natural sciences, the social sciences, and the humanities and include such courses as philosophy, literature and advanced writing, history, political science, accounting, business administration, economics, languages, and other courses demanding logical thinking and analytical reasoning. The pre-medical program includes extensive individual advising on careers, courses, volunteer and research opportunities, professional school examinations, selection of schools, and financial aid, all of which helps candidates to be placed in medical schools. The program includes a Health Careers Forum and a Health Profession Seminar.

Honors Program

The mission of the University Honors Program is to attract and retain academically talented undergraduate students by providing small classes, enhanced advising, a special residential program, and increased engagement with top faculty both inside and outside the classroom. The honors program, in its current form, began functioning in fall of 1989. It underwent review in 1994 and 2001 and presently consists of courses selected from the General Education curriculum and beyond. Small seminars, individualized attention from faculty, and unique access to the resources of Washington, D.C., contribute to the special atmosphere of this honors community. Students select their classes from honors sections of major or major-related courses, honors supplements linked to courses in the major or related fields, University Honors colloquia, and honors independent study. All University Honors students are obligated to complete a senior capstone project.

Honors students are generally satisfied with their experience. According to annual reports of the honors program and a review of that program in AY2000–2001, honors students report higher levels of satisfaction

with honors courses when compared to all undergraduate courses, General Education courses, or all courses at the 100- and 200-level. Retention of honors students is high, particularly after the first year of study. As of fall 2002, the retention of 2001 honors freshmen is 92.8 percent compared to 87.3 percent overall.

Most honors students enter the program as freshmen as a result of the quality of their application to the university and merit scholarship awards. Fewer students are invited to join the program based on their achievement once at the university; others nominate themselves and may be admitted based upon an interview and review of their academic records. A small number of students join after transferring to the university and based on a prior demonstration of excellence.

The strategic plan mandated that the University Honors Program increase the number of its students to 15 percent of the incoming class. The program has grown rapidly over the period of 1999–2002, surpassed the 15 percent target, and currently designates almost 60 sections per semester as honors, compared to fewer than 30 in 1999. More than 50 percent of students complete the program.

Figure 7.8—Entering Honors Students

Year	Students
1998	162
1999	278
2000	303
2001	277
2002	231
2003	254

Honors students may also take supplements to non-honors classes. In spring 2002, honors students completed 159 supplements and, in the fall of 2001, 167. The honors program, though it has struggled with developing a diverse population of students, has increased its number of minority participants. In 2001, it accepted 189 African American, Hispanic, Asian, and other minority students, an increase from 140 minority students accepted the previous year.

The honors program has instituted a variety of new academic experiences for students, including the Early Identification Program, a collaborative effort with the Office of Merit Awards, which prepares sophomores for major awards and fellowships; annual Senior Honors Capstone Conferences, which are intended to showcase research of graduating students; Honors Capstone Grants, which financially support capstone research; and expansion of honors credit to the World Capitals Program.

Phi Beta Kappa Chapter

American University’s 1999 Periodic Review Report outlined the awarding of a chapter of Phi Beta Kappa

Assessment in the Literature Department

In the process of writing its learning objectives the Department of Literature realized that writing skills were not emphasized in the curriculum to the degree that it would like. As a result, the department designed a course entitled “Senior Project in Literature”. Students develop their research, analytical, and writing skills, culminating in a 25-page paper. The seminar provides the department with a way to advance its learning objectives while at the same time providing an excellent venue to test skills and gain feedback that can be used for program improvement.

in 1994. Phi Beta Kappa is the oldest and most prestigious academic honor society in the United States and honors undergraduate academic achievement, especially in the liberal arts and sciences. The organization adheres to stringent standards for establishing chapters. The AU Zeta chapter continues to encourage recognition of high academic achievement on campus and inducts approximately 70 students per year in a ceremony during commencement weekend, a number corresponding to approximately 10 percent of graduating seniors from the three liberal arts colleges (CAS, SOC, SIS). The chapter sponsors an annual dinner and lectures by prominent visitors as well as by Phi Beta Kappa faculty members.

Adult Learners

A majority of the educational programs and services for adult learners are provided by the College of Arts and Sciences. Four CAS academic counselors, one with a master's degree in adult learning, allocate part of their time to advising adult learners. An important program in this area is the BA in liberal studies for adult learners, unique in its flexibility to accommodate different professional interests through specialization courses similar to requirements for minors in the range of fields of study offered at AU.

The Assessment of Experiential Learning program, for adults who have been out of high school for at least eight years, enables students to earn credit for learning gained through work, travel, and community service. In the course EDU-240 Analysis of Experiential Learning, students work closely with faculty to develop a portfolio that describes, analyzes, and documents life experience and learning. Students may earn up to 30 credits applied as electives toward an undergraduate degree. In addition to the course, workshops help students develop good study skills.

McNair Program

The Ronald E. McNair Postbaccalaureate Achievement Program prepares low-income first-generation college students and minority undergraduates for doctoral study. Students enjoy research opportunities, faculty mentors, and activities meant to increase the likelihood of their matriculation in and graduation from doctoral programs. The AU McNair program, distinguished as one of the 15 original such programs nationwide, recruits from its own student population and from the student population at the University of the District of Columbia. A summer research internship allows participation in a paid, eight-week, intensive research project under the supervision of a faculty mentor. Students present their research findings at national and regional conferences.

Washington Semester Program

The Washington Semester Program, founded 55 years ago as an American Politics Semester, now offers rigor-

ous experiential education to approximately 450–500 students each semester from all over the United States and the world. Some 230 colleges and universities send their students to the program. Students study in 12 areas: American politics; economic policy; foreign policy; gender and politics; information technology and telecommunications policy; international business and trade; international environment and development; journalism; justice; peace and conflict resolution; public law; and transforming communities.

Three full days a week of seminars, including the conceptual and theoretical foundations of the chosen field of study, lectures by Washington-based experts in the field, and field study visits to government agencies, business organizations, think tanks, and other institutions, are the academic core of the program. Two full days a week of supervised, substantive internships in the field of study support and develop these classes. An internship seminar also supports the internships. In addition to their seminars and internships, students may elect to take an additional supervised four-credit research project class or a three-credit evening course.

A total of 18 to 20 full-time faculty members who have academic appointments in appropriate teaching units of the university teach in the Washington Semester Program. Many of these individuals hold multiyear contracts after successfully serving on a series of one-year contracts. Additional part-time faculty members oversee the internship course.

Students give the programs their highest praise, regularly noting that “this was a life-changing semester.” Many of the students return to Washington after graduation to work as professionals in the institutions in which they interned during their Washington Semester, and many more return after graduate study.

The Washington Semester Program staff currently relies on a narrative course and program assessment tool, a tool which they find valuable in making instructional and organizational decisions. However, realizing the need for more precise indicators and for indicators capable of comparison to other academic programs at the university, they are considering developing a quantitative tool similar to the student evaluation of teaching administered by the registrar.

Washington Semester American Indian Program— Washington Internships for Native Students (WINS)

The Washington Semester American Indian Program—Washington Internships for Native Students (WINS) provides experiential education to American Indian and Alaska Native students from all over the United States. It helps these students—historically underrepresented in the national government and capital—continue their college education while interning in Washington, meeting fellow future leaders from tribes all over the country, and learning how

the political process in Washington works. The federal government funds this program in its entirety to enable students from tribal colleges and reservations as well as nontribal colleges to attend.

In a summer session of 10 weeks, approximately 100 students intern 40 hours a week in government agencies and attend classes at AU three nights a week, earning six credits. Two nights a week, classes are devoted to American government and Native American issues, and one night a week classes are devoted to evaluating and expanding on the internship experience.

In the fall and spring semesters of 15 weeks, students intern 35 hours each week in government agencies and attend classes two to three nights and one afternoon a week, earning 12 credits. The afternoon class is devoted to evaluating and expanding on the internship. The evening classes, drawn from evening classes offered by AU, are selected to meet each student's academic and degree requirements. Depending upon student need, classes in American Indian issues, such as American Government and Native American Issues, are offered some semesters as well. The enrollment goal for fall and spring is 25 students per semester. Only three students were enrolled during spring 2002, and seven during fall 2002. Students who have completed the program praise the opportunities they had and are generally extremely favorable in their evaluation of the total program offerings.

Study Abroad

In order to "build a distinctive, global university" as stated in the strategic plan, AU offers numerous study abroad opportunities. For more than 20 years, AU has administered study abroad programs primarily through the World Capitals Program, founded in 1982. In August 2003, President Ladner announced that the study abroad program would be reorganized and managed by the Office of International Affairs under the direction of vice president Robert Pastor. The president also announced that a new office, AU Abroad, would oversee all university-wide study abroad programs.

Current sites under the AU Abroad program are: Santiago, Chile (two programs—Santiago and Andes to the Rainforest); Sydney, Australia; Beijing, China; Berlin, Germany; Brussels, Belgium (two programs—European Union and International Marketing); Buenos Aires, Argentina; Rome (and Corciano), Italy; London, England; Madrid, Spain (two programs—Madrid and the Mediterranean); Paris, France; Prague, Czech Republic; and Southern Africa (Namibia and South Africa). A phased increase of additional sites is underway in order to meet over the next four years the university's stated goal of doubling the percentage of its undergraduate students who study abroad. American University also makes available study abroad opportunities through the School of International Service and the

Washington College of Law as well as other departmental exchanges. If students are interested in locations and areas of study not represented by an AU-sponsored program, they may seek departmental approval through the permit-to-study-abroad form.

Over the years, study abroad participation has increased significantly. Since the last Middle States review, AU student participation in the World Capitals Program grew from 359 in 1994–1995 to 473 in 2002–2003, or 32 percent. When compared to similar institutions of the same Carnegie categorization (doctoral institutions), AU consistently ranks in the top 12 for the total percentage of students who study abroad (*see* Supporting Document 7.6).

At each study abroad site, efforts are made to immerse students in foreign cultures through seminars, field trips, internships, homestays with local families, and other structured activities. However, the extent of integration with the local environment varies significantly from site to site, and one of the major emphases of the AU Abroad program is to increase the level of integration at both existing and new sites. Opportunities to learn a foreign language or improve foreign language competency are available at most study abroad locations. Another future emphasis of AU Abroad will be to increase the extent of student learning that takes place in the host country's native language. Various ways of achieving this objective may be pursued through, for example, broader and deeper foreign language offerings in the regular university curriculum for students planning to study abroad, and through summer immersion programs in foreign languages at institutions abroad.

In every study abroad site, faculty selection and affiliation meet the same standard of high quality as American University's Washington, D.C., campus. When AU has affiliations abroad and students directly enroll in foreign institutions, AU facilitates the process and ensures that institutions meet local standards of accreditation and high standards of quality. All programs and courses abroad undergo evaluation every semester to ensure that they meet the expected academic rigor and effectiveness to educate global citizens.

English Language Institute

Since 1970, AU's English Language Institute (ELI) offered courses in English as a second language to meet the specific needs of nonnative speakers who wish to enroll in an American university. In 2001, the university assessed the institute and concluded that it was not providing a sufficient level of service and that students' language skills were not developing adequately. The university decided to discontinue ELI in 2002 and implement higher language admissions standards. As of fall 2003, a TOEFL (Test of English as a Foreign Language) score indicating English language fluency is a requirement for admission. In May 2003, ELI services ceased. Nonnative speakers needing special assistance

will receive support from existing resources, such as the Academic Support Center and the Writing Center.

Undergraduate Certificate Programs

The university offers a small number of undergraduate certificate programs. These are defined as a course of study open to undergraduates to prove a specific skill. The Department of Language and Foreign Study in the College of Arts and Sciences offers the majority of these. Their purpose is to prove proficiency in translation skills. Certificate courses of study are not attached to a specific major and, although most students working toward a certificate are already pursuing an undergraduate degree, a student may be admitted to the university in order to gain only a certificate.

Figure 7.9—Undergraduate Certificate Completion Rate

Program	Students Completing	
	AY00–01	AY01–02
French Translation	2	1
German Translation	2	1
Russian Translation	2	0
Spanish Translation	11	7
TESOL	1	3
Total	18	12

OUTCOMES ASSESSMENT

In the last 10 years AU has made significant progress in enhancing both the depth and breadth of its undergraduate education assessment program. Moreover, the emphasis of assessment has shifted from one based on “input” measures, such as entering student qualifications, to one that includes many more “output” measures designed to assess student learning. Given the institution’s mission to achieve academic excellence, assessment of learning outcomes has become a central component of its overall institutional assessment plan.

AU uses a wide range of assessment measures at multiple levels of analysis. Using Alexander Astin’s model as guide, the institution collects and assesses input measures (such as incoming student qualifications), experience measures (such as student satisfaction), and outcomes measures (such as employment and graduate school placement) related to expected undergraduate outcomes. Assessment takes place at the course, program, and institutional level. Most importantly, the results of assessment efforts are used to determine the degree to which mission, goals, and objectives are being met and to make adjustments to academic processes when necessary. (See Figure 7.10)

Assessing Learning Outcomes at the Program Level

Assessment of the Major

Even before the new *Characteristics of Excellence* was finalized, AU recognized the importance of the grow-

ing trend in higher education towards assessing learning outcomes. In summer 2001, the provost assembled a team of faculty and academic administrators to develop a strategy and timetable for the development of a learning outcomes assessment program. The team attended the American Association of Higher Education assessment conference, reviewed assessment models, and discussed ways that a learning outcomes assessment program would integrate with the institution’s overall assessment efforts.

The team recommended that the institution focus its efforts on assessing learning outcomes at the program level. As part of the learning outcomes assessment plan, a model for collecting information was agreed upon and an initial timetable set. In fall 2001, the provost initiated the assessment effort by sending a letter to all faculty members stressing the importance of developing learning outcomes. Department chairs were asked to work with faculty to provide mission statements for each program and to develop a comprehensive set of learning objectives, strategies for assessing the objectives, and standards for evaluating the information collected.

By the end of AY2001–2002, undergraduate programs had completed this first step of the assessment process. In spring 2003, departments were asked to submit changes to their plan and to report on any progress made in their assessment efforts. While assessment plans are reviewed by the deans and provost, the “ownership” of the plans rests with the departments themselves. The program is designed not simply to evaluate departments but primarily to assist departments in self-reflection, analysis of goals, and program improvement. Institutional support is provided by the director of institutional research and assessment, the Center for Teaching Excellence, and a newly formed Learning Outcomes and Assessment Project Team. This project team is made up of peers who are charged with facilitating the learning outcomes project.

Departmental assessment of learning outcomes at AU is not new. Many programs have had comprehensive strategies for assessing how well students acquire the skills and knowledge expected of them in the major. A survey of assessment activities, conducted as part of the university’s Periodic Review Report, found that “virtually all academic units are involved in some form of outcomes assessment, though these may not be recognized as such.” The latest efforts to track and communicate learning objectives have provided academic departments with the opportunity to clarify mission statements, document success, and identify areas for improvement.

Examples of the strength of the assessment efforts are numerous. A review of the mission statements set by departments finds that the institution provides a rich array of programs that are tied closely with the institu-

tion's mission. Departments use a wide variety of assessment measures, including senior thesis projects, oral presentations, performances, portfolios, employment outcomes, internship supervisor evaluations, exit interviews, course-embedded assignments, and transcript analysis. More than 15 programs offer capstone courses, thereby providing a rich opportunity to assess the knowledge and skills of seniors as they graduate from the institution. Figure 7.11 provides just a few examples of what some programs are using to better understand learning outcomes.

While much progress has been made in implementing the learning outcomes assessment plan, the institution recognizes the need to make further progress. The provost convened a Learning Outcomes and Assessment Project Team in fall 2003, and this team is responsible for facilitating progress on this important project. The team is currently co-chaired by the associate director for the Center for Teaching Excellence and the chair of the Faculty Senate Curriculum Review Committee. Members of the team have attended assessment workshops and have planned a timeline and strategy for addressing the issues of most

immediate concern (see Supporting Document 7.7). The mission of the project team is to:

- facilitate, support, and promote assessment at AU
- facilitate the development of learning outcomes across campus and to facilitate knowledge about these objectives
- support, foster, and document the appropriate use of assessment information for program improvement and promotion.

As this *Self-Study Report* is written, programs are at different stages in the implementation of their assessment plans. (Many still need to implement assessment tools fully, report on the results of their assessment efforts, and document the ways in which assessment has been used for program improvement.) The director of the Office of Institutional Research and Assessment is working with departments to find ways to tailor assessment tools to their specific needs. The University Library is also working with units to facilitate the inclusion of information literacy assessment plans, where appropriate.

An Undergraduate Mission Statement: The BA in Anthropology

"Anthropology is both a theoretical and applied field concerned with the biological and socio-cultural dimensions of human experience. The comparative, cross-cultural approach is the foundation of anthropology and unites its sub-fields (physical/biological, archaeology, anthropological linguistics, and social cultural). Students in the department of anthropology at AU gain an understanding of at least three of four sub-fields, and at least one major world region. They are also taught the primary methods, both quantitative, and qualitative, used in anthropological research.

A major strength of the program at AU is its emphasis on public anthropology. The setting of Washington, D.C., gives students many opportunities for applying anthropology to real world situations, involving issues such as law and politics, race and ethnicity, culture resource management, politics of archaeology, socioeconomic inequality, gender and sexuality, language and communication, urban anthropology, and public health."

Figure 7.10—Assessment of Student Learning at American University

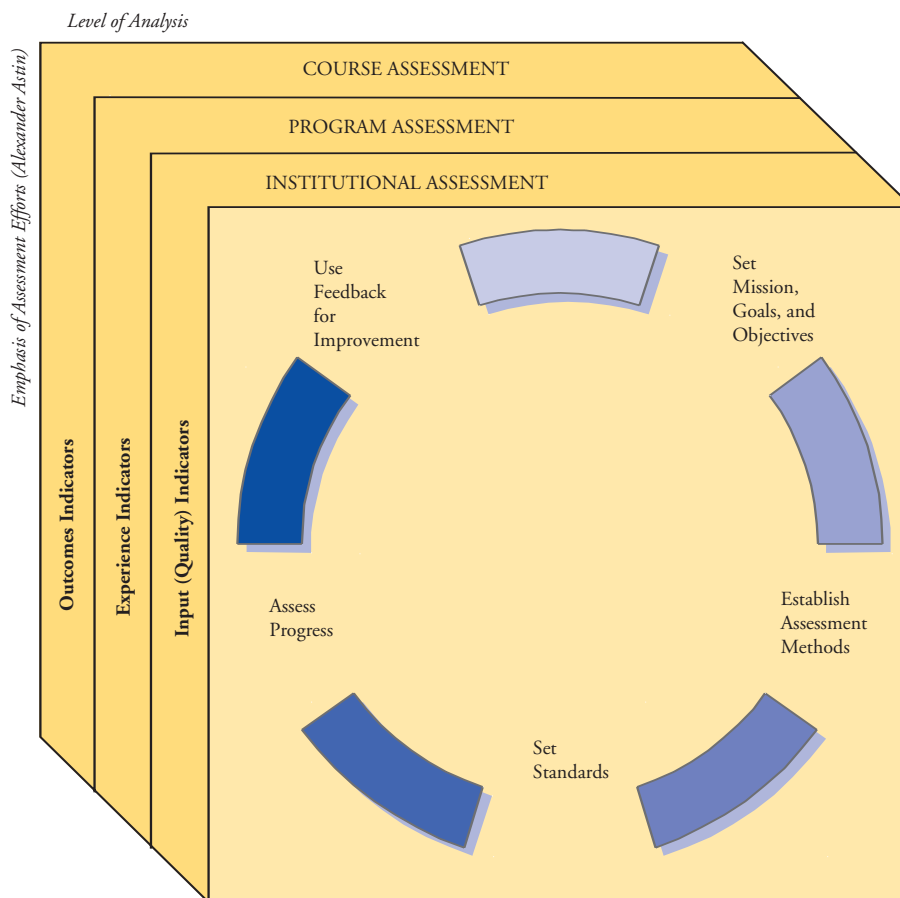


Figure 7.11
Examples of Methods Used to Assess Learning Outcomes

- Senior Thesis or Research Project—Anthropology, Chemistry, Biochemistry, Economics, History, Information Systems
- Transcript Analysis—Health Promotion, History, Jewish Studies, Women and Gender Studies
- Student Portfolios—Economics, Elementary Education, Secondary Education
- Peer Critiques—Graphic Design, Studio Art
- Oral Presentations—Anthropology, Art History, Graphic Design, Biology, Environmental Studies, Chemistry, Biochemistry, Sociology, Law and Society, Public Communication
- Recitals—Music
- Internship Supervisor Evaluations—International Studies, Jewish Studies, Women and Gender Studies, Health Promotion, Elementary Education, Secondary Education, Biology
- Alumni Studies—Journalism, Chemistry, Biochemistry

Other Program-Level Assessment

In addition to assessment of the major, assessment at the program level includes efforts to document learning in the General Education Program (discussed previously), the University Honors Program, and Study Abroad Programs.

Assessment Tools

The university uses a number of tools to collect information on student quality, the quality of the student experience, and learning outcomes. Many of these measures, particularly factors related to student quality, have been discussed earlier in this chapter.

A number of tools are widely used. For example, course evaluations are used by faculty to make improvements

to their courses. But they are also used by departments to inform course offerings, by deans for faculty appointments, and by the Provost’s Council to make decisions related to such things as class size and adjunct usage. While a complete discussion of every assessment tool would be beyond the scope of one chapter, it is appropriate to illustrate the types of assessment used on campus by discussing the survey research program and a few other institution-wide assessment efforts.

AU has an extensive survey research program that allows it to track student experiences and outcomes. As the Middle States publications on assessment point out, surveys are indirect indicators of student learning. However, “the assumption underlying this approach, that students are generally accurate reporters of how much they have gained as a results of their educational experiences, appears to be supported by a credible body of research evidence” (see Supporting Document 7.8). The following are examples of some of these measures, as well as a summary of the latest results.

Student Evaluations of Teaching

The university routinely administers anonymous surveys designed to evaluate students’ perceptions of the quality of education they are receiving in each course. Student evaluations of teaching are administered in all undergraduate courses at the end of the semester. In addition to collecting general information on student perceptions of learning, the university also provides departments with the opportunity to add questions that relate to learning outcomes. The evaluation forms for all General Education courses, for example, include questions designed to assess how well the course met the objectives of the General Education Program.

Analysis of the information is done on all levels. Electronic access to survey results on Eagledata has facilitated their use. Deans analyze the data using a number of different factors, including class size, faculty type, and course level. The result is that the usefulness of the data to inform decisions has greatly improved.

According to the evaluations, students perceive that they are receiving a high quality education from high quality

Figure 7.12—Selected Course Evaluation Items—Undergraduate Results
 (average scores against highest possible scores)

Item	Fall 2000	Fall 2001	Fall 2002
Instructor stimulating	3.96/5	4.00/5	4.06/5
Instructor knowledgeable	4.53/5	4.56/5	4.57/5
Course well-prepared	4.12/5	4.16/5	4.17/5
Material useful	3.92/5	3.99/5	3.98/5
Assignments useful	4.05/5	4.08/5	4.08/5
Course demanding	4.01/5	4.06/5	4.07/5
Overall instructor rating	4.84/6	4.89/6	4.95/6
Overall course rating	4.62/6	4.67/6	4.68/6

Scores rated from 1 to 5: 5 = strongly agree, 4 = agree, 3 = neither agree or disagree, 2 = disagree, 1 = strongly disagree.
Scores rated from 1 to 6: 6 = superior, 5 = very good, 4 = good, 3 = satisfactory, 2 = fair, 1 = poor

Figure 7.13—Campus Climate Survey Results
(% who strongly agreed or agreed)

Item	Spring 1998	Spring 1999	Spring 2000	Spring 2001	Spring 2002
Courses are demanding	83.0	84.6	84.9	84.5	87.6
Satisfied with what was learned	80.0	78.7	83.0	79.7	84.2
Satisfied with courses	77.1	80.7	80.5	80.2	83.0
Satisfied with faculty	78.4	83.3	85.0	84.9	87.4

faculty. As indicated in Figure 7.12, the majority of the undergraduate students enrolled at AU rate their instructors as stimulating and knowledgeable, the courses as well prepared, and the material and assignments as useful. For example, in fall 2002, these dimensions were rated 4.06, 4.57, 4.17, 3.98 respectively on a five-point scale. Furthermore, students rate the course and instructor highly and are satisfied with what they have learned. Of some import, the consistently high ratings of undergraduate courses occur despite students indicating they find the courses to be somewhat demanding (average rating in fall 2002 was 4.07 on a five-point scale). Overall data from the past seven years indicates that fall 2002 is a typical example of the quality of teaching at AU and suggests that courses at the university are taught in an academically rigorous fashion, are delivered effectively, and are well received. This clearly indicates that the classroom setting addresses the goal of being a high-quality undergraduate institution that emphasizes a high level educational experience.

Campus Climate Survey

Since 1998, the university has used the Campus Climate Survey to gain a better understanding of student perceptions of their undergraduate experience. Each spring, all undergraduates are asked about their satisfaction with courses, faculty, fellow students, and academic program. In addition to closed-ended questions, students are asked to provide open-ended responses to explain their views on a number of important issues. The results are analyzed by school or college, program, and a number of different demographic indicators. Results of the survey are discussed by the President's Cabinet, the Provost's Council, and within the schools and colleges. In many cases, the results have been used as a means to identify issues in need of further study. When necessary, focus groups have been used to understand issues and to develop suggestions for program improvement.

Results of the survey indicate that students are satisfied with their undergraduate experience and that satisfaction continues to grow over time. The qualitative responses reinforce what we know, that individual faculty make a significant difference in the undergraduate experience. Students repeatedly mention that the university's diverse student body contributes to learning. In congruence with the university mission, students also mention the important role experiential learning plays in their overall education.

National Survey of Student Engagement

AU students' perceptions of their educational experience are assessed in the National Survey of Student Engagement (NSSE). The survey is administered every other year and is valuable to the university for a number of reasons. Survey questions are designed to focus on student engagement: "The extent to which students participate in the proven educational processes that contribute to outcomes." The results offer the institution an invaluable benchmarking tool and a way to measure progress over time.

As with the Campus Climate Survey, results of the NSSE are reported across this *Self-Study Report*, as appropriate. What can be said overall is that the quality of student engagement at AU is excellent and is improving. In the area of "level of academic challenge," AU freshman results are in the 90th percentile for doctoral-extensive institutions. For seniors, the results are in the 80th percentile. For NSSE's benchmark on "active and collaborative learning," AU results are even more impressive. Our freshmen have the top score for doctoral-extensive institutions. Seniors score in the 80th percentile.

Graduation Census

Understanding student success in obtaining employment in their field and admission into graduate school are key indicators for many academic programs. The census asks students at time of graduation to report on their employment and graduate school status. It also asks them to assess how well AU assisted in developing a number of different skills and abilities related to the General Education Program and the overall mission of the institution. Students are asked general questions related to their experience as well. The Office of Institutional Research and Assessment works in close collaboration with academic units and the Career Center to elicit a high response rate. Typically, around 80 percent of students respond.

As with the Campus Climate Survey, the graduation census is used by a wide range of constituents on campus. Employment indicators are used in outcomes assessment plans and the results are used by the provost, deans, and others. Beginning in December 2003, the survey will be modified to give academic units greater flexibility to add individual questions related to specific learning outcomes.

The Campus Climate Survey asks students, "What one thing about your undergraduate program has been of the greatest value to you?" Here is a typical response: "I have learned that there are many more sides to an issue than what I think exist. Being around so many different kinds of people has really broadened my understanding of life in general."

Graduating students say that AU did a good job in developing such abilities as multicultural awareness, critical-thinking research, and oral communication. Knowledge or skills rated lower include computer software skills and scientific inquiry. Ninety-four percent of graduating students say that they were satisfied with their academic program.

Alumni Survey

The university's concern with assessing students' educational experiences extends beyond graduation. AU conducts alumni surveys to learn the extent to which those who graduated one and five years ago believe that their education developed important skills and prepared them for employment and graduate school. In the latest survey, conducted in 2000, alumni gave AU high marks for the degree to which it prepared them for their current job. Three out of four alums who went on to graduate school said that they were accepted into the university or college that they considered to be their top choice.

Undergraduate Research

For many programs, research competence is a critical learning outcome. In addition to the many ways that programs assess research competency, the institution assesses it by tracking, when possible, student participation in research conferences and the quality of research presented. Thirty-two AU student papers were published in the 2001 edition of the National Conference on Undergraduate Research Journal and 56 were published in the 2002 edition. American University is the most published academic institution in the journal. As the 2003 conference was attended by approximately 5,000 students from more than 400 colleges and universities throughout the country—including Harvard; Columbia; the Universities of California at Berkeley, North Carolina at Chapel Hill, and Virginia—and a few from overseas, the magnitude of AU students' accomplishment is clear. Moreover, of the approximately 2,000 papers submitted at the conference, only 341 (17 percent) were published. AU's undergraduate students have made successful and key contributions to research, a fact that speaks loudly of and vividly measures the quality, depth, and breadth of undergraduate learning.

Merit Award Programs

Another indicator used by the institution to measure the quality of undergraduate learning is the number of students preparing applications and winning national merit awards. At AU, this number continues to grow. The ability of students to achieve so many awards is due to several factors, including high-quality students, excellent academic programs, and a commitment by the institution to provide resources that support the award winners. The Office of Merit Awards and Scholarships in the Career Center prepares students for nationally competitive, merit-based scholarships and

awards. A full-time director and part-time assistant administer the selection and nominations for fellowships, such as Marshall, Mitchell, and Truman. The office supports various information sessions, selects the university's nominees, and provides intensive training to candidates. The office also assists students who wish to apply for discipline-specific awards and maintains a scholarship database. AU students have won funding for study abroad through prestigious fellowships, such as Rotary (Egypt, France, UK), Fulbright (Egypt, Chile, Ireland, Germany, Morocco), and the National Security Education Program. Domestically, undergraduate students have been awarded Institute for International Public Policy (IIPP) Fellowship, Carnegie Endowment for International Peace Fellows Program, Barry Goldwater Fellowship, Harry S Truman Fellowship, and Morris Udall Fellowship.

CONCLUSION

The richness, rigor, and range of undergraduate study and accomplishment at American University are remarkable. Increasingly able students have availed themselves of ever-broadening options for learning in both traditional and innovative ways. But, as learning and teaching at AU grows, it develops its own set of challenges. The interface of innovation and proven capability in the undergraduate enterprise inspires some observations and concerns, elements that suggest some deliberate review and prudence, leading to the following proposals.

RECOMMENDATIONS

- Affirm and enhance the centrality of the General Education Program to the entire undergraduate curriculum by supporting the recommendations of the General Education review, by maintaining an appropriate 31 credit hours in the program in the newly revised cluster arrangement, and by committing sufficient faculty resources to meet the targeted limits on adjunct teaching in General Education.
- Study carefully plans for any further growth of university-wide requirements in the undergraduate curriculum (beyond the present General Education, College Writing, and mathematics requirements) so that majors, double majors, and honors students can plan their time confidently and with options for electives, minors, and experiential learning opportunities.
- Implement an innovative University College that draws together the disparate elements of living and learning without compromising the fundamental quality or features of the existing undergraduate curriculum.
- Provide even greater support and encouragement for assessment through incentives for faculty participation, resources for departments interested in improving learning outcomes plans, and opportunities for communicating assessment results to the university community.

Supporting Documents

- 7.1 *Academic Data Reference Book*, 2002–2003, Table 1, full- and part-time students in all degree and nondegree programs.
- 7.2 Cooperative Institutional Research Project (CIRP), 2002, sponsored by the Higher Education Research Institute at UCLA.
- 7.3 President Ladner, <http://american.edu/president/>.
- 7.4 President Ladner, Statement of Common Purpose.
- 7.5 American University General Education Program Annual Reports for AY1997–2000.
- 7.6 Institute of International Education, *Open Doors: Report on International Educational Exchange*.
- 7.7 American University Assessment of Learning Outcomes.
- 7.8 Framework for Outcomes Assessment, p. 19.
- 7.9 Pastor, Robert, *Transforming American University into the “Premier Global University”*: Report of a Project Team. April 28, 2003, found at http://american.edu/internationalaffairs/pdfs/premier_global_university_phase1.pdf.
- 7.10 Point 6 Task Forces’ Final Report to President Ladner, April 18, 2003.
- 7.11 American University, *2002–2003 Catalog* (and earlier editions).
- 7.12 American University, Honors Program, Annual Reports, 1999–2002.
- 7.13 American University, Office of Admissions, Viewbook.
- 7.14 American University, Office of Institutional Research and Assessment, *Academic Data Reference Book*, 1994 through 2003.
- 7.15 American University, Office of Institutional Research and Assessment, *Campus Climate Survey*, 1998–2003.
- 7.16 American University, Review of the General Education Program, 2001, found at <http://www.gened.american.edu/academic.depts/gened/report/>.
- 7.17 College Entrance Examination Board, Research Summary: The Effects of SAT Scale Recentering on Percentiles, RS-06, May 1999, found at <http://www.collegeboard.com/research/html/rs05.pdf>.
- 7.18 The College Board, *The College Handbook*, 40th edition, 2002.
- 7.19 American University, *Academic Integrity Code*.



GRADUATE AND PROFESSIONAL EDUCATION

CHAPTER 8 GRADUATE AND PROFESSIONAL EDUCATION

INTRODUCTION

Graduate and professional education has been integral to American University since its founding more than a century ago. The first degrees the university granted in 1916 were graduate degrees, and the university remained primarily a graduate institution until after World War II. Since that time, the university has changed in many ways, including the increasing centrality of undergraduate education as recognized in President Ladner's point 3. Nevertheless, AU continues to have strong and unique graduate and professional programs, and point 4 of the president's plan sets ambitious goals for the future of graduate education at AU.

In an April 2002 speech elaborating those goals, Provost Kerwin stated that "the future of the institution is bound inextricably with the future of graduate education. The issue is central to our mission, our history, our current circumstances, and what we hope to be in the coming years" (see Supporting Document 8.3). Consistent with that historical commitment and with its mission statement, the university has built a suite of high-quality graduate programs that spans a broad spectrum of academic and professional fields. The PhD programs are concentrated mainly in the social and policy sciences and are relatively small. Most graduate students are enrolled in master's or law programs, the majority of which are in professional fields. The university has outstanding master's programs in certain arts and humanities, such as creative writing and the performing arts, in addition to various social and natural science fields, and numerous nondegree certificate programs. Altogether the university offers eight PhD degrees, four law degrees, 49 master's degrees other than law, and 20 graduate certificates as of fall 2003.

What these diverse programs share, in the words of the university's Statement of Common Purpose, is the ability and obligation to teach students "to turn ideas into action and action into service by emphasizing the arts and sciences, then connecting them to the issues of contemporary public affairs writ large, notably in the areas of government, communication, business, law, and international service." AU's graduate programs make concerted attempts to take advantage of the university's strategic location in the nation's capital through internships, externships, and a variety of cooperative ventures with the wide array of government agencies, businesses, and nonprofit organizations in Washington. This commitment to programs so

closely identified with public service means that *engagement* is not simply a buzzword—engagement is central to the academic mission and helps guide the creation and management of all graduate education at AU. (See Chapter 9.)

AU has also dedicated itself to enhancing its already strong reputation for creatively serving a broad-based international community (133 countries were represented in the graduate student body as of fall 2003) and to offering all students the opportunity to actively explore the implications of living and serving in an increasingly global society. This commitment is best expressed in the university's 1997 strategic plan: "American University's primary goal for the next century is to build a distinctive, global university." In many respects it can be argued that the graduate programs already achieve those goals. The School of International Service (SIS) specializes in global issues, while many graduate programs in other schools and colleges offer internationally oriented fields of study. A variety of initiatives, from the human rights programs in the Washington College of Law (WCL) to the Global Development Network that links faculty across various schools and disciplines, offer graduate students opportunities to engage in globally focused research and policy analysis. The recent addition of a new vice president for international affairs and the creation of the Center for North American Studies under his leadership are further indications of the university's commitment to engagement at the global level.

The university's focus and mission help it to attract faculty who are committed to public service and policy-relevant scholarship, as well as graduate students eager to assume public responsibilities in their careers. Alumni of the university's graduate programs occupy senior leadership and elected positions in the United States government, various foreign governments, and many international organizations; they hold important academic and administrative positions in higher educational institutions in the United States and abroad; they influence public opinion from their posts as leading filmmakers and journalists; they manage renowned orchestras and dance companies and participate in major theatrical performances; they lead businesses, large and small; and they take on challenging legal cases that set important precedents.

Many graduate and professional programs at AU have achieved national and international recognition, a number are highly ranked in their fields, and many serve distinctive market niches that connect them to

Figure 8.1
Graduate Degree Programs Offered as of Fall 2003 and Changes Since 1994

Doctoral Degrees (Except Law)

Anthropology, PhD
 Economics, PhD
 History, PhD
 International Relations, PhD
 Justice, Law and Society, PhD*
 Political Science, PhD
 Public Administration, PhD
 Psychology, PhD

Law Degrees

International Legal Studies, LL.M
 Law, JD
 Law, SJD*
 Law and Government, LL.M*

Master's Degrees (Except Law)

Anthropology, Public, MA*
 Art History, MA
 Biology, MA, MS
 Business Administration, MBA*
 Chemistry, MS
 Communication: Journalism and Public Affairs, MA
 Communication: Producing for Film and Video, MA*
 Communication: Public Communication, MA
 Computer Science, MS
 Creative Writing, MFA
 Development Management, MS
 Economics, MA
 Education, Special: Learning Disabilities, MA*
 Education: International Training and Education, MA*
 Environmental Science, MS*
 Ethics and Peace, MA*
 Film and Electronic Media, MFA*
 Film and Video, MA
 Global Environmental Policy, MA*
 Health Promotion Management, MS*
 History, MA
 Information Technology Management, MS*
 Interdisciplinary Studies, MA, MS
 International Affairs, MA
 International Communication, MA
 International Development, MA
 International Peace and Conflict Resolution, MA*
 International Service, MIS*
 Justice, Law, and Society, MS
 Literature, MA
 Mathematics, MA
 Organization Development, MSOD
 Painting, MFA
 Performing Arts: Arts Management, MA
 Performing Arts: Dance, MA

Philosophy, MA*
 Political Science, MA
 Printmaking, MFA
 Psychology, MA
 Public Administration, MPA
 Public Policy, MPP*
 Sculpture, MA
 Sociology, MA
 Spanish: Latin American Studies, MA*
 Statistics, MS
 Taxation, MS
 Teaching, MAT*
 Teaching English to Speakers of Other Languages, MA

Degree Programs Terminated Since 1994**

Accounting, MS
 Applied Economics, MA
 Chemistry, PhD^c
 Development Finance and Banking, MA^c
 Education, MA^c
 Education, PhD^c
 Financial Economics for Public Policy, MA^c
 French Studies, MA^c
 History of Religions: Hindu Tradition, MA
 Human Resource Management, MS^c
 Information Systems, MS
 Mathematics, Applied, MA^b
 Mathematics Education, PhD^c
 Music, MA
 Philosophy and Social Policy, MA
 Physics, MS,^b PhD^a
 Psychology, General, MA
 Russian, MA^c
 Sociology, PhD^c
 Sociology: Justice, PhD
 Statistical Computing, MS^b
 Statistics, PhD^c
 Statistics for Policy Analysis, MS^c
 Toxicology, MS^c

Notes: Separate tracks or concentrations within a degree, joint and dual degrees, and certificate programs are not listed here.

*Indicates new or reorganized since 1994.

**Does not include older programs that were reorganized into newer degree programs.

^aTerminated as a result of doctoral program review, 1994–1998.

^bTerminated as a result of master's program review, 1998–2000.

^cTerminated as a result of graduate program review under point 4, 2002–2003.

particular professional and academic constituencies. The overall commitment to quality is reflected in the fact that about nine out of 10 AU graduate students are in programs that either are accredited by the relevant bodies in their fields or are members of their fields' leading professional societies. However, there has been concern for a long time that some programs have not been able to maintain the same level of quality and distinction as others. The last *Self-Study Report*, in 1994, recommended that "the university should carefully review each of its master's and doctoral programs." Taking this recommendation to heart, the university has conducted a series of program reviews since 1994 in order to guarantee the continued quality and distinction of its graduate programs. In this process, the administration and faculty have devoted considerable energy and resources to the task of evaluating the overall role of graduate programs relative to the mission of the university, as well as to assessing the quality and viability of individual programs.

The reality of the university's situation is that funds, faculty, and facilities are limited and must be marshaled and husbanded carefully to achieve maximum benefits. A graduate program must fit the mission of the university and then earn its place by attracting sufficient numbers of high-quality students and by recruiting and retaining faculty members who are excellent teachers and productive, influential scholars. Not all programs have been able to meet these stringent criteria. Recognizing this problem, President Ladner in point 4 of his plan stated that "there will be significantly fewer master's and doctoral programs, but with much higher academic quality and support." This proposal was put into effect during AY2002–2003, coincident with this self-study process. Although it is therefore not possible for this self-study to fully evaluate the ultimate outcome of this ongoing effort, the progress made to date is discussed later in this chapter.

EDUCATIONAL OFFERINGS

Figure 8.1 lists all current graduate degree programs and also indicates major changes since 1994. Changes resulting from specific program review efforts are so noted; other program changes have emanated from faculty initiatives under procedures discussed below. This list reflects the concentration of graduate offerings in the social sciences, policy disciplines, and professional fields, but also reveals the diversity of the university's distinctive offerings in the arts, sciences, and humanities. Figure 8.1 does not include special and innovative graduate programs, such as nondegree certificates, weekend programs, and joint or dual degrees in more than one field, which are covered separately below.

Program Administration

Graduate and professional programs are administered in a decentralized fashion through the six major colleges and schools, as well as the individual teaching

units therein. AU does not have a unified graduate school or centralized dean of graduate studies. In each of the six schools and colleges, graduate affairs are overseen by an associate dean. Each school or college has an educational policy committee (EPC) or similar representative body that oversees graduate programs. Beyond that, practices differ greatly according to the size and needs of the respective teaching units. Individual departments and divisions have widely varying systems of advisors and committees to run specific degree programs in ways that meet the diverse and distinctive needs of each field. Nevertheless, there are university-wide academic regulations that govern graduate education; they are approved in the manner discussed in the chapter on governance.

Proposals for major program changes, such as the creation of a new degree, must first be approved by the EPC or faculty council of the initiating teaching unit, then by the dean of the major teaching unit (school or college), and finally by the provost, president, and Board of Trustees. In some cases, the beginning of this process involves multiple levels of decision-making within a college or school (e.g., individual departments, the college-level EPC, and the dean in the College of Arts and Sciences). Prior to fall 2002, all major program changes were also considered by the Graduate Studies Committee of the former University Senate, which transmitted its recommendations to the provost. Under the streamlined structure of faculty governance adopted in fall 2002, the Joint Committee on Curriculum and Academic Programs of the new Faculty Senate considers only proposals that affect more than one major teaching unit. However, all proposals for major program changes continue to be circulated for comment among all the deans and the chair of the curriculum committee.

The general thrust of these changes is to give the departmental and school or college faculty greater autonomy over graduate programs. Indeed, most responsibility for developing, assessing, and altering graduate programs lies with the faculty in the individual departments and divisions. Thus, the primary responsibility for overall program quality is in the hands of the faculty most closely associated with each program. This relatively decentralized system encourages faculty members to stay current with developments in their fields and gives them flexibility to initiate and incorporate changes that help ensure students are exposed to emerging ideas and practices. Nevertheless, centralized oversight and assessment activity have increased during the past decade, as discussed below.

Mission Statements

A threshold question that must be answered when any new program is considered, or when any existing program is reviewed, is whether the offering fits within the overall mission of the university. To assure that

Mission Statement for MA in International Development

Program Goals: The MA in international development is a professional master's degree program designed to provide a multidisciplinary, integrative learning experience combining theory and practice in international development with a focused concentration (for example on democracy and governance, economic policy, environment, or gender). Students completing the program will have substantive knowledge in international development and in their concentration (including theory, economics, research methods, field knowledge), analytical ability (including critical thinking, policy analysis, and ethical understanding), as well as applied skills (including language, research methods, and policy evaluation). Distinctive aspects of the program include experiential learning, a research capstone, commitment to public service especially among poorer communities, and student engagement in a global learning environment. Graduates of the program are prepared for a wide range of policy, research, advocacy, and service careers in international development in the public, private, and not-for-profit sectors.

individual graduate programs are compatible with the stated goals (such as high quality, engagement, and global focus), all teaching units have adopted mission statements for their graduate and professional programs. These statements were drafted by faculty in the individual programs and approved at the department and school or college level. Such mission statements are expected to reflect the unique characteristics of each program and to link individual programs to the university's overall mission. For example, see the mission statement for the MA in international development in SIS.

Special and Innovative Graduate Programs

AU offers a wide range of special and nontraditional graduate programs, especially at the master's level and in nondegree certificate programs. These special and part-time programs give the university the ability to identify and offer specific educational (and, in some instances, professional training) opportunities. This flexibility is especially important for an institution that relies so heavily on tuition revenue for overall financial stability. In addition to these special and part-time programs, many teaching units have created dual or joint degree programs that encourage interdisciplinary study at the graduate level.

Many of the special programs were developed to serve specific constituencies—often working, professional adults who want to build their credentials or switch careers. Some of these programs lead to degrees. For example, SIS has the Executive Master's Program, which can be completed in 10 months full time or 15 months part time. The executive master's is for midcareer international relations professionals, and students in the program can receive credit for "significant professional experience." Another example is the AU-OPM (Office of Personnel Management) Partnership, which is offered by the School of Public Affairs (SPA) in close conjunction with the federal government. This program allows federal executives to earn an MA in pub-

lic administration. The school also has the Key Executive Program, which fosters the development of senior federal managers. Another example is the weekend interactive journalism MA program.

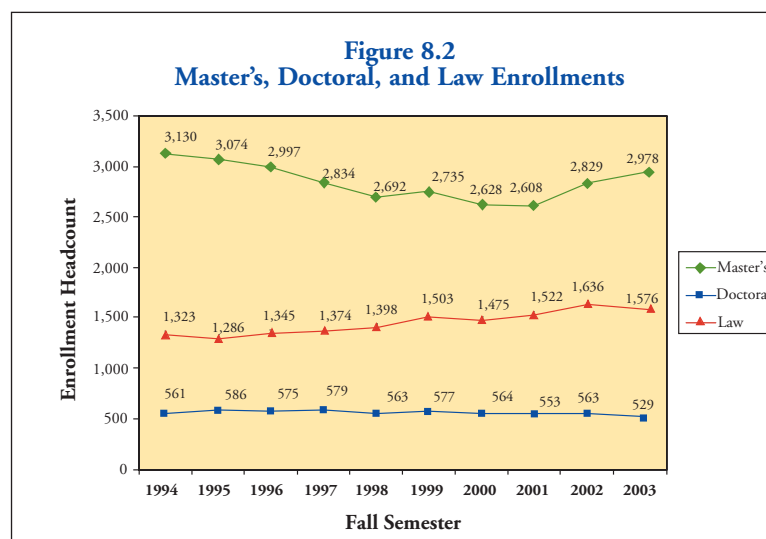
Not all special programs award degrees. Among the notable examples are SPA's Campaign Management Institute and Public Affairs and Advocacy Institute, both of which are highly regarded nondegree, short-duration, intense training programs for professionals in the field of political management. WCL offers a certificate program in human rights and humanitarian law. In the College of Arts and Sciences (CAS), some nontraditional and interdisciplinary graduate programs are offered as certificates, such as the certificate in dance and health fitness management. Many more traditional disciplines in the arts and sciences also offer certificate programs requiring fewer credit hours and somewhat less rigorous standards (e.g., no comprehensive examinations) compared with traditional master's degrees. Most of the programs require similar admissions credentials to those applying for full MA programs. The certificates range in length from about 15 to 24 credit hours.

Another distinctive feature of AU graduate programs is the selection of joint and dual degree programs, including several offered in partnership with WCL. These are a joint JD-MBA program with the Kogod School of Business, a joint JD-MA in international affairs with SIS, and a joint JD-MS in justice with SPA. KSB and SIS also collaborate on a dual MBA-MA degree in international affairs.

STUDENT BODY PROFILE

Enrollment Trends

American University has a diverse body of graduate and professional students who are enrolled in a wide range of disciplines across six separate schools and colleges. As of fall 2003, total graduate and professional



enrollment (including certificate programs, non-degree students, and WCL) was 5,426 students, or nearly half of the overall student enrollment of 11,709. Even excluding WCL (which is entirely graduate), other graduate programs accounted for more than one-third of all non-law enrollments

Graduate enrollments have fluctuated since 1994. As shown in Figure 8.2, non-law master's enrollments (which represent the majority of total graduate enrollments) fell from 1994 to 2001 but then recovered partially in 2002, while law enrollments exhibited a rising trend (reaching a historic high of 1,636 in 2002). Doctoral enrollments remained relatively stable from 1994 to 2002, ranging between 553 and 586 with no discernable trend. In fall 2003 doctoral enrollments dropped to 529, primarily due to the elimination of several programs.

Although the drop-off in graduate enrollments in the mid-to-late 1990s now appears to have been temporary, it caused considerable concern on campus at the time. In retrospect, these sorts of fluctuations are normal and should be expected to occur again in the future. Graduate enrollments were at a historically high level for AU at the beginning of this self-study period in 1994; it was unrealistic to expect them to continue at such a high level without interruption. During the U.S. economic boom in the late 1990s, college graduates were getting good jobs and had less interest in going directly into master's programs—especially those not of a professional nature. Furthermore, the largest decreases in master's

enrollment at AU were recorded in 1997–1998, at the time of the Asian financial crisis, which had a disproportional influence on enrollments of international students. These factors illustrate that graduate enrollments are often affected by fluctuating national and international conditions that are beyond the university's control.

Nevertheless, the fact that the law school and certain other programs were successful in maintaining or even increasing enrollments at a time when general graduate enrollments were shrinking shows that graduate enrollments are not completely dependent on external conditions and that different programs can be affected in different ways by the same external environment (see Figure 8.3). Generally speaking, the programs with the most distinctive market niches, improved physical facilities, and enhanced national reputations have been the most successful in recruitment in spite of fluctuating external conditions. The issue of how to manage graduate financial aid in the face of changing enrollment patterns is discussed later in this chapter.

Degree conferrals (shown in Figure 8.4) followed a trend similar to enrollments but with lags due to the time needed for program completion. A recovery in master's degree conferrals may be expected in AY2003–2004 as a result of the upturn in enrollments in fall 2002 noted above. WCL conferred an average of 516 law degrees annually between AY1994–1995 and AY2001–2002, with the highest level of 634 reached in the last year of this period. The university conferred an average of 59 doctoral degrees each year during this

The Weekend Program in Interactive Journalism

The weekend interactive journalism program offered by the School of Communication is a good example of the flexibility that students and the university can gain from special programs. In 1999 the journalism faculty decided that technological changes in the field meant that the weekend master's degree programs in traditional print and broadcast journalism no longer served students well, as evidenced by declining applications, enrollments, and student quality. Instead, students were seeking other ways to get the skills and training they need to work in today's integrated media environment. As soon as the program was introduced, a full class of 18 students was enrolled; before they completed the 20-month MA, 13 of the 18 reported either obtaining a new job or getting a promotion with their current employer as a result of the program. Students in the interactive journalism program have conducted research on the state of on-line journalism, helped produce a Web site for the national convention of the On-line Journalism Association, and produced material for WAMU's Web site. Additionally, the faculty has been using the interactive program as a test bed for changes in the full-time graduate and undergraduate journalism programs.

Figure 8.3
Enrollments by School and Degree Program
Fall 1994–Fall 2003

Master's Programs (Non-Law)

School or College	1994	1995	1996	1997	1998	1999	2000	2001	2002	2003
Arts & Sciences	1,093	1,061	1,043	903	851	848	768	791	800	818
Communication	253	330	323	331	288	309	302	280	294	306
Business	567	534	506	491	497	536	581	519	518	480
International Service	725	686	646	645	563	598	587	598	739	872
Public Affairs	492	463	479	464	493	444	390	420	478	502
Total	3,130	3,074	2,997	2,834	2,692	2,735	2,628	2,608	2,829	2,978

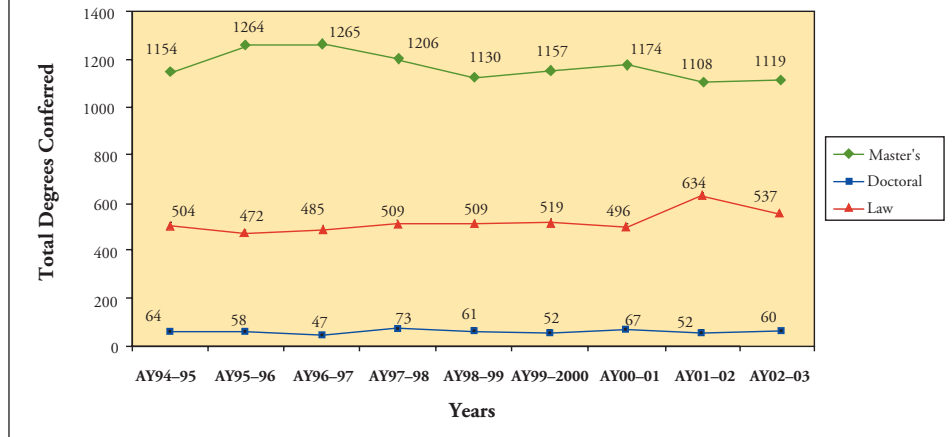
Doctoral Programs (Non-Law)

School or College	1994	1995	1996	1997	1998	1999	2000	2001	2002	2003
Arts & Sciences	464	483	471	473	459	470	463	450	448	416
International Service	39	42	43	46	45	48	46	47	54	56
Public Affairs	58	61	61	60	59	59	55	56	61	57
Total	561	586	575	579	563	577	564	553	563	529

Law School

Degree	1994	1995	1996	1997	1998	1999	2000	2001	2002	2003
JD	1,171	1,136	1,174	1,195	1,198	1,313	1,282	1,306	1,435	1,390
LLM	152	150	171	179	200	190	193	212	194	178
SJD								4	7	8
Total	1,323	1,286	1,345	1,374	1,398	1,503	1,475	1,522	1,636	1,576

Figure 8.4
Master's, Doctoral, and Law Degrees Conferred



period, with some annual fluctuations but no clear trend. Doctoral degrees exhibit a relatively low completion rate, however—slightly more than one out of 10 doctoral students graduates each year—which suggests a problem that needs to be dealt with in the university’s efforts to improve the quality of doctoral programs, as discussed below.

Applications, Admissions, and Conversions

The data on fall applications, admissions, and conversions (*see* Figure 8.5) have important implications for the university’s ability to recruit adequate numbers of high-quality graduate students. Applications to non-law master’s and doctoral programs fell from 1994 to 1999 but then recovered strongly between 1999 and 2003 (master’s applications reached an all-time high in 2003). Applications to the JD program (which account for about 94 percent of total law applications) showed a similar pattern but bottomed out earlier (1997) and reached a historic high in 2003. Acceptance rates have varied over time and between programs, but the recent increase in applications has enabled all programs to be more selective and to lower their acceptance rates in the last year or two.

Conversion rates have exhibited worrisome decreases in certain years (exactly which years varies by program) but recovered substantially across the board in 2002 (the JD conversion rate was especially high in that year). It is hoped that the elimination of some weaker master’s and doctoral programs and the strengthening of financial aid for the remaining programs, as discussed below, will help to improve conversion rates for the latter programs. All of these indicators vary significantly between individual programs and teaching units, and performance in regard to student recruitment was one of the factors used in the program review process to determine which programs would be kept and designated for enhanced financial aid resources.

Quality Standards and Indicators

University policies set minimum criteria for entering graduate students: students must hold the equivalent of a bachelor’s degree from a recognized university, and they must have a minimum GPA of 3.0 (on a 4.0 scale) in their undergraduate studies. Individual programs may, on a case-by-case basis, make exceptions to these policies where there are extraordinary or extenuating circumstances. Students whose native language is not English must demonstrate English proficiency, either by graduating from an institution where the main language of instruction is English or by achieving a score of at least 600 (250 on a computer-based test) on the Test of English as a Foreign Language.

Most teaching units also require applicants to take appropriate standardized tests, such as the Graduate Record Examination (GRE), Graduate Management Aptitude Test (GMAT), or Law School Aptitude Test (LSAT). University policy does not set uniform minimum scores for these tests for all teaching units; rather, individual programs set their own admissions standards for these tests. Thus, responsibility for establishing and maintaining student quality criteria rests with the faculty in each program, who review and approve applications based on factors most important for success in the specific discipline. Also, higher academic standards have been established for graduate students receiving financial aid, as discussed elsewhere.

Trends in these quality indicators for newly enrolled graduate students are shown in Figure 8.6. Although GPAs are highly variable, depending on the school and program of the student, they are the most common descriptor available. In fall 2003 entering master’s students had an average undergraduate GPA of 3.34, significantly above the minimum requirement and higher than in any previous year in this self-study. For new PhD students, GPAs were at their highest level of the period in fall 2003 at 3.72, while for new law students the average reached the highest level in 2002 at 3.37.

The examination taken by the largest number of entering graduate students is the GRE. Total GRE scores (on all three tests—verbal, quantitative, and analytical—combined) increased notably for master’s students in 2001 and 2002. For doctoral students total GRE scores tended to be higher than for master’s students but fluctuated from year to year with no apparent trend. In the Kogod School of Business (KSB), GMAT scores were notably higher in 2000–2003 compared with 1994–1998 (1999 data were not available). At WCL, average LSAT scores have remained steady during the period, remaining within a range from 154 to 160. Overall, these indicators reveal modest but positive improvement in most measurable aspects of new student quality in the last few years of the self-study period.

Diversity

A diverse student body enables AU graduate students to share their classrooms and experiences with individ-

uals who bring a wide array of personal backgrounds and outlooks to their studies. The diversity of the graduate study body also reflects the university’s long-standing tradition of openness to different groups in society. As the provost noted in his speech on graduate programs on April 24, 2002:

We must never forget that a shining achievement of this university’s graduate programs has been its history of opening our learning community to people who found closed doors or hostile environments elsewhere. By bringing women, persons of color, diverse religions, different gender identifications, and varied sexual preferences to us, we have also helped to diversify institutions and professions here and throughout our world. (Supporting Document 8.3)

This emphasis on recruiting a diverse student body is reflected in the composition of AU’s graduate student body. With regard to gender, the majority of all graduate

Figure 8.5
Graduate Applications, Admits, Acceptance Rates, Registrations, and Conversion Rates

Fall	Applicants	Admits	Acceptance Rate	Registered	Conversion Rate
Master’s					
1994	4,191	2,799	66.8%	1,118	39.9%
1995	4,080	2,851	69.9%	1,097	38.5%
1996	3,806	2,877	75.6%	1,111	38.6%
1997	3,740	2,780	74.3%	1,089	39.2%
1998	3,631	2,789	76.8%	1,028	36.9%
1999	3,490	2,618	75.0%	889	34.0%
2000	3,714	2,849	76.7%	1,001	35.1%
2001	3,848	2,898	75.3%	958	33.1%
2002	4,759	3,378	71.0%	1,154	34.2%
2003	4,987	3,383	67.8%	1,195	35.3%
Doctoral					
1994	804	286	35.6%	101	35.3%
1995	852	312	36.6%	103	33.0%
1996	741	301	40.6%	101	33.6%
1997	785	294	37.5%	93	31.6%
1998	747	311	41.6%	104	33.4%
1999	697	281	40.3%	86	30.6%
2000	764	334	43.7%	87	26.0%
2001	799	363	45.4%	92	25.3%
2002	789	319	40.4%	99	31.0%
2003	844	196	23.2%	59	30.1%
Law—JD Only					
1994	6,088	1,762	28.9%	364	20.7%
1995	5,100	1,826	35.8%	373	20.4%
1996	4,602	1,868	40.6%	377	20.2%
1997	4,482	1,912	42.7%	381	19.9%
1998	4,540	1,935	42.6%	393	20.3%
1999	5,093	2,117	41.6%	523	24.7%
2000	5,514	1,813	32.9%	387	21.3%
2001	6,222	2,134	34.3%	395	18.5%
2002	7,785	2,280	29.3%	631	27.7%
2003	9,822	1,985	20.2%	404	20.4%

Figure 8.6
GRE, GMAT, LSAT Scores and GPAs of New Master's, Doctoral, and Law Students

Fall	GRE		GMAT	LSAT	GPA		
	Master's	Doctoral	Master's	Law	Master's	Doctoral	Law
1994	1673	1815	520	157	3.23	3.42	3.23
1995	1662	1782	515	156	3.23	3.28	3.22
1996	1641	1764	512	157	3.24	3.35	3.26
1997	1653	1832	517	155	3.24	3.41	3.22
1998	1639	1733	524	154	3.23	3.41	3.24
1999	NA	NA	NA	NA	NA	NA	3.29
2000	1647	1843	561	155	3.25	3.41	3.36
2001	1722	1758	560	156	3.26	3.54	3.32
2002	1710	1772	570	157	3.30	3.48	3.37
2003	-	-	567	160	3.34	3.72	3.36

Note: Data for 1999 are not available due to a change in computer systems at the time when graduate admissions were being decentralized.

Due to the change in reporting the Analytical GRE score, the 2003 average GRE is not comparable to previous years.

students at AU are now female. As of fall 2003, 63.1 percent of master's students, 62.2 percent of doctoral students, and 58.1 percent of law students, or 61.8 percent overall, were women. All of these percentages are significantly increased from the past. Also as of fall 2003, out of those students who chose to state their race or ethnicity (about 73 percent of the total), 17.6 percent were international (non-U.S. citizens), 12.5 percent were African American, 8.6 percent were Asian, and 5.7 percent were Hispanic (see Figure 8.7).

Although comparisons with older data are difficult to make because the categories have changed (the option not to state a race or ethnicity was added in 1998), these figures generally show somewhat higher proportions of minority and foreign students than were reported in the early and mid-1990s. The high proportion of international students is especially significant because it demonstrates that AU is already a global university in terms of graduate student composition.

EFFORTS TO IMPROVE STUDENT QUALITY

The university's last *Self-Study Report* recommended a major emphasis on improving the quality of graduate students. The 1994 report stated that "the university has been largely successful in achieving its [quality] goals for undergraduates. The Steering Committee believes that it is now time for the university to devote similar efforts to accomplishing its goals for graduate students." Since that time several initiatives have been aimed at assessing the current state of graduate education at AU, improving the efficiency of graduate program administration and enhancing the university's ability to recruit and retain highly qualified graduate students.

In fall 1996, the assistant dean of academic affairs produced an exhaustive report, "Mapping Graduate Education at American University." This report extensively documented the university's prevailing policies and practices with regard to graduate student recruit-

ment, admissions, financial support, academic programs, student services, and student life. The report developed a significant database on graduate students and also analyzed academic requirements in individual graduate programs and made comparisons with graduate education at other universities. That report helped to inform later changes in administrative practices, financial aid policies, and other areas of graduate education.

Admissions and Awards: Procedures and Policies

In January 1997, the provost appointed the Graduate Affairs Council, which was chaired by the dean of academic affairs and included all the associate deans of the various schools and colleges (except WCL), plus other university officials, the chair of the Graduate Studies Committee of the former University Senate, and a student representative. This council was charged with working on issues and procedures related to graduate program administration, admissions procedures, and financial aid policies. The council continued to meet until AY1999–2000, at which time its tasks were largely completed.

One major change that the council promoted concerned admissions procedures. Although general administration of graduate programs has been decentralized at AU since the 1970s, graduate admissions remained more centralized until the 1990s. Up to that time, the centralized Office of Graduate Admissions, under the vice president of enrollment services, processed all applications and maintained all admissions files (although files were sent to teaching units for admissions and aid decisions). Between 1999 and 2001, the entire admissions function was shifted to individual teaching units, and the centralized graduate admissions office was abolished in 2001.

Graduate financial aid—most of which is merit based, except in the law school—was formerly administered through a two-tiered system. Most internal award

money was allocated to the individual schools and colleges, and basic awards (tuition remissions plus stipends) were offered by individual teaching units to individual students. However, a significant amount of additional award money was distributed in a centralized fashion by the former Graduate Studies Committee of the University Senate. This additional award money included supplementary stipends for students already receiving basic teaching-unit awards as well as awards for special categories of students (international students, U.S. minorities, students receiving MA-only awards, doctoral dissertation fellows, and students qualifying for certain endowed awards).

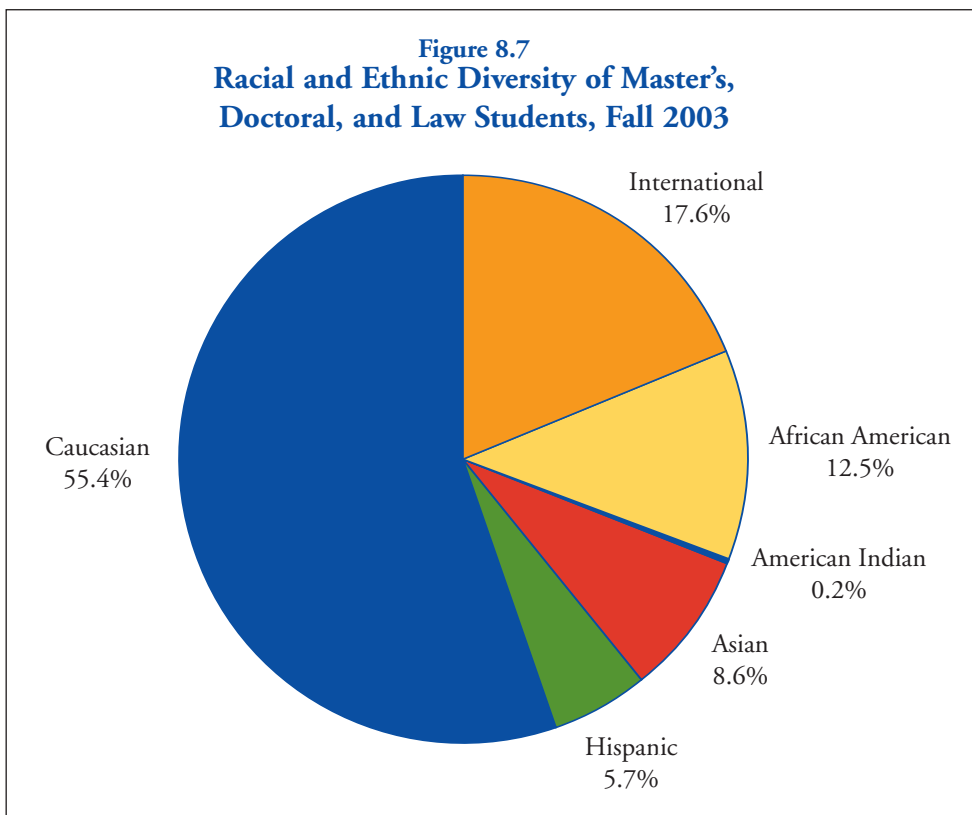
In the late 1990s a number of changes were instituted to streamline the graduate awards process with the intention of enhancing recruitment efforts and ensuring that aid was offered to the most qualified applicants (all of these policies apply to internal financial aid only). First, most of the separate graduate awards that were formerly distributed by the centralized Graduate Studies Committee were allocated to the individual schools and colleges. These supplementary funds can now be used more efficiently to enhance recruiting efforts at the teaching-unit level.

Second, the financial awards were renamed. Only awards with no service component may now be called fellowships, and they are to be offered only to the most highly qualified applicants. Awards with a service requirement (officially called a structured learning

component) were renamed (more accurately) assistantships. In practice, however, only the latter have actually been offered since the new nomenclature was introduced. Third, graduate financial awards can now be given only to full-time students. Fourth, graduate awards can now be used only to recruit highly qualified new students and not to support current students.

Fifth, and most importantly from a quality perspective, in 1999 the provost established uniform minimum academic requirements for all graduate and professional financial awards. These new standards for financial awards are significantly higher than the minimum requirements for admission discussed above and are also higher than the requirements that some particular programs had used in the past. The new standards, which apply to all graduate programs outside the law school, are as follows:

- For master's students, awards can be offered only to those candidates with a minimum undergraduate GPA of 3.2 or higher. Students whose undergraduate GPA is lower may be offered an award if they have a GPA of 3.5 or above in previous graduate studies or their GRE total is at least 1800 or their GMAT total is at least 600.
- For doctoral students, awards can be offered only to those candidates with a minimum undergraduate GPA of 3.5 or higher, except that students whose undergraduate GPA is lower may be offered an



Note: Students who declined to state a race or ethnicity were not included in this calculation.

Financial Aid Policies at the Washington College of Law

WCL determines its own financial aid budget and administers the awarding of financial aid according to the law school's own criteria. WCL's approach to financial aid reflects two key factors. First, WCL does not have an undergraduate program and so does not have teaching assistants. Second, the anticipated income of law graduates is significantly higher than that of the doctoral programs.

Consequently, financial aid at WCL (as at most U.S. law schools) represents a much lower percentage of tuition revenue than it does in non-law graduate programs, and it is primarily need based rather than merit based.

These factors are reflected in the following financial aid programs that WCL offers to its students.

- The largest financial aid program, which is based upon financial need, makes awards to students in the JD and master's of law (LLM) programs. Returning students are eligible to receive a grant under this program even if they had not received an award when they entered WCL.

- Members of the WCL faculty apply to the dean for funding to hire students to serve as research assistants during the academic year and during the summer. Faculty members have the discretion to hire students based upon the students' academic record, experience, and interest in the professors' legal disciplines. In this regard, research assistants are a tool to retain existing students rather than a means to attract entering students.

(Continued on p. 119)

award if their graduate GPA is 3.75 or higher or their GRE total is at least 2000.

- For programs in which GRE or other standardized test scores are not appropriate measures of quality (such as the MFA in studio art or creative writing), programs have to specify the criteria other than GPAs that will be used to select students who are offered awards. Programs using such alternative criteria also have to assess the results of using these criteria in their annual reports on their financial awards.

Graduate Award Policies and Student Quality Objectives

Graduate award policies must ultimately be evaluated in terms of their effectiveness in enhancing the recruitment of high-quality students. Although each of the policies governing financial awards at AU has its rationale, there is concern about whether some of these policies are effective in achieving the university's stated objectives for all graduate programs, or if some of these policies may not be hindering the achievement of those objectives, at least in some programs. Given that some of these policies have only recently been enacted (e.g., in response to the temporary enrollment decline of the late 1990s described earlier), and given the ambiguities in the quality indicators examined above (e.g., the lack of clear improvement in average GRE scores for doctoral students, who are more heavily reliant on financial aid than other graduate students), it is time for the university to study the impact of its current award policies. Moreover, given the diversity of graduate programs described earlier (e.g., professional vs. academic, master's vs. doctoral), the same regulations may not make sense for all programs, and individual programs should be allowed greater flexibility to design award policies that are best suited for attracting high-quality applicants in their fields.

One concern is the requirement that internal AU financial awards be given only to newly admitted graduate students. Students who enter without a financial award are not eligible for such support later on, regardless of how well they perform (with the exception of those applying for dissertation fellowships). Although such a strategy may be effective in recruiting and retaining the funded students, some students who are admitted without aid may choose not to come to AU because they have no prospect of qualifying for aid later. Also, this policy may inhibit the retention of students who enter without aid or delay the completion of their degrees. Some prestigious graduate schools allow continuing students to compete for aid in the second year and beyond, making these schools more attractive to students admitted without aid. It has therefore been suggested that recruitment and retention goals would be better served by allowing teaching units to offer some portion of their awards to the best students, regardless of their status as incoming or continuing.

Another restriction that requires greater scrutiny is the requirement that university-funded financial aid be given only to full-time graduate students. Some programs (especially certain professional programs) would like to be able to offer financial awards to qualified and competitive students who are enrolled part time. It has been argued that these programs could potentially bring in and retain strong students, increase enrollments, and enhance their reputations through the funding of part-time students, even if this is not appropriate in all disciplines or degree programs.

In the past the administration has set the minimum size of the base stipend given to doctoral students, and teaching units have had limited flexibility in supplementing these base stipends, although actual award practices have varied across programs. Many graduate programs have argued for greater flexibility in the design of award packages in terms of the amounts of both stipends and tuition remissions in order to make their award offers more competitive in their own disciplines. As this *Self-Study Report* goes to press, efforts are already under way to increase both the amount and the flexibility of award offers starting in AY2003–2004, especially in the doctoral programs that have been designated for enhanced resources as a result of the current program review process (discussed below). Continued efforts in this direction will be essential for the university to achieve its ambitious goals for graduate programs, especially doctoral programs, as stated in the president's point 4.

Some have raised the same issue of flexibility regarding the duration of financial aid, especially for doctoral programs. It has been argued that the past norm of three years of support in most AU doctoral programs is both unrealistic in terms of average time to completion and uncompetitive with comparable PhD programs at other universities. The limited amount of financial support at the dissertation stage (where only a small number of fellowships has been available for each program each year) has been argued to be a factor contributing to the low PhD completion rate noted earlier. Progress is currently being made in this area, as some doctoral programs are now making four-year aid offers to newly admitted students for fall 2003. Further progress in ensuring that financial awards be of adequate duration is also crucial for accomplishing the goals set forth in point 4.

It has also been argued that the academic service requirements attached to most internal financial awards may make AU financial offers less attractive than those of competing institutions, especially for the very best students. Thus, the possibility of offering some true fellowships with no service requirement has been suggested as an additional recruiting tool. This option is allowed under current regulations but has not been exercised. Finally, the usefulness of maintaining some of the separate award categories with very

specific restrictions (e.g., Hall of Nations awards, which give only a tuition remission but no stipend to international students) has been questioned, as compared with the alternative of allocating the funds currently reserved for those special purposes to general aid budgets and allowing teaching units more flexibility in awarding those funds.

Whether current rules and practices are effective in achieving their intended objectives is thus an important question. As the university strives to meet its goal to further improve the academic quality and national reputation of its graduate programs, it needs to evaluate whether giving individual programs the flexibility to design financial aid policies tailored to their own specific recruitment, retention, and academic goals would create more competitive award packages in particular fields and disciplines, thus enhancing the overall quality and reputation of AU graduate programs (see sidebar on WCL financial aid policies). Much progress has already taken place, especially in regard to the amount and duration of awards, but concerns remain about some of the other restrictions discussed above.

Graduate Aid Budgeting

Graduate financial aid in general includes both internal and external sources of funds. At AU the vast majority of graduate aid is internally generated, rather than obtained from outside sources. For example, in FY2002 total external financial aid for non-law graduate programs was \$1.2 million, as compared with \$8.8 million in internal financial aid for the same programs. Clearly, the relatively small amount of externally funded financial aid for graduate students is a major issue for the university and a significant obstacle to improving student quality.

Over the next decade, the university needs to explore various ways in which it can seek to increase external funding of financial aid, such as through greater incentives for faculty to seek research grants that support graduate students (e.g., as research assistants). Greater efforts to recruit students with their own sources of outside funding (e.g., government or international

grants) are also vital to help relieve the constraints imposed by reliance on scarce internal funds. In addition, targeted fund raising to create more endowed awards or to raise money earmarked for graduate support could also be very helpful. Some efforts toward this objective have already been made, especially in regard to seeking gifts designated for the support of dissertation fellowships.

The rest of this section focuses on internally funded graduate financial aid, that is, the total institutional support given by the university in the form of both stipends and tuition remission, which is budgeted in proportion to graduate tuition revenue. Actual graduate tuition revenue and internal expenditures for graduate financial aid for the period FY1995–2002 are shown in Figure 8.8 (these data exclude the law school, which sets its own financial aid budget as discussed elsewhere). The total revenue generated from (non-law) graduate tuition increased from \$25.8 million in FY1995 to \$33.0 million in FY2002. The total dollar value of (non-law) graduate financial aid increased from \$7.2 million in FY1995 to \$8.9 million in FY2000 but then decreased slightly over the next two years to \$8.8 million in FY2002.

The increased dollar value of graduate financial aid (up to FY2000) reflects primarily increases in the amount of remitted tuition rather than higher stipend values. While the value of remitted tuition has grown systematically, due primarily to increased tuition costs, the dollar value of graduate student stipends has not increased consistently. Stipend expenditures were virtually flat from FY1995 through FY1999, averaging about \$2.7 million to \$2.8 million. Stipends then increased to \$3.5 million in FY2000 but fell off to \$3.2 million in FY2001 and fell further to \$2.5 million in FY2002—below the FY1995 level. This reduction in stipends occurred despite the fact that actual tuition revenue in FY2002 was 28 percent higher than in FY1995.

Some of the shortfall in financial aid expenditures in FY2002 can be attributed to the fact that an unusually large portion of the budgeted financial aid was not

(Continued from p. 118)

- WCL awards 10 full-tuition fellowships to applicants to the JD program who have both outstanding academic records and a demonstrated commitment to perform legal service in the public interest or public service sectors. These fellowships are guaranteed for three years. They represent an extraordinary level of financial support for law students and enable WCL to attract exceptional students. Moreover, they reinforce WCL's reputation as a national leader in the area of public interest law.

- WCL awards Mussey-Gillett merit fellowships to first-year JD students who have outstanding academic records. One-half of each fellowship represents a grant that is not contingent upon the performance of any service by the fellowship recipient and is not treated as income for federal income tax purposes. The other half is awarded if the recipient chooses to accept a research assistant position with a member of the WCL faculty.

Figure 8.8
Actual Graduate Tuition Revenues and Financial Aid Expenditures,
All Graduate Programs except Law, Internal Funds Only

	in thousands							
	FY95	FY96	FY97	FY98	FY99	FY00	FY01	FY02
Tuition revenues	\$25,760	\$27,648	\$27,417	\$26,568	\$30,075	\$31,677	\$32,035	\$32,961
Financial aid expenditures								
Stipends	\$2,741	\$2,869	\$2,937	\$2,827	\$2,716	\$3,510	\$3,258	\$2,507
Remitted tuition	\$4,437	\$4,823	\$5,158	\$5,360	\$5,424	\$5,359	\$5,589	\$6,334
Total internal financial aid	\$7,178	\$7,692	\$8,094	\$8,187	\$8,140	\$8,869	\$8,847	\$8,841
Discount ratio*	28.0%	28.0%	30.0%	31.0%	27.0%	28.0%	28.0%	27.0%

*Total aid as a percentage of tuition revenues.
 Note: Average discount rate is 28.4%

actually spent. In that year the budgeted amount of graduate financial aid was \$10.3 million, but \$1.5 million or about 15 percent of the budgeted amount (mostly tuition remission) was not spent. This large proportion of unspent funds has been attributed mainly to increased oversight of compliance with award policies, especially in regard to the academic standards required for students to continue on existing financial awards. This, plus strict enforcement of the high academic standards for award offers to newly admitted students and the prohibitions against offering aid to current students who were initially admitted without aid and to part-time students (as discussed above), made it difficult for some teaching units to expend all of their budgeted aid funds. As a number of weaker graduate programs have been terminated in 2003, it is hoped that the remaining programs will be better able to recruit students who can meet the high expectations set for initial awards and maintain high academic standards after they matriculate.

However, these factors do not fully account for the financial aid drop-off in FY2002, especially in regard to stipends, which were budgeted to be only \$2.8 million (\$700,000 less than actual stipend expenditures in FY2000). The reduced budget for stipends in FY2002 must be attributed primarily to the manner in which the internal aid budget is set. For non-law graduate programs, the aid budget is calculated as a percentage of the anticipated (projected) gross revenue generated by graduate tuition according to a specified “discount ratio.” This ratio was raised dramatically in the early 1990s but has been relatively steady during this self-study period and is currently set at 29 percent (see Supporting Document 8.4). According to this policy, if graduate tuition revenue is expected to decrease, financial aid allocations have to be reduced, as occurred in FY2002—unless the discount ratio is raised sufficiently. Of course, the actual discount rate (i.e., stipends and tuition remissions actually encumbered divided by actual tuition receipts) can deviate from the planned or anticipated discount rate, but during the period of this self-study the extent of such variation has been slight. The actual discount rates in Figure 8.8 averaged 28.4 percent between FY1995 and FY2002, with relatively small deviations.

In light of the fluctuating trends in graduate enrollments discussed earlier in this chapter, the discount rate policy needs to be reevaluated in relation to the goal of using graduate aid to bolster the quality of admitted students. Because aid budgets influence graduate programs’ ability to recruit high-quality students, and those programs are judged largely on the basis of their students’ quality and performance, a reduction in financial aid because of a temporary drop in graduate tuition revenue forecasts can have an adverse impact on the assessment of program quality. It may be difficult for graduate programs to enhance

their quality and reputation in an environment in which they are exposed to periodic aid cutbacks if tuition revenue is temporarily reduced. The university needs to explore ways to stabilize the internal graduate aid budget over time, while recognizing the unavoidable fact that tuition revenues are likely to fluctuate as they have in the past, and within the context of AU’s overall tuition-dependent financial situation.

These concerns lead to a number of questions about the current discount rate policy. One question is whether the current target rate of 29 percent is appropriate or whether it should be higher or lower. A second question is whether the rate should be held constant over time or varied—more than it has been in the past—depending on financial conditions and enrollment targets. A third question is whether graduate financial aid should be linked only to graduate tuition revenue, or if such aid should instead be budgeted out of overall university revenues. A fourth question is whether it is appropriate to count as “aid” funds that are given as compensation for services performed, such as work as a teaching, laboratory, or research assistant. It could be argued that compensation given to graduate students for performing academic services should not be counted as aid for purposes of setting a discount rate.

It would be beyond the scope of this self-study to suggest answers to these questions. Nevertheless, the fact that so many questions were raised about graduate aid budgeting during this self-study process suggests the need for the university to revisit the issue of how those budgets are set, especially in light of the ambitious goals for enhancing graduate program quality and reputation set forth in the president’s point 4. It would also be helpful to research how other universities cope with revenue fluctuations in setting their graduate aid budgets and whether comparable universities have developed methods of stabilizing those budgets that could be used at AU. Finally, efforts to diversify the sources of financial aid to include more external or endowed funds, as discussed above, are also essential for easing the university’s excessive reliance on discounted tuition revenue for graduate student support.

ASSESSMENT OF GRADUATE PROGRAMS AND LEARNING

Most assessment of AU’s graduate programs to date has been at the institutional level. The last *Self-Study Report*, in 1994, urged that “the university should carefully review each of its master’s and doctoral programs.” Since that time, the university has conducted a series of summative reviews of all graduate programs. The questions in these reviews have centered on the competitiveness of specific offerings, including such issues as student quality, as measured by standardized test scores; undergraduate GPAs; demand for programs as evidenced by numbers of applications, acceptance

rates, and conversion rates; and indicators of student success, as measured by retention rates, completion rates, and the ability of students to obtain employment in their fields of training. Additionally, several reviews have investigated faculty qualifications for graduate teaching, especially at the doctoral level. Although the reviews have identified some programs that no longer fit the university's mission or that do not live up to the university's quality expectations, those have been a minority. For the most part, the finding of these reviews is that AU has designed a unique set of graduate programs that attract good students; provide them with high-quality, rigorous instruction; and prepare them for highly successful careers.

During recent years the university has also made progress toward formalizing the assessment of student learning objectives and outcomes. Assessment information is collected at the course, program, and institution levels and is used by faculty and administrators to inform decisions regarding program changes, improvements, and terminations. This section will discuss the results of the summative assessments (program reviews) that have occurred since 1994, followed by the progress the university has been making in other areas of the assessment of graduate education.

Doctoral Program Review (1994–1998)

Beginning in fall 1994, the university began a two-stage doctoral program review. In the first stage, all 12 existing doctoral programs prepared self-studies. General recommendations at this stage included better record keeping on the progress of students through the programs, a call for a review of the use and allocation of graduate assistantships and fellowships, additional allocations for student recruitment, and reexamination of the requirements for tools-of-research and comprehensive examinations.

Doctoral programs were then subjected to a second review beginning in 1996. This review was overseen by a university-wide faculty committee, which made recommendations to the provost. The review committee was asked to evaluate all doctoral programs in terms of quality (students, overall program, faculty, external ranking, and output), cost-effectiveness, and centrality to mission. The review committee ranked the doctoral programs into four categories and submitted its findings to the provost. At the conclusion of this process, one doctoral program (the PhD in physics) was terminated. In addition, the School of Education's two doctoral programs were combined into one. Several doctoral programs were warned that they needed to make improvements, while a few others were designated to receive additional support.

Although the original promise of the doctoral program review was that the programs that received a more favorable ranking would receive significant infusions of additional resources, the reallocations of funds that resulted from this process ended up being relatively

modest. Thus, although the doctoral program review took important steps in terms of identifying stronger and weaker programs, in many respects it merely set the stage for the more dramatic changes in doctoral programs that came later, as described below.

Master's Program Review (1997–2000)

In 1997 the university launched a major review of 27 (nearly half) of its master's degree programs. These units conducted self-studies during AY1998–1999, which were then reviewed by the Graduate Studies Committee and by the provost. Programs with external accreditation were exempt from review, as were those for which the performance data indicated satisfactory operation.

Four master's degree programs were terminated as a direct result of the review (*see* Figure 8.1 for details). Several other programs were asked to combine existing degrees that had small numbers of students (for example, the MA degrees in applied anthropology and anthropology were combined into the MA in public anthropology). A small number of master's programs with low enrollment were scheduled to be evaluated again later, and some of them were among those recommended for termination in AY2002–2003 as a result of the president's point 4, as discussed next.

Graduate Education and the 15-Point Plan

As noted earlier, the president's 15-point plan contains two important provisions relative to graduate education. First, point 3 states that "the undergraduate experience will become the central focus of the university." Second, and more specifically on graduate programs, point 4 states:

[T]here will be significantly fewer master's and doctoral programs but with much higher academic quality and support. The standards for retaining doctoral programs in particular will be, first, whether they contribute significantly, with high quality and high demand, to AU's distinctive identity; and second, whether they are or will likely become a truly prestigious national program within five years. This standard will allow some programs to expand slightly, while others will consolidate or disappear.

The rationale for point 4 was clear: a university with limited financial means cannot excel in all graduate fields and needs to concentrate its scarce resources on those with the greatest potential for distinction. AU's graduate programs varied greatly in regard to a variety of criteria, such as external rankings, fitness to mission, and ability to offer a distinctive educational niche. Some programs had already been identified in the doctoral and master's program reviews of the 1990s, described above, as weak in several respects. Some had chronically low enrollments, leading to an inability to sustain dedicated graduate courses (as opposed to

mixed graduate-undergraduate courses). Some had trouble recruiting students of acceptable academic quality. Certain doctoral programs were found to have faculty who were not sufficiently active in scholarship to be directing doctoral-level student research.

In response to these problems, the university felt that it needed to undertake the unpleasant but necessary task of terminating the weakest graduate programs in order to devote more resources to the stronger ones. As the provost stated in his speech of April 24, 2002 (*see* Supporting Document 8.3) the goal of point 4 was

to elevate our performance and profile as a graduate institution, through a mix of targeted investment and the elimination or consolidation of other programs that are not and cannot contribute to our distinctive identity and enjoy truly prestigious reputations in five years.

These aspects of the 15-point plan stimulated a healthy debate on the campus. Point 3 caused concern in some quarters that graduate education would be devalued at AU in the future. Point 4 attracted criticism from members of the university community concerned about the disappearance of particular graduate programs, as well as from those who felt that reducing the number and breadth of graduate programs would be a mistake for the prestige and quality of the university as a whole. Other issues that were raised included the following arguments: that smaller programs are not necessarily of low quality; that the elimination of some graduate programs could adversely affect undergraduate students or faculty recruitment in those fields; and that graduate education at AU would allegedly become too concentrated in the social sciences and professional fields, to the detriment of the arts, humanities, and natural sciences.

The university provided ample opportunity for members of the university community, either individually or at the teaching-unit level, to express their opinions about the future of graduate education at AU. Points 3 and 4 emerged out of the Campus Conversations, which were described in Chapter 2. After the 15-point plan was announced, the former University Senate discussed points 3 and 4 extensively in spring 2002. Summarizing faculty concerns, the senate unanimously passed a resolution (*see* Supporting Document 8.5) which stated:

Graduate education at American University is a central component of the institution. Our master's and doctoral programs are essential for attracting high-quality faculty and do much to enhance undergraduate education at American University. Care must be taken in efforts to strengthen our undergraduate programs to ensure that the character of the institution is not altered in such a way that the quality and essentiality of graduate education are diminished.

Following all these debates and discussions, the provost announced a procedure to move forward with point 4 during AY2002–2003. The process began with the faculty in the graduate teaching units doing self-studies and making recommendations about program changes, including possible program eliminations or restructurings. Each graduate program was also asked to write a short mission statement for use in evaluating its performance. To avoid duplication of past efforts, teaching units were expressly encouraged to use the results of past program reviews and self-studies when feasible, although new information was gathered and analyzed as necessary. Then the Educational Policy Committee (EPC) of each school or college prepared reports on all the graduate programs in each unit and made recommendations to the deans, who in turn had to make their own recommendations (which might agree or disagree with those of their EPC's) to the provost.

At every stage in this process, individual departments that disagreed with the recommendations of their college-level EPC or dean were free to state their reasons for dissent and to appeal those recommendations to the next higher level. All documents and recommendations pertinent to this process were made available, electronically or through other means, for public comment (*see* Supporting Document 8.6). The provost met personally with all units whose deans recommended eliminating doctoral programs.

Unlike the previous graduate program reviews discussed above, this review process did not create a university-wide faculty committee to review the recommendations from the deans; in this new process, the deans' recommendations went directly to the provost. The deans' recommendations were also discussed at a meeting of the new Faculty Senate, and the provost announced his recommendations at a special senate meeting in April 2003 (*see* Supporting Document 8.6). The provost's recommendations included the elimination of five doctoral programs and eight master's degrees (or 11 total master's programs, if one counts individual tracks separately). These changes (*see* Figure 8.1 above for a detailed list) were approved by the president and Board of Trustees in May 2003 and are effective starting in the fall 2003 semester.

As the university moves forward in implementing point 4, attention will naturally shift to the goal of improving the quality of the remaining graduate programs, especially the directive that each doctoral program is expected to become a "truly prestigious national program within five years." Given this ambitious objective, it will be vital for the university community to discuss realistic expectations for how much prestige actually can be achieved by the remaining doctoral programs over the next five years and whether they will receive sufficient increases in support and resources to enable them to achieve that prestige. Part of this discussion must entail clarification of what it means to be a "truly pres-

tigious national program” and whether this is to be judged simply in terms of standard external rankings or also by other criteria, such as offering unique and distinctive programs that fit the university’s mission and for which there is a market among adequate numbers of highly qualified graduate students. Active participation from the affected teaching units, along with review and feedback at the university level, will be essential for a positive outcome of this process.

In his speech of April 24, 2002, the provost made it clear that mere reallocations of existing support from the eliminated programs (most of which were relatively small) would not be sufficient to achieve such ambitious targets:

Some of the improvements suggested above can be accomplished through curtailment of activities or redirection of resources. But that is only a part of the story. More positive action and attendant investments of resources are needed if we are to move to a different level of achievement in our graduate programs. . . . I do not believe that elimination or consolidation of programs will provide resources sufficient to bring our programs with the greatest potential to new standards of excellence. (*See Supporting Document 8.3*)

The provost recommended several specific measures:

- enacting an “immediate increase in . . . the stipend portion of graduate financial aid packages,” as well as increases in the “percent of the students [in] the program receiving support and the duration of the award,” to make those packages more competitive
- acknowledging the “value of work done by faculty in the supervision of theses and dissertations through appropriate compensation policies”
- working “to recruit and retain the best full-time, tenured, and tenure-track faculty,” and ensuring that they “develop fully as scholars, teachers, artists, and professionals” through enhanced faculty development efforts.

As noted earlier, progress has already been made in increasing graduate stipends and the duration of graduate awards in the financial aid budget for AY2003–2004, and further enhancements to graduate awards are being planned for successive years. These enhancements will be helpful in improving student quality in those programs designated to receive them. Nevertheless, money is only a part of the picture for recruiting high-quality students, albeit an important and indispensable part. The other part of the picture is that high-quality students will be more attracted to AU if the university is successful in its goal of raising the national prestige of its graduate programs, especially at the PhD level.

For that purpose, however, the primary incentives that the university needs to provide are more in the areas of

faculty recruitment, faculty development, and teaching loads. Most external rankings of doctoral programs are based primarily on faculty publications and scholarship. Thus, such issues as greater internal research support, improved incentives for outside grants, course releases for dissertation supervision, and overall teaching load reductions for faculty who are active in research are critical for success in creating more nationally prestigious programs. Most universities with higher-ranked graduate programs already offer faculty superior working conditions along these dimensions. For AU to rise to a higher level of ranking for its graduate programs, providing the faculty with the time and resources necessary to achieve higher levels of scholarship is absolutely indispensable. Moreover, AU’s ability to recruit and retain new faculty with greater research potential, which is also critical for future program rankings, will also depend on the salaries and working conditions that the university is able to offer. Thus, AU’s ability to achieve its ambitious goals in point 4 of the president’s plan will be inextricably linked to its success in other areas, such as ensuring the university’s financial health and working to reduce average teaching loads.

Aside from student financial aid and faculty research support, other elements are also important for graduate programs to achieve their potential for enhanced reputations and quality. For example, enlarging library collections in graduate research fields, maintaining state-of-the-art computer facilities and access to online resources, and enhancing other types of learning services oriented to graduate students (*see* Chapter 6) are also crucial ingredients for upgrading graduate and professional education.

External Accreditations and Rankings

The large amount of attention given to eliminating a relatively small portion of AU’s graduate programs in recent years should not obscure the fact that the vast majority of AU’s graduate students are currently enrolled in programs with recognized forms of national distinction. More than 90 percent of all graduate students are enrolled in programs that are either individually accredited by, or are members of, their respective professional organizations. The outside evaluators who represent these accrediting bodies and other organizations that engage in assessment of graduate programs have consistently found AU’s programs to meet the standards for accreditation or membership in these fields. Nine programs have received outside accreditation or belong to professional organizations:

- Department of Chemistry: accredited by the American Chemical Society
- School of Communication: Journalism and Public Communication programs accredited by the Accrediting Council on Education in Journalism and Mass Communication

- School of Education: accredited by the National Association of State Directors of Teacher Education and Certification (both elementary and secondary)
- School of International Service: member, Association of Professional Schools of International Affairs (APSIA)
- Kogod School of Business: accredited by the Association to Advance Collegiate Schools of Business (AACSB International)
- Department of Psychology, doctoral training program in clinical psychology: accredited by the American Psychological Association
- School of Public Affairs: accredited by the National Association of Schools of Public Affairs and Administration; also an institutional member of the Association for Public Policy Analysis and Management and a member of the Academy of Criminal Justice Sciences
- Washington College of Law: approved by the American Bar Association and a member of the Association of American Law Schools.

All of the programs that are subject to external accreditation have received favorable outcomes in their most recent reviews. In addition, some teaching units that do not have formal accreditation processes or professional organizations nonetheless conduct occasional reviews, either internally or through external peer review. For example, SIS has conducted a non-mandated internal program review in which it invited four distinguished scholars in international relations to visit for several days, meet with faculty and students, and produce a report assessing the school and advising on its mission and programs.

In addition to external accreditation, other programs have received outside recognition. While most graduate programs are not ranked by any organizations, the following are a few examples of recognition of programs that have been ranked:

- Kogod School of Business: Two prestigious news magazines, *Business Week* and *U.S. News and World Report*, as well as the *Wall Street Journal Guide to Business Schools 2003*, have recognized KSB in their most recent rankings of top business schools, with the *Wall Street Journal* survey of corporate recruiters ranking the school's MBA program 42nd in the world.
- Washington College of Law: The clinical program is ranked third in the nation by *U.S. News and World Report*.
- Washington College of Law: The international program is ranked seventh in the nation by *U.S. News and World Report*.
- Washington College of Law: The overall law school program is ranked in the first tier of law schools by *U.S. News and World Report*.

- School of International Service: The master's program is ranked first by the Association of Professional Schools of International Affairs in the numbers of applicants, minorities, and women, and third in GPA quality (after Yale and Syracuse).
- School of Public Affairs: SPA was ranked twelfth in the nation by *U.S. News and World Report*.
- School of Public Affairs: The programs in public management, criminal justice, and policy analysis were ranked sixth, fifth, and fifteenth, respectively, by *U.S. News and World Report*.
- School of Public Affairs: The PhD program in political science was ranked in the top 20 programs nationally in terms of books published by faculty by the journal *PS*.

Data Collection and Survey Research

To assist with the assessment process, the Office of Institutional Research and Assessment collects a variety of data and provides a number of services to program administrators and faculty. Among other things, the office fulfills requests for specialized reports to departments and schools assessing program objectives and student quality. The office publishes a yearly fact book that contains information on a number of different graduate indicators, including enrollment, demographics, entering student qualifications (e.g., GRE, GMAT, undergraduate GPA, and graduate GPA), admissions (applications, admits, registered), course enrollments, average class size, degrees conferred, and student-to-faculty ratios.

In addition, members of the university community have access to a computerized information system of data, Eagledata, which can provide specialized reports and information about graduate students and programs. For example, program directors can track attrition by getting information on students who were eligible to enroll but did not and admits who have made a deposit but have yet to enroll.

Although not unique to the graduate programs, the university conducts an extensive survey research program developed to track student satisfaction and outcomes. Of particular note is the addition, since the most recent Middle States reaccreditation, of the annual Campus Climate Survey, which was first administered in 1996 as a graduate-only survey. The survey asks questions on a wide variety of issues critical to the academic experience, including student satisfaction with courses, faculty, fellow students, advising, and major program of study and asks students to rate the academic quality of their programs and to evaluate such services as the library, career center, and financial aid. The information in the Campus Climate Survey is used by the President's Cabinet, Provost's Council, and others to help make informed decisions about graduate programs.

The university also conducts an annual census of each graduating class, including graduate students. The survey focuses on data that can be used to measure student learning and satisfaction. Students are asked to rate how well their programs provided them with skills and how satisfied they are with the Career Center and with the availability of internships and co-ops, and they are asked for information about their future plans, including employment. More than 80 percent of students typically respond to this survey, and measures are in place to increase this even further. The university is currently exploring ways to improve the usefulness of these survey results by offering department- and program-specific questions tailored to addressing specific learning outcomes.

Beginning in 1997 the university began to conduct surveys among alumni, including those who completed graduate programs. Alumni are asked an extensive list of questions regarding employment, including whether they are satisfied with the degree to which AU prepared them for their career. As with the graduation census, questions regarding skill development are also included. A sample of alumni is selected among those who graduated one and five years earlier.

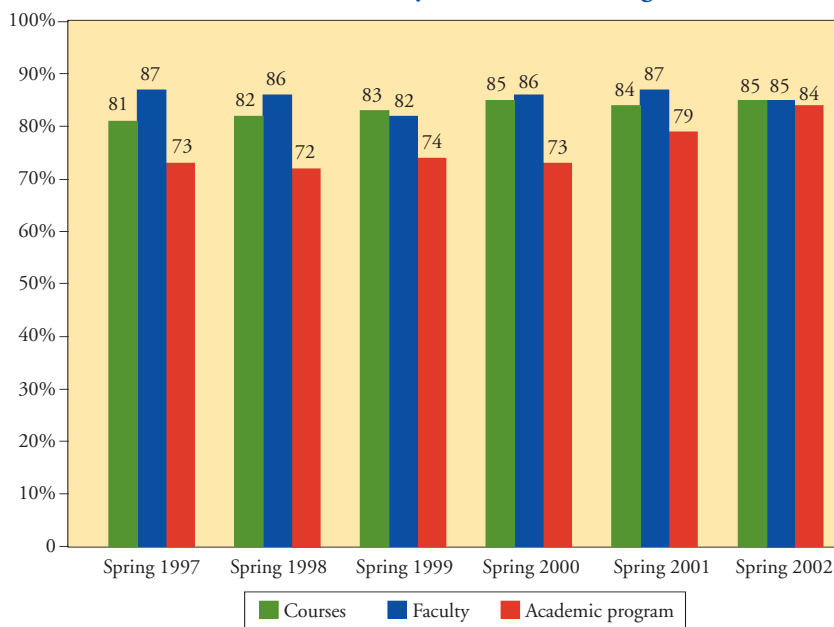
The results of these surveys have been gratifying and demonstrate generally a high level of satisfaction among students and alumni with their graduate programs. The Campus Climate Survey consistently shows that more than 80 percent of graduate students have a high level of satisfaction with their courses, pro-

grams, and faculty. Satisfaction with the overall academic program was 84 percent among graduate students responding in 2002, up from 73 percent in 1997, when the survey was first administered (see Figure 8.9).

This level of satisfaction is confirmed at the time of graduation. Survey results from the graduation census for the past three years (AY2000–2002) show an upward trend in the percentage of graduates who agree or strongly agree that they were satisfied with their academic program and with their general experience at AU (see Figures 8.10 and 8.11). Large and rising percentages also state that they are proud of being an AU graduate and would recommend AU to prospective students.

Graduate students also report that their academic programs meet the objective of giving students the skills and background to prepare them for employment in a field related to their degree. According to the 2002 graduation census, 52 percent of the graduates are employed at the time of graduation and more than 60 percent are working in a field related to their degree. A sizable portion of graduates (about 20 percent) continue their studies. Alumni survey results show that of the alumni who graduated one or five years ago, most of these graduates are working in managerial-executive or professional positions. More than 60 percent of graduate alumni are working in a field directly related to their studies. They also gave high marks for how well their experiences at AU prepared them in different areas, such as conducting original research and

Figure 8.9
Campus Climate Survey Results
Students Rating “Strongly Agree” or “Agree”
to Courses, Faculty, and Academic Program



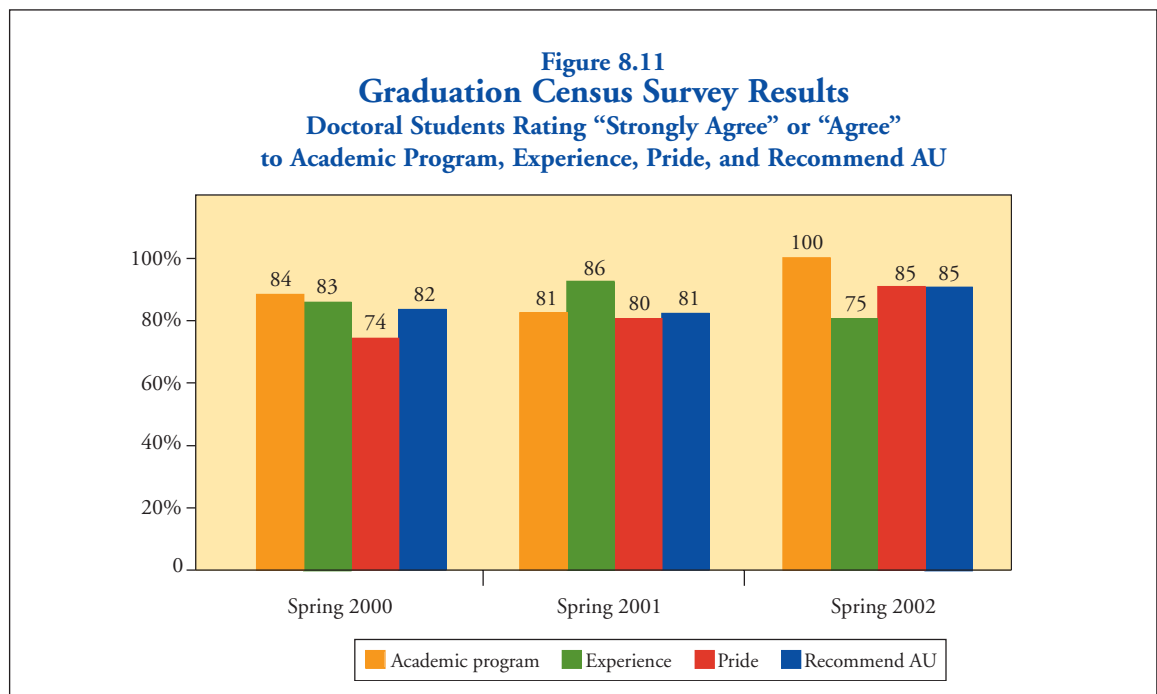
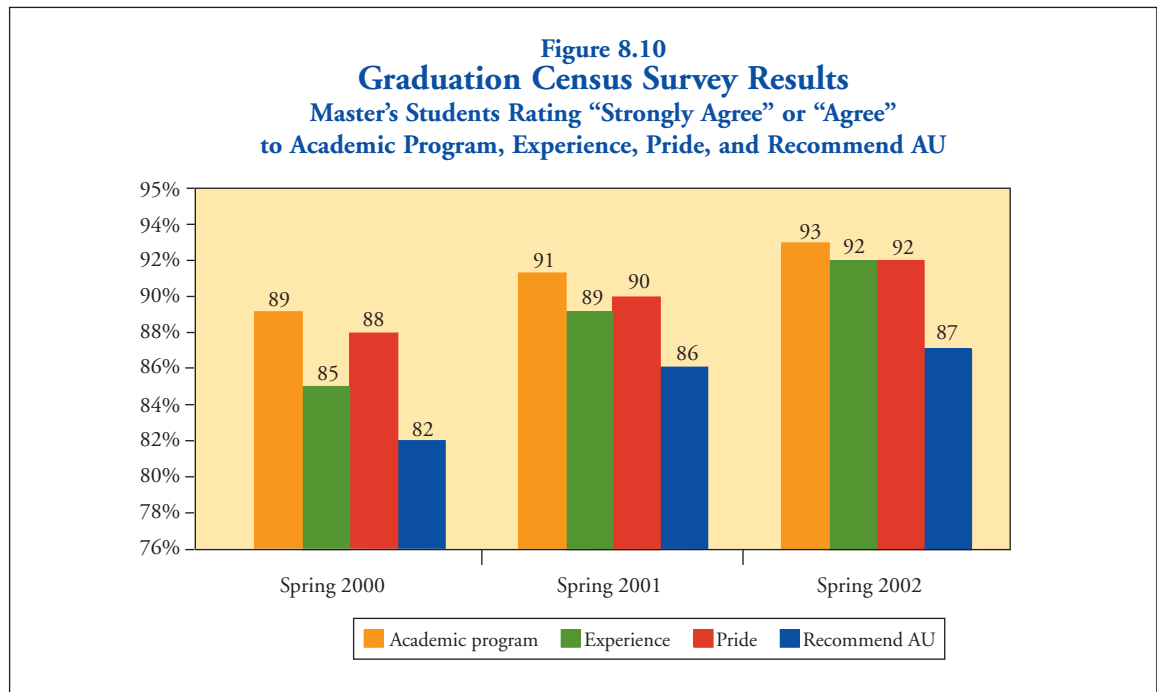
acquiring substantive knowledge in their field. More than 95 percent of graduate alumni gave a grade of B or higher to AU in terms of their overall experience at AU (see Supporting Document 8.2).

Some individual programs also conduct their own surveys of student satisfaction and outcomes. For example, in the Kogod School of Business, the Graduate Programs Office conducts an on-line student satisfaction survey of all current MBA students at the middle of the fall and spring semesters. There is also an employment survey of recent MBA graduates conducted jointly by KSB and the Career Services Council (an outside agency).

The results of all these surveys provide crucial feedback about the quality of academic programs and are increasingly being incorporated into outcomes assessment plans at all levels. While findings have sparked serious discussions about program quality, even more could be done to encourage and facilitate the use of survey results.

Program-Level Assessment of Student Learning

During the recent concentration on summative assessment (program reviews), the university decided to delay requiring all master's and doctoral programs to establish assessment plans for student learning, similar to those at the undergraduate level, until the program



reviews were completed in 2003. Nevertheless, as of spring 2003, many units have already established formal assessment plans for their graduate programs and are currently assessing their learning objectives; other units will be doing so in the near future. All programs have adopted mission statements and will use these as the foundation of any assessment plan. The university recognizes the importance of moving forward on regularizing and formalizing this type of assessment.

Furthermore, in reviewing the requirements and assessment mechanisms used by various departments, we find that graduate programs already collect an impressive amount of assessment information. Regardless of whether they have a formal assessment plan in place, all graduate teaching units use an extensive array of effective assessment tools, most of which are mandated in the university's *Academic Regulations* or the individual program's rules. For example, of the 54 master's programs listed in the AY2002–2003 catalog:

- 91 percent require comprehensive exams
- 58 percent require either a thesis or other substantial research paper
- 69 percent require training in a specific tool of research
- 13 percent require an oral exam
- 9 percent require completion of an oral, written, or electronic portfolio
- 16 percent require certification in a foreign language
- 7 percent require a final exhibition or performance.

Collection of assessment information from internship supervisors, focus groups, specialized surveys of student outcomes, passage of professional exams, and exit interviews are among some of the other assessment methods used by graduate programs.

Course-Level Assessment: Learning Objectives and Course Evaluations

The faculty in all graduate teaching units regularly evaluate their courses for whether the content is up-to-date and consistent with the missions and goals of their respective programs. Proposals for major course changes (e.g., new courses, different prerequisites, or course elimination) generally emanate from the faculty and are subject to approval by teaching-unit heads (e.g., department chairs or division directors), deans, and the provost. Many minor changes to course syllabi and requirements are implemented regularly by teachers and do not require administrative review. In addition, graduate courses are subject (along with undergraduate courses) to the university's "sunset" rules, according to which courses that have not been offered for a certain period of time must be evaluated for possible elimination.

Faculty in all programs are aware of the need to set very explicit learning objectives for their courses and to ensure that these objectives are met in their classes. Deans, department chairs, and division directors work closely with faculty to ensure that course learning objectives are explicit and are consistent with the overall learning objectives of the programs. Learning objectives are communicated to students in a variety of ways, including course descriptions and syllabi, as well as through class discussions and specific assignments. One common practice at the graduate level is for previous comprehensive examinations to be made available to current students, thus giving them a precise idea of the expectations for those examinations. Research seminars and thesis or dissertation defenses (which are open to the public) also give graduate students a good idea of expectations in regard to research.

In addition to the regular review of course offerings and content, student evaluations of teaching are an important component in evaluating student learning and satisfaction at the graduate level. Chapters 5 and 7 provide more detail on how these evaluations are conducted and what kinds of results have been obtained. Among other things, these evaluations rate how well the instructors communicate their learning objectives. As noted in the faculty chapter, student evaluations of teaching play an important role in faculty personnel actions. The importance given to student evaluations of teaching in faculty appointments, promotion, tenure, and salary decisions is a notable form of assessment that has been used at AU since long before the current self-study period began.

CONCLUSIONS AND RECOMMENDATIONS

AU's graduate and professional programs have gone through extensive assessment in the last few years, resulting in the termination of some weaker programs and a concentration of resources in the remaining stronger ones. In spite of some temporary problems in the late 1990s, graduate enrollments have rebounded in the early 2000s, allowing for an increase in selectivity in admissions and a rising trend in student quality indicators. Over the past decade, there have also been more than 15 new or reorganized graduate programs, as well as numerous innovations within existing programs, and the number of dual degree and interdisciplinary graduate programs is increasing. All these changes reflect a growing congruence between the university's mission and its graduate and professional offerings. Many of AU's graduate and professional programs have achieved significant external recognition, a number are highly ranked in their fields, and many serve distinctive market niches.

As the provost said in his April 2002 speech in reference to graduate education at AU, "our condition is sound and respectable, but not sufficiently strong to merit complacency" (*see* Supporting Document 8.3).

In many respects, what is remarkable about graduate and professional education at AU is how much has been accomplished in an environment of limited resources. Scarce funds for graduate financial aid, a high teaching load for faculty expected to be active in research and thesis supervision, and even cramped physical facilities in some cases (although the latter constraint has been much relieved in recent years) have been perennial challenges. The fact that AU has been able to run competitive graduate programs in so many fields under such conditions is a tribute to the dedication of the university's faculty, staff, and students.

As discussed throughout this chapter, the university is currently seeking to achieve its maximum potential for offering high-quality graduate programs in as many fields as are feasible, consistent with the resources and mission of the institution. In order to further these goals, and to make the promise of the president's point 4 a reality, the following three recommendations are made:

1. AU's graduate programs have now been through nearly a decade of almost continuous self-study and university-level review, culminating in the recommended termination of five doctoral programs and 11 master's programs in 2003. The time has come to shift the framework of summative assessment efforts to a more regular and predictable basis, with less emphasis on eliminating programs (except those already on notice of the need to improve) and more emphasis on the positive goals of enhancing current programs' quality and reputation. Therefore, the university should take a break from further overall program reviews for at least a five-year period starting in fall 2003, while continuing to monitor the progress of all programs in raising their quality and visibility consistent with their missions and resources. Such a moratorium on further program eliminations would also provide an opportunity for teaching units to move ahead with implementing other forms of assessment of their educational programs and student learning.
2. In moving to the next phase of point 4, the university needs to conduct a serious and open discussion of what it means to be a "truly prestigious national program" in each doctoral field, including whether this is to be judged only in terms of standard external rankings or also by other criteria, such as offering unique and distinctive programs that fit the university's mission and that find a market among adequate numbers of highly qualified graduate students. Care must be taken to set ambitious but realistic goals that can be achieved with feasible amounts of new resources—and to ensure that resource infusions are adequate for achieving those goals. Those resources include, above all, greater research support, enhanced incentives for seeking outside funding, and reduced teaching loads for faculty who are expected to increase the amount and

prestige of their publications (especially those who actively supervise theses and dissertations), as well as the enhanced library collections and other academic support services required for graduate programs to reach substantially higher levels of quality and reputation. Overall, the university needs to ensure that there is a good fit between the goals it sets for graduate programs and the resources available for achieving those goals.

3. Finally, the university needs to reexamine the ways in which graduate financial aid is both budgeted and administered to determine whether current practices are effective in achieving the quality goals that have been set for graduate students. The practice of using a fixed tuition discount rate to budget graduate financial aid should be reevaluated in order to determine whether some other budgetary mechanism might be better suited to assuring a more stable flow of financial aid for recruitment purposes and quality objectives. Care must also be taken to ensure adequate levels of enrollment of tuition-paying graduate students to support the financial aid requirements of those programs that depend heavily on such aid. In addition, the practice of enforcing uniform awards policies in all units (except WCL) needs to be reconsidered; the university should study whether the high-quality graduate programs that have survived the recent program reviews should be given greater flexibility to determine the policies they follow in allocating their own aid budgets (e.g., in regard to new versus continuing students and part-time versus full-time students), while still upholding strict minimum academic standards that are appropriate for each discipline. The university also needs to work to increase the ratio of external to internal financial aid for graduate students through improved incentives for outside research grants as well as targeted fundraising activities.

Supporting Documents

- 8.1 2002 Graduate Campus Climate Survey
- 8.2 Graduate Alumni Survey
- 8.3 Provost's Address to the Senate, 2002, <<http://www.american.edu/academic.depts/provost/2/Announcements/speech02.html>>
- 8.4 American University Budget, Fiscal Year 2004
- 8.5 University Senate resolution on 15-Point Plan and Graduate Education, Spring 2002
- 8.6 Provost's Address to the Senate, 2003, <<http://www.american.edu/academic.depts/provost/2/Announcements/speech03.htm>>



ENGAGEMENT

CHAPTER 9 ENGAGEMENT

INTRODUCTION

The concept of service has always been an integral part of the way in which American University defines itself. At its inception, the university articulated its vision of a great national university, with service as an essential part of its mission. Central to its stated purpose was the preparation of public servants who would serve their country effectively. This vision has grown along with the institution and is firmly entrenched in all aspects of the university.

On October 3, 2001, President Benjamin Ladner called the AU community to action on 15 strategic points, each targeted to “mobilize our strengths and transform American University into an academically distinctive, *intensely engaged* [italics supplied] community,” consistent with the Statement of Common Purpose. That statement highlights a distinctive American University feature—in President Ladner’s words, the capacity “to turn ideas into action and action into service” through, among other things, “extensive engagement with Washington and global affairs.”

AU has evolved in the past quarter century into what its president has accurately called “a private university with a public responsibility.” In so doing, it has committed its intellectual and human resources to thinking about people, artifacts, and institutions in ways that result in personal invitations to action. American University has successfully effected a secular manifestation of the notion of vocation or calling. Students here believe optimistically in results. They have an unshakable confidence that their goals will be realized, that studying at AU empowers them to achieve those ends and that an AU education prepares them to serve.

At American University, *engagement* is not a merely a catchphrase; it is a spirit that permeates the total campus environment. Prospective students, even those as young as sophomores in high school, are attracted to AU because of its history and culture of engagement. AU students report that they intend to make a difference in the world—they choose AU because of their strong commitment to such values as human rights, diversity, individual freedom, and activism. From first-semester freshmen to graduate students, AU students are personally involved. They get things done. They are organizers. They are agents of change. AU students are, as a class, confident of their goals and the support they get in pursuit of those goals. They are proud of what they do and what AU is. This is practical idealism at its best.

The result of the spirit on campus is empowerment and confidence. AU gives its students access, respects

and nurtures their ideas, and encourages them to seek opportunities and occasions for service. In return, students want to identify with the sources that motivate them—to associate with the causes, viewpoints, and work of the faculty; to be part of research; and to serve the community through such organizations as the Peace Corps, Habitat for Humanity, and the District of Columbia public schools.

This chapter reports on engagement at American University. After examining both the literature on engagement and the National Survey of Student Engagement (NSSE) measures, the task force on engagement adopted the following definition:

Engagement is the systematic encouragement and implementation of active, deep connections between elements of the student experience that integrate academic programs and campus life and the larger local, national, and international communities.

Examining the degree to which AU embodies this definition proved difficult for two reasons: 1) the university has no centralized and systematic way of collecting information about engagement activities; and 2) the concept itself is difficult to categorize and operationalize. Nevertheless, the task force took on the ambitious task of documenting engagement at the university. It solicited examples from schools and colleges, from departments and organizations, and from faculty, staff, and students. The result is a rich array of individual and institutional commitments. Our findings are divided into five interrelated sections:

1. **Engagement inside the classroom.** Engagement at AU encompasses the notion of turning ideas into action. What goes on in the classroom is the base upon which the university builds unique forms of engagement.
2. **Engagement on campus outside the classroom.** Although American is a university, the faculty are involved with students in a manner similar to faculty of smaller liberal arts colleges. They direct internships, serve as club advisors, and interact with students on university committees. The institution as a whole encourages and facilitates intercultural understanding and interaction. Campus activities are designed to engage students with Washington, D.C.
3. **Engagement in service.** AU students actively seek opportunities to give their talents to the community. Whether through informal programs organized by the university or separate efforts by students and faculty, members of the AU community are committed to serving others.

The House That AU Built

The house known as “The House That AU Built” exemplifies energetic and committed engagement. AU student members of AU Habit for Humanity spent two years beginning in September of 1999 planning, fund raising, and building a home with, and for, a Washington family—a mother with five children. Students wrote grant applications, organized fund raisers, published quarterly newsletters, and wrote news releases for community publications linking learning to service. In the end they planned, selected the recipient family, raised \$70,000, mobilized 300–400 volunteers, publicized, and—yes—built a Habitat home. Currently AU Habit for Humanity is working to refurbish the Afghan embassy and to raise funds to help build their next Habitat home.

Information from NSSE

Recent research has focused especially on what makes a successful undergraduate experience. From Richard Light's book *Making the Most of College: Students Speak Their Minds* (Harvard University Press, 2001) to articles in the *Journal of Higher Education*, active learning and real connections are factors that make a difference in colleges and universities. At the same time, institutions such as the National Science Foundation are asking how to create engaged institutions through relationships with the broader society (Ramaley Presentation at Conference on Undergraduate Research, fall 2002). American University has a history of both types of engagement but only limited quantitative data to assist with assessment.

The National Survey of Student Engagement (NSSE) began in 2000 to present an alternative, quantitative set of measures of excellence in higher education. Each year, NSSE surveys freshmen and seniors from across the country. NSSE created five benchmarks to measure engagement: "the extent to which undergraduate students are involved in educational practices linked to high levels of learning and development." The five benchmarks are:

- the level of academic challenge
- active and collaborative learning
- student-faculty interactions
- enriching educational experiences
- supportive campus environment.

(Continued on p. 131)

4. **Engagement in experiential learning.** The university's location in Washington, D.C., affords the opportunity to involve students in a variety of hands-on learning experiences, and the size and scope of AU's student internship programs are proof of success in this area.
5. **Engagement with the global community.** At a time when there is a danger of both isolationism and increasing global conflict, AU actively fosters a global civil society in various ways: by sending students abroad, by drawing a diverse global population of students here, and through unique programs, such as the American University of Sharjah or helping to rebuild the Iraqi educational system.

This work provides a foundation for conclusions and recommendations regarding engagement opportunities, outcomes, and issues for the decade ahead.

ENGAGEMENT INSIDE THE CLASSROOM

There are myriad engagement opportunities centered on the production, dissemination, and utilization of new knowledge. While engagement between faculty and students occurs at most institutions, AU faculty display a strong commitment to have the classroom experience extend beyond lectures. Faculty mentor and collaborate with students on research, bring experts into the classroom, and encourage integrated, exciting learning opportunities. Sustained interaction between faculty and students is not a recent phenomenon at AU—it is a tradition.

The University Honors Program provides a vibrant example of faculty mentorship. Students in the honors program identify courses and professors to assist them with honors supplements and capstone projects. Each special project requires additional academic work for both student and professor. In the 2002–2003 academic year, the university reported 383 honors supplemental projects, a 17 percent increase over the previous academic year. An honors supplement to a regular course usually involves additional work, adding even more intellectual challenge to the course. Honors capstone projects require creation of an additional major project related to the course. Capstone projects run the gamut from in-depth case studies to original performing arts productions that are produced by students working with the faculty member of their choice.

Three events highlight faculty-student engagement with research. The College of Arts and Sciences (CAS) holds a research conference that involves both undergraduate and graduate students. The Student Research Conference (SRC) has been held each year since 1997. Both the current CAS graduate student council president and the incoming president assist with the creation, organization, and promotion of the conference. In 2003, 61 presentations were made during 15 ses-

sions, by 124 students. Fifty-five percent were undergraduates; 40 percent graduate students; and 5 percent nondegree or certificate students in the college. Twenty-one students took part in the poster display, which was extended to expose their works to a wider audience. About 75 others from the campus community attended as guests. For the first time, faculty and graduate student commentators were added to the panel in addition to the usual moderators. Nine graduate students and 13 faculty (including two department chairs) participated as either moderators or commentators.

Like the CAS conference, the School of International Service (SIS) Undergraduate Research Symposium has been very successful in bringing faculty and students together to discuss and celebrate student research. Undergraduates plan, implement, and evaluate the annual symposium. In addition, graduates publish their own research journal, *Swords and Plowshares*, working with faculty.

The third event is the National Conference on Undergraduate Research. This year, for the second consecutive year, American University was the most published institution in the *National Conference on Undergraduate Research Journal*. The annual competition, which judges academic papers presented by undergraduate students, received nearly 2,000 submissions this year. Only 341 of those were published, and 56 of those published came from AU. In addition to these events, students often serve as coauthors with faculty on conference papers, peer-reviewed articles, and even books.

By providing significant mentoring to applicants for nationally competitive, merit-based fellowships and awards, AU faculty have responded vigorously to President Ladner's increased emphasis on faculty-student interactions outside the classroom. In 2002, 45 faculty provided support on all aspects of applicants' training. Two professors, Sigrun Biesenbach-Lucas (CAS) and Christine Chin (SIS), designed and supervised credit-bearing independent studies in order to prepare students to write Fulbright grant proposals. Their students, both master's degree candidates, went on to win Fulbrights to Russia and Indonesia, respectively. Perhaps no faculty member has been more generous with her time than Professor Michelle Egan (SIS), faculty advisor for the Marshall Scholarship competition. In six straight years of work with the Office of Merit Awards, this dedicated faculty member has mentored a dozen successful candidates for nationally competitive student scholarships. She also has developed a curriculum for five major grants providing funding for graduate degree work in the United Kingdom and Ireland. In so doing, she has greatly enhanced the learning outcomes of the application process. Through this curriculum students learn to identify and assess graduate degree programs overseas, develop a grant proposal, understand

British politics and current events, and succeed in a panel-style interview.

In addition to mentoring students with research, faculty members combine the best of theory and practice, bringing a wide array of experts into the classroom. The Washington Semester Program, for example, draws students from all over the country and the world. Its faculty organize approximately 60 seminar classes with speakers such as members of Congress, top executive branch officials, diplomats, journalists, and nongovernmental organization representatives. Many sessions are held in the offices of the guest speakers in the White House, on Capitol Hill, at the US Department of State, and in other federal agencies, foreign embassies, and newsrooms. For Washington Semester Program research projects, faculty work closely with eight to 12 students to help them develop a research project on a current public policy issue, collect data by engaging Washington experts, and write a paper of 35 to 50 pages.

While it is not unusual for students at colleges and universities across the country to have the opportunity to hear elected representatives and other government officials speak, it is unusual for them to have such speakers in an individual class. Yet, this is commonplace at AU. One doesn't usually think of a biology course as a likely venue for members of Congress, but it was for Professor Susan Solarz's Conservation Biology course in the spring of 2003. Her class typifies what often happens in AU classrooms.

Two members of the House of Representatives with diametrically opposing views about conservation talked to Professor Solarz's class of 20 students. The Honorable Earl Blumenauer (D-Ore.), a leading advocate of conservation in urban areas, and the Honorable Richard Pombo (R-Calif.), a leading supporter of the property rights movement, both talked to the class and had extensive question-and-answer periods. Students also heard from Marshall Jones, deputy director of the Fish and Wildlife Service; Jim Lyons, former undersecretary of Natural Resources and Environment; Margaret Spring, minority counsel for the Subcommittee on Oceans, Atmosphere, and Fisheries of the Senate Commerce Committee; and Katie McGinty, chair of the White House Council on Environmental Quality in the Clinton administration.

In day-to-day classroom studies, faculty often use the pedagogy of engagement. Professor Julie Mertus teaches a graduate and advanced undergraduate class in which students learn to write policy papers for policy makers who come to her class to participate in the learning process.

Just as interactions between leading experts and students are not unusual, interactions between students and faculty of different disciplines are also typical at AU. Throughout the curriculum, opportunities exist

for students to explore how disciplines relate to one another. The numerous councils, discussed in the international engagement section of this chapter, are examples of how faculty from different disciplines work together on issues of global importance. Students have numerous opportunities to study in joint or interdisciplinary programs. The JD-MA in international affairs program, for example, pairs the JD from the Washington College of Law with a master's degree in international affairs from SIS. Students in the JD-MA program gain a multidisciplinary perspective on international legal issues by combining their JD courses with courses at SIS that emphasize the political, historical, and economic dynamics of transnational interactions. But their program of study goes far beyond the classroom, providing opportunities for them to advise governments and nongovernmental organizations on international issues of emerging importance and to grapple with new international law-related challenges, such as those faced by countries in transition.

Another element amplifying engagement at American University is technology. One example is a graduate-advanced undergraduate class taught simultaneously (and synchronously) in South Africa at the University of Witwatersrand and University of Ft. Hare, Ann Arbor, Michigan (University of Michigan) and at AU. Adding an asynchronous component, students form cross-national teams, adopt stakeholder roles and grapple with policy issues related to a global information society. By engaging directly with each other and the faculty through a range of information-related technologies, students actively engage with issues, linking theory to practice and experiencing the impact of information technology directly and personally. (See article in *International Studies Perspectives*, February 2003, for a description and analysis of this project.)

ENGAGEMENT ON CAMPUS OUTSIDE THE CLASSROOM

Learning experiences at American University move beyond the classroom. The university places a high value on integrating student experiences in the classroom with the everyday life of the campus, the city, and the world. It seeks ways to encourage interaction among people of different backgrounds and foster understanding. It seeks to enrich the student experience by providing multiple venues for students to interact with the Washington, D.C., and international community.

Orientation and Mentorship Outside the Classroom

Throughout the institution, schools, colleges, and academic departments encourage student-faculty interaction outside the classroom. Four Saturday afternoons each semester, Professor Ed Smith (CAS) offers non-traditional, thematic tours of Washington, providing

(Continued from p. 130)

American University participated in the survey in 2000 and 2002. In the 2002 Institutional Benchmark Report AU placed significantly higher than most doctoral-extensive universities and national universities on four of the five NSSE benchmarks for first-year students. For "level of academic challenge" and "student interactions with faculty," AU placed above the 90th percentile of first-year students at doctoral-extensive institutions. AU received the highest benchmark score (the 100th percentile) for "active and collaborative learning" and "enriching educational experiences" in this same category. For the benchmark "supportive campus environment" AU was in the 60th percentile for freshmen at doctoral-extensive institutions.

Turning to senior-year results, AU placed higher than most doctoral-extensive institutions in all categories. AU scored well above its peers: for "level of academic challenge" (80th percentile); "student-faculty interactions" (80th percentile); "active and collaborative learning" (80th percentile) and "enriching educational experiences" (90th percentile). The "supportive campus environment" benchmark is slightly higher than other doctoral-extensive institutions (60th percentile) and lower than national institutions (20th percentile).

These data overall capture quantitatively and comparatively what students and colleagues visiting campus have said during the last decade. AU students are intensively engaged; they are connecting seriously with learning and with the D.C. community and the world.

Contemporary Multi-Ethnic Voices

AU offers a course entitled Contemporary Multi-Ethnic Voices. Core faculty for the course come from three different disciplines: literature, performing arts, and anthropology. The faculty are also from three different ethnicities. Students develop and lead walking tours of AU and Washington, D.C., as part of the course. There is also a 6-10 hour service learning requirement, which requires students to work with an organization which targets a population from an ethnicity other than their own. The course includes a field trip in which faculty and students go to live theatre.

insights into the city and its history that are not available in any other context. The history department sponsors History Day, when seniors present the results of their two-semester-long major seminar. The psychology department sponsors an evening program each fall to help students learn more about internship possibilities. The sociology department has an “open hours” evening for students to drop by to discuss sociology as a major or minor and careers in the field. Most departments have at least one well-publicized outreach event of this type each semester as well as professionals from Washington, D.C., as guest speakers several times each semester.

Faculty also participate in a range of honors program activities from teas to British style debates highlighting two faculty-student teams and an involved student audience. Honors students have a “Take Your Professor to Lunch” program, in which a student invites a faculty member to lunch on campus.

At the graduate level, specially designed programs at KSB and SIS serve as orientations to graduate study in which intense engagement is key. KSB’s orientation includes complex case studies requiring teamwork and creativity and linking new students to faculty peers. Global issues are central to both programs.

Understanding and Interaction

Nowhere on campus is AU’s identity as an engaged institution more evident than in the Kay Spiritual Life Center. In addition to worship services, Kay offers programs reflecting its commitment to values such as human rights and dignity and social justice. In AY2001–2002, Kay hosted 1,505 events, including workshop services, Kay-sponsored programs, academic and nonacademic events, and community events. The Great Advocate Series brings well-known human rights defenders to speak on campus. The Campus Dialogues on Race in 2002–2003, cosponsored with Multicultural Affairs, brought together groups of community members to process their own reactions to race. And Table Talk roundtable discussions, held over lunch with an average of 50 participants, bring together practitioners and scholars on a regular basis to consider the moral dimensions of a variety of issues.

Programming to enhance intercultural understanding begins during student orientation. The Discover DC program provides a structured way for domestic and international first-year students to get to know one another better during Welcome Week. Students are divided into small groups and sent to various D.C. neighborhoods, using public transportation. They talk to residents and workers, observe their surroundings, and think about differences. Students are then asked to reflect on their experience and learn from other students’ experiences. In its first year, the program drew more than 120 participants and more than half of them were involved in the follow-up discussion. In

2002, the program expanded to include a kick-off event held early during Welcome Week and then followed up with two days of neighborhood visits. Each evening, the entire group came together for facilitated discussions.

The office of International Student Services (ISS) fosters cross-cultural interaction by developing and supporting programs that enhance engagement between international and domestic students on campus and between AU students and local and international communities.

The International Friendship Program was formed to help AU international and domestic students come together on campus through friendship. One international and one U.S. student of the same gender are paired and are expected to get together for at least one hour a week. At its initiation in fall 2001, there were 50 pairs of students. In spring 2002, 24 new pairs were made. The first International Friendship Gathering in February 2002 was very successful; monthly gatherings and other group events have been suggested.

The TALK series—Taking Action to Learn about Culture(s)—was designed in fall 2001 and piloted in spring 2002 to further enhance international and domestic student engagement. Partnerships have been developed with the sociology department’s International Training and Education Program (ITEP) and an honors section of the SIS Cross-Cultural Communication course to incorporate weekly classroom discussions with TALK facilitators and weekly journals to help students engage in a more personal way with the course material. ITEP students are trained as facilitators and earn internship or independent study credits for their participation. Discussions have been held about making the program a mandatory component of the General Education Program in Cross-Cultural Communication.

Activities to promote understanding are also evident at the department level. The School of Education has a campus chapter of Kappa Delta Pi, the nationally recognized honor society of future educators. Annually the school sponsors Myra Sadker Day, a national effort that draws volunteers who individually or in groups identify, plan, and implement at least one activity that increases gender equity and understanding. The day on campus culminates with an award presentation and reception. Two awards are presented, one to recognize organizations and individuals for their work and achievements in gender equity; and the other, the Student Equity Award, to recognize a student who has demonstrated a commitment to promoting equity and educational fairness in classroom and community work.

Building a sense of campus community and encouraging interactions among faculty, students, and staff are highly visible priorities. Campus Beautification Day has become an important university tradition. It is a day for campus clean-up, landscaping, and most important, strengthening the university community by

bringing together students, faculty, and staff to work on common goals. Traditionally, Campus Beautification Day is scheduled before Freshman Day each spring. In addition to the actual planting, weeding, and mulching that occurs, there are educational opportunities that assist in building community while beautifying the campus. The day is capped by an all-campus barbecue, live music, and drawings for door prizes. Additionally, campus groups who have “adopted a spot” and have worked at beautifying it throughout the entire year are recognized for their efforts.

Bringing Washington, D.C., to Campus

American University’s schools and colleges make concerted efforts to ensure that the many resources of Washington, D.C., inform student learning. Once the semester begins, three schools—KSB, SIS, and SPA—offer leadership programs for their first-year students. In SPA, first-semester students select and examine social issues in small groups; they bring in experts as guest speakers and design and implement a class-wide community service project. At KSB, first-year students in the leadership program have published a book of reviews, demonstrating their engagement in timely business issues and their connection to emerging research in their field. In SIS, students meet with leaders from campus and the Washington community, engaging both theoretical literature on political leadership and real-world case examples.

Two premier AU teaching and research centers link directly to the D.C. community. The Center for Congressional and Presidential Studies, directed by Professor James Thurber in SPA, provides a wide range of teaching (Campaign Management Institute), research, and public dialogue opportunities. The Pew Charitable Trusts has provided significant funding to the center and recognized its effective engagement with major issues of public trust at the national level. Also housed in SPA, the Women and Politics Institute, under the directorship of Professor Karen O’Connor, provides strong linkages between women leaders in D.C. and AU students and faculty. Additionally, both centers engage international issues, exemplifying the connections between the local and the global.

Now an American University institution, the School of Communication’s American Forum brings panels of speakers to campus to debate topics of current interest before students, who can question the panel, and the community at large. The new Center for Social Media sponsors events that bring media experts and producers of media together to discuss issues of social concern, e.g., the Environmental Film Festival, Women Make Movies Turns 30, the Human Rights Film Festival, and the Labor Filmmaker’s Roundtable.

AU also has forged excellent relationships with the foreign embassies in Washington. Ambassadors often come to campus to be briefed by AU faculty and to

meet with our students. The Office of Enrollment Services and the International Student Services Office bring embassy education officers to campus, listen to their perspectives, and provide information about current and planned programs. Students serve as interns in all facets of embassy operations and there is regular information exchange.

With more than 150 clubs and organizations on campus, it’s not surprising that AU students are able to negotiate with a wide variety of speakers to broaden and enrich their campus involvement. Recent speakers on campus include: Mikhail Gorbachev, Bill Clinton, Buzz Aldrin, Ted Kennedy, Spike Lee, Homer Hickam, Colin Powell, Coretta Scott King, Jon Stewart, Newt Gingrich, James Carville, Kim Young Sam, Michael Eisner, Ralph Nader, Ted Leonsis, Al Berkeley, Charlton Heston, Pat Robertson, Oliver Stone, E.G. Marshall, Kareem Abdul-Jabbar, and Lech Walesa.

ENGAGEMENT IN SERVICE

AU prides itself on turning: “ideas into action and action into service.” To what extent does the university actually fulfill this promise? A careful examination of the service activities at AU finds that the value placed on service permeates the entire institution.

Great Beginnings

AU attracts students who are committed to serving others. The 2001 freshman census indicates that almost 36 percent of AU freshmen anticipated volunteering in college. In fact, 52 percent of freshmen in 2001–2002 performed volunteer services, many of them repeatedly. Almost 43 percent of 2002 freshmen anticipated volunteering, a sizable jump in the level of interest in just one year. It is perhaps most telling that AU freshmen consistently place a higher value on “participating in community action programs” and “being a community leader” than their peers at other institutions. This is consistent with the dramatic increase in the scope of student service initiatives.

This intention to serve is put into practice almost immediately. From 30 students at its founding, the Freshman Service Experience (FSE) has grown to more than 600 participants annually, half of the freshman class. New first-year students come to campus before orientation, work in teams led by prior FSE grads (89 student team leaders in 2001), engage in volunteer work (grouped thematically, from the environmental to the international) during the day, and meet with faculty and other experts in the evenings. During this single week, freshmen volunteer more than 10,000 hours at approximately 60 different work sites. Since 1998, approximately one-third of the FSE participants volunteered again during the year. FSE allows students to interact with other first-year and advanced students and faculty and ensures both a smooth transition to the university and a meaningful learning experience.

Peter Rabbit's Garden

AU has developed a wonderful partnership with Horace Mann Elementary School, just down the street from campus. American University's School of Education helped set up a Web site for the school and sent technology experts to train teachers and provide technical support. The grade school also serves as a professional development school—a place for education students to learn hands-on skills working in classrooms.

Now there's a new connection. Peter Rabbit's Garden will grow from a plot of asphalt once AU's grounds crew removes the blacktop and puts in topsoil and nutrients. The concept is for the young elementary school students to nurture new plants in what may be their first gardening effort. The children will grow carrots, parsley, and green beans among other vegetables.

This is not the first contribution to Horace Mann that AU grounds crews have made. They initially went to the athletic field to improve it after some AU rugby players used it on a rainy day, several years ago. Since then, the relationship has grown, and AU grounds-keepers are familiar visitors among the schoolchildren. They've assisted with aerating, irrigating, fertilizing, and liming the sports field. They helped remove the old equipment and dug footings for the new playground equipment, and then spread wood chips beneath the new swings. They now have a regular maintenance routine that involves hours of mulching, weeding, and pruning. The grounds-keepers even auctioned off their own services as a fund raiser for the school.

Service in the Schools and Colleges

Service is an important component of all AU schools and colleges. The School of Communication, for example, provides opportunities for graduate and undergraduate students in public communication to secure a nonprofit organization as a client, to conduct quantitative and qualitative research, and to create strategic communication plans for the organization that can be implemented in conjunction with classroom studies during the semester. The school's PRSSA, the student component of the Public Relations Society of America, has an active chapter, providing public relations counsel to nonprofit organizations in the city. The Society of Professional Journalists student group plans events to support the journalism program and works with the newspaper staffs of Washington, D.C., high schools. Each spring students submit projects for the Visions Festival, including photographs, scripts, films and videos, and electronic media, for judging and awards. Winning submissions are screened for the community.

The Kogod School of Business offers undergraduates its special program, the Washington Initiative, which allows them to do volunteer work for community organizations, such as the DC Central Kitchen, or federal agencies, such as the Internal Revenue Service, and to practice what they are learning with faculty supervision.

The College of Arts and Sciences has for the past 10 years cooperated with the D.C.-based Joint Educational Facilities to sponsor an annual computing conference for D.C. high school students, linking these students with AU students and faculty.

Another important engagement initiative is the psychology department's partnership with nearby Walt Whitman High School, begun in 1992. Psychology department graduate students contribute to curriculum development at the high school and provide lectures on topics of emerging significance. AU students also take part in formal evaluation and training related to student research efforts at the high school. Additionally, AU students serve as "reviewers" of journal submissions to the high school's psychology journal.

Three additional examples of engagement with a research focus and linked to community needs come from the sociology department, the School of International Service, and the Department of Performing Arts and School of Education. Students in research methods classes in these units engage in research projects that connect to organizations off campus. In sociology, the students select a community development issue in an area of the District of Columbia, conduct research, and make recommendations to assist with community problem solving. In SIS, undergraduate students in research methods classes conduct research for "clients" in the community, primarily nongovernmental organizations concerned with peace and human rights, such as

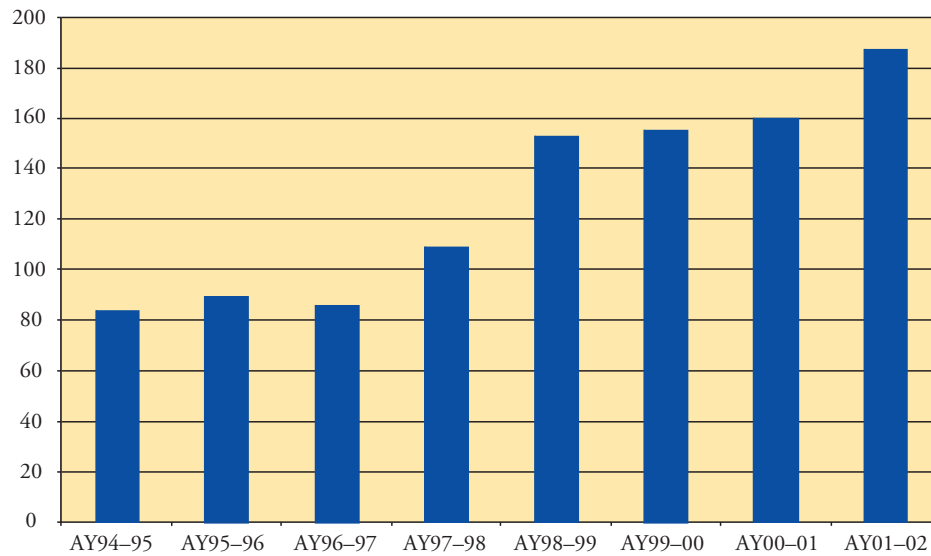
the Fund for Peace. The Department of Performing Arts and the School of Education collaborate with a nonprofit professional children's theatre and arts education organization on a program called Imagination Quest (IQ). Working with school systems in the District of Columbia, Maryland, and Virginia, IQ artist-teachers, researchers, and interns hope to provide ways for interaction in the classroom and for the arts across the curriculum. To date, IQ has been involved with over 100 teachers, 250 parents, 40 principals, and 600 students.

The Marshall-Brennan Fellowship Program at the Washington College of Law (WCL) intensifies the engagement of talented second- and third-year students with both the constitutional law-related curriculum and the community at large. These students actually teach a course on constitutional rights and responsibilities in Washington-area public high schools, including a special curriculum on the history and future of democracy and the right to vote. Working together with faculty, high school teachers, administrators, and volunteer lawyers, these students influence even the most disaffected teenagers with a focus on the rights of citizens, the strategic benefits of voting, and related constitutional processes.

The Washington College of Law's clinical program combines public service to the community at large with experiential learning. WCL is a recognized national leader in clinical legal education, which is the practice of introducing second- and third-year law students to law practice by providing opportunities for them to represent real clients in real matters. In the clinics, student attorneys are their clients' primary legal representatives, working under the close supervision of the clinical teaching faculty. Many students report that their clinical experiences are among the most powerful and even transformative of their law school careers. Currently, WCL sponsors clinics in the areas of civil practice, community and development law, criminal justice, domestic violence, federal tax, international human rights law, intellectual property law, and women and the law; students also participate in the D.C. Law Students in Court Program. Typically these activities represent half of enrolled students' academic load for one semester or, in some cases, a full academic year. Every year, more students avail themselves of these valuable learning opportunities. WCL strives to provide a clinical experience for every student who wishes to have one. In the last several years, overall participation in its clinics has been increasing (Figure 9.1).

The Innocence Project of the National Capital Region is a nonprofit organization housed at WCL since December 2000. Professor Binny Miller is the faculty coordinator for the project, which was founded in response to an increasing body of evidence that the criminal justice system is failing in one of its most critical functions: the conviction of the guilty and the

Figure 9.1
WCL Clinic Participation



exoneration of the innocent. It brings together volunteer law students, attorneys, and advocates to provide postconviction relief to prisoners in Maryland, Virginia, and the District of Columbia who have provable claims of innocence but lack the resources to pursue those claims.

In addition, the project undertakes legislative activities, such as its advocacy of the D.C. Innocence Protection Act enacted in November 2001. Like other special programs at WCL, the project provides excellent volunteer opportunities for WCL students to engage in collaborative work in an area of crucial importance to society.

WCL's encounter with the larger world takes many forms, including the maintenance of a number of extra-academic programs that engage specific external communities. In 2002, for example, WCL launched the Program on Intellectual Property and the Public Interest, which conducts forums and workshops on a variety of topics at the heart of today's debates over information regulation.

The Program on Gender, Work, and Family, directed by Professor Joan Williams and begun in 1998, seeks to decrease the economic vulnerability of parents and children by restructuring workplaces around family life values through a variety of research activities and policy initiatives.

WCL also maintains a strong commitment to *pro bono* service activities in the community by both students and faculty. Such efforts in this direction include creating the position of a full-time public interest coordinator, nurturing a loan forgiveness program for graduates entering public interest careers, creating a

program of scholarships for students committed to pursuing such careers, encouraging and supporting student applicants for prestigious public interest fellowships, and much more. In recognition of these efforts, Dean Claudio Grossman was named the National Association of Public Interest Law's Dean of the Year in 2000–2001.

Service Learning

American offers students the opportunity to earn one pass-fail credit when they combine what they learn in the classroom with what they learn through volunteering—known on campus as service learning. Sponsored by the Community Service Center in the Office of Campus Life, this opportunity is available for undergraduates who elect the formal challenge of coordinating an approved community service site or project with an approved class and who obtain a faculty advisor. The student and faculty member sign a contract that explains the nature of the project, the proposed work at the site, and how it relates to the course. The contract ensures that the project is challenging and relates to the course work and the 40 hours of required fieldwork.

There are many examples of service learning on campus. Five to seven students in the Department of History participate each year in a service learning program founded in 1993 by Professor Ira Klein and the senate's Student Relations Committee. Professor Mohammed Abu-Nimer works with the Community Service Center to update lists of volunteer sites that offer students clear opportunities to explore diverse communities—both international and domestic. Professor Jack Child's Latin America learning project incorporates volunteer work in the Hispanic community with learning Latin American history, art, and literature.

Programs and Organizations That Promote Service

The Community Service Center

The mission of the Community Service Center is to support American University's goal of turning "ideas into action and action into service." The center is staffed with two full-time professionals and a team of work-study students and summer Freshman Service Experience coordinators.

The center has as one of its goals to "enhance AU's profile as a values-based institution by aligning and identifying our most prominent practices, programs and services with the university's long-standing commitments to such values as human rights and dignity, social justice, citizenship and public service, equity and appreciation for human diversity, and individual freedom and responsibility." The university promotes and coordinates volunteer activities with meaningful, structured programs to address issues such as housing and homelessness, hunger, the environment, and literacy tutoring. A number of students also work independently with the elderly.

The center's DC Reads Program now involves approximately 150 students per semester. In 2002–2003, participation levels were 11 percent higher than the previous year. Tutoring through DC Reads is offered Monday through Saturday at 11 schools throughout Washington, D.C. In fall 1999, the International Classroom Project was initiated under the auspices of the DC Reads Program to put international students in contact with an American elementary school and to teach young children about other countries and cultures. The fourth and fifth grade classrooms participating are in a predominantly African American school in a low-income neighborhood in Washington, D.C. Each year, about 15 international students present bi-weekly thematic lessons comparing various countries around the world and involving holidays, food, the arts, and traditional clothing. Field trips, such as to the Smithsonian, and a trip to the university campus, are also incorporated into the program. This popular program continues in its fourth year, and in 2002–2003, a second partnership was initiated with a middle school in Silver Spring, Maryland.

In 1995–1996 (the first year statistics were collected), there were 1,279 instances of volunteerism through the center, compared to a national volunteer average of 619. The total hours volunteered for that same year were 27,416. As volunteer activity and interest changed and grew, the center began collecting data in a different way. No longer did it seem as important to count "bodies per activity" but rather it was important to look at "who is volunteering." This data indicates that the number of hours contributed by individuals has steadily increased.

The center continues to thrive. In 2002 it established the first student-led endowment fund to provide mini-grants to fund student service initiatives. Known as the Eagle Endowment for Public and Community Service, it named its first recipients in the fall of 2003. The center has seen a dramatic shift in volunteer inquiries—students are less likely to ask for the telephone numbers to soup kitchens and more likely to ask how they can *start* something, be it a mentoring program or outreach to senior citizens. They are not *joiners*, but rather, aspiring *leaders*.

Other Examples of Service

All of AU's 11 fraternities and 13 sororities participate in volunteer service. Some recent service activities are fund raising for the Special Olympics, the St. Elizabeth's Hospital Volunteer Program, the Pediatric AIDS Foundation, and the Columbia Lighthouse for the Blind. They also conduct numerous blood drives, tutor students, and provide assistance at nursing homes.

AU student-athletes also immerse themselves in the community. Each year, every team, working with its coach, selects two community service projects, such as working with Habitat for Humanity, serving in food banks, or mentoring youth groups. More than 250 student-athletes volunteer their time in these and other programs. For example, this year, the women's lacrosse team personally sponsored the education of a young Kenyan orphan and helped to secure an additional sponsor from the National Society of Collegiate Scholars.

Service at AU is institutionalized through the Federal Work-Study Program. Community Service makes up just over 10 percent of the university's federal allocation of work-study funds, with a total expenditure of approximately \$2 million. Students who are awarded work-study funds can elect their type of work to earn their allocation. Those who elect community service will work at a meaningful job to improve the quality of life for the local community, particularly low-income individuals, or to solve particular problems related to their needs, including healthcare, child care, literacy training, education, welfare and social services, transportation, housing, neighborhood improvement, public safety, crime prevention and control, recreation, and community improvement.

WAMU, American University Radio at 88.5 FM, is another example of service to the community, both locally and globally. WAMU broadcasts National Public Radio programs such as "All Things Considered," BBC programs such as "Outlook," and original programming such as the nationally recognized "The Diane Rehm Show" and "The Kojo Nnamdi Show." The listener-supported radio station provides a key connection with the greater Washington metropolitan area. With more than 450,000 listeners, it is the top-rated news-talk station in the Washington area.

Alumni

In the 55 years of the Washington Semester Program (WSP), many alumni have gone on to public service, including former Senator Maxwell Cleland (D.-Ga.), university president and former secretary of Health and Human Services Donna Shalala, Representative Paul Ryan (R-Wis.), Representative Jim Nussle, (R-Iowa), former governor of Massachusetts Michael Dukakis; former IBM vice president and chief economist Nancy Hays Teeters. They all agree that the WSP played a key role in their own careers of service in the public and private sectors. Indeed, Senator Cleland has said, “the Washington Semester Program at American University . . . changed my life [and] stimulated me to get involved in politics and I have been involved ever since.” Likewise, Governor Dukakis identified his semester in the WSP as the “best educational experience of my life.”

Alumni from other AU programs are also committed to service. The 2003 Alumni Achievement Awards nominees provide examples of this commitment: Brien Biondi is chief executive officer of the Young Entrepreneurs’ Organization (YEO), the world’s premier peer-to-peer global network; Anne Lang Frahn, along with her sister, founded Teachers for a Better Belize (TFABB), a partnership of volunteer educators from the United States and Belize, which is the only nonprofit working to improve teaching in the Toledo region of Belize; Susie Kay founded the Hoop Dreams Scholarship Fund, an organization dedicated to sending Washington, D.C., inner-city high school students to college; and C. Payne Lucas, Sr., serves as president of Africare, the oldest and largest African American organization working to provide assistance to Africa.

The commitment to service is seen in other ways. Nearly 600 AU alumni have become Peace Corps volunteers since 1961, when the Peace Corps was founded. The latest statistics available (1998 and 1999) indicate that AU alumni joined the Peace Corps in greater numbers than students from comparable universities. With 40 alumni serving as Peace Corps volunteers in 2000, AU was first among the top 10 colleges and universities with fewer than 5,000 undergraduates.

ENGAGEMENT IN EXPERIENTIAL LEARNING

American University and Washington, D.C., offer a powerhouse combination for professionals. As with opportunities for service, many students come to AU because it facilitates experiential learning. More than 92 percent of 2002 freshmen say that the opportunity to have a cooperative education experience or internship was a factor in their decision to come to AU.

Evidence suggests that a significant number of students actually avail themselves of this opportunity. The May 2002 graduation census indicates that more than

three of four graduates report an internship while at AU. Of these graduates, 82 percent say this experience influenced their career plans. At the graduate level, 48 percent of graduate students indicate that they had an internship while at AU. Consistently, 63 percent of students report that their internship responsibilities are at least 85 percent substantive. Clearly, students find their internship experiences very valuable. In one year, 2001–2002, the number of students recommending their internships to others increased from 76 percent to 96 percent.

Internships at AU epitomize experiential learning locally and globally. AU students have internships in an extraordinary array of public, private, and not-for-profit settings in the District of Columbia and around the world. In each case, the student works with an individual faculty member as well as an internship supervisor, integrating academics with the work world and connecting intellectual resources to an organization’s practical needs. In these days of change and complexity in the work world, AU students often are the vibrant links between faculty generation of new knowledge and real organizational problem solving.

Internships are so well ingrained in the life of the university that classes can be scheduled to accommodate a free day for internships, service projects, or other activities every week. These hands-on learning experiences offer opportunities to explore employment options, begin networking, learn what different job assignments may entail, and discover new career interests. Academic regulations set standards for credit-bearing field experiences, which streamlines the process and ensures comparability across campus.

Over the last six years, the Career Center has successfully increased its use of technology in order to improve the accessibility of internship information—for both students and employers. Internships previously listed in a binder in the Career Center are now presented via a fully accessible Web listing of internship opportunities around the world. Additionally, in 2001, the registrar’s office and the Career Center collaborated to develop a Web database of registered internships. This Web database was revised in 2002 to enable complete tracking of student sites, supervisors, and individual contacts so that students could be efficiently monitored for academic compliance and located in the event of an emergency. A Web questionnaire was also instituted to confirm information and assess the substance of and satisfaction with internships. As a direct result of this use of Web technology, the return rate of this survey increased from 10 percent to 50 percent.

In the Department of Performing Arts at any given audition, there are students from all over the world and students with majors as varied as business, economics, and international service. Graduate and undergraduate

Amy Hendrick—Mayor’s Community Service Award Winner

Amy Hendrick is a graduate student in both the School of Communication and the College of Arts and Sciences. She, together with two other students, James Pearlstein and Charise Van Liew, founded Amerikids, a not-for-profit club, four years ago. The purpose of the club (whose new name is FLY—Facilitating Leadership in Youth) is to provide a summer camp and mentoring opportunities for children in Barry Farms, a housing project in the Anacostia section of D.C. FLY engages entire families, asking parents to make a commitment to keep their children involved in the FLY summer camp and mentoring programs. Amy sees FLY as more than just a service organization; to her it is a bridge to the community and to bringing about change. Other AU students involved in helping with the program are enthralled with the fact that they’ve “really changed kids’ lives.” AU alumnus and national news broadcaster David Gregory helped AU students raise funds for their 2003 activities.

Some Organizations Where Students Have Recently Interned

Federal Communications Commission
Smithsonian Institution
Black Entertainment Television
American Civil Liberties Union
Institute for Women's Policy Research
Congress of the United States
Discovery Channel
NASA
Volunteers of America
Dateline NBC
Earthrights International
Center for Strategic and International Studies
Nonviolence International
Embassies
International Center Against Censorship
Center for Cognitive Liberty and Ethics
Public Defender Service
IBM Corporation
John F. Kennedy Center for the Performing Arts
Economic Policy Institute
Africa Center for Strategic Studies
National Breast Cancer Coalition
Chesapeake Bay Foundation
American Association for Marriage and Family Therapy
Legg Mason
Marriott International, Inc.
Peace Corps
Center for European Policy Studies, Belgium
Save the Children
Greater Washington Board of Trade
Clark Television Production, England
Washington Wizards
Corcoran Gallery of Art
Amnesty International
National Institutes of Health
United Nations
The David Letterman Show
European Union Headquarters, Belgium

majors are actively engaged in the arts both locally and globally. They have internships in institutions such as the Kennedy Center and the National Endowments for the Arts and Humanities, as well as in places such as Lincoln Center in New York and arts institutions in Taiwan, Japan, and other countries.

The Washington Semester Program has a database of unique internship opportunities through which an average of 450 students per semester find substantive positions in one of more than 1,200 public policy offices in the Washington area.

Despite the remarkable growth and success of internships at AU, challenges remain. As a result of difficult economic times, both in the United States and abroad, recent years have shown a decline in the number of students doing internships abroad. The other major challenge to the program is that faculty are usually not compensated for their work with individual internships.

As a complement to the growth and success of the internship program at AU, in spring of 2002, the Career Center created an internship faculty-of-the-month program to acknowledge and reward professors who have improved and expanded experiential learning opportunities at AU. The program, which has honored instructors whose expertise ranges from history to international service, recognizes one new professor each month throughout the semester. In addition to showing appreciation, the award improves and promotes experiential learning across the campus by presenting the honorees as exemplars and encouraging faculty to work with the Career Center on experiential learning.

Although the faculty-of-the-month program is new, some honorees have been committed to experiential learning for many years. Professor Don Hester, for example, has been helping students in the School of International Service (SIS) find internships with the Department of State since 1996. Named internship faculty of the month last September, Hester has consistently supported the State Department internship with a challenging syllabus that includes a research paper, work analysis memos, and group meetings. Accordingly, his students gain both practical experience in U.S. foreign affairs and theoretical understanding of how political theories operate in practice.

The Washington College of Law also boasts an extensive and well-organized Supervised Externship Program, in which students work as volunteers in a variety of legal workplaces in Washington, D.C., and elsewhere, receiving course credit for both their fieldwork and their participation in a special seminar that provides an opportunity for reflection on the lawyering experience. The goal is to help students learn practical skills and the actual workings of the legal system. Placements are in public interest organizations, trade associations, such government agencies as the Justice

Department and Federal Trade Commission, pro bono departments of law firms, and others. This popular program attracts a large number of students during both the regular school terms and the summer session. In summer 2003, 130 students participated. In addition, each semester a smaller number of students pursue externships for academic credit, working with individual faculty members outside the Supervised Externship Program, and many others do volunteer legal work on a less formal basis.

ENGAGEMENT WITH THE GLOBAL COMMUNITY

AU's 15-point plan highlights the institution as a premier global university. A review of the ways in which AU interacts with the international community shows that AU's engagement with the global community is manifested in many ways.

AU Leadership

In 2002, President Ladner selected Professor Robert Pastor, the Goodrich C. White Professor of International Relations at Emory University and key colleague of former President Jimmy Carter at the Carter Center, to be the university's first vice president of international affairs and professor of international relations in SIS. He is tasked with the creation and direction of two global centers (discussed on page 142) and with helping to achieve the university's vision of becoming a premier global university. In only a short time he has moved swiftly to advance ideas for how study abroad opportunities can be expanded and improved.

Academic Offerings

At the core of AU's global identity is its strong academic offerings. SIS recently celebrated its 45th anniversary. It is the largest such school in the United States and has the largest application pool of any school of its kind. The Department of Language and Foreign Studies in the College of Arts and Sciences offers language study in 11 languages and a Teaching English as a Second Language Program. The Washington College of Law offers a strong international law program, including a special LLM degree program that attracts top lawyers from around the world. The AU Abroad and World Capitals Programs connect undergraduates to major countries around the world. There are also summer study abroad institutes and alternative spring break study and service options.

The General Education Program (see Chapter 7 on undergraduate education) ensures that students have exposure to and immersion in international and intercultural studies, one of five main areas of general education. Courses offer a range of disciplines that prepare students to grapple with and to understand complex and compelling international and intercultural issues. A sampler of courses includes: Beyond Sovereignty;

Competition in an Interdependent World; Cities and Crime; Civilizations of Africa; Cross-Cultural Communication; Imperialism and Revolution; Contemporary Media in a Global Society; Architecture: Washington and the World; Third World Literature; Latin America: History, Art, Literature, with sections taught in English and Spanish; and The World of Islam.

Faculty themselves bring special expertise to many of these programs. In the past decade, the number of faculty who received at least one degree from a non-U.S. institution of higher learning increased from 36 in 1994–1995 to 74 in 2002–2003.

Each year academic units receive an average of \$1.6 million in sponsored projects that involve international research. Each sponsored project has a faculty member who serves as the principal investigator or project director, and almost all grants involve funding for student research assistance.

Study Abroad

As of spring and fall 2002, 427 AU students enrolled in formal study abroad programs for a semester or more in places around the world. This number does not include alternative spring break students or summer institutes abroad students. What is particularly striking is that the overwhelming majority of these students also do an internship abroad, immersing themselves in intense active learning in the culture of their choice. When seniors are asked informally to report on their most memorable experiences as undergraduates, they almost always mention their study abroad experiences and their engagement with new ways of learning.

Alternative spring break is yet another example of intense engagement. Now in its third year, students and faculty select service projects in other countries to be conducted during spring break (or, on a smaller scale, at other academic calendar break times). They prepare rigorous syllabi, set up pre-trip learning requirements and briefings, and link the experience to one-credit independent study projects. In spring 2003, four AU faculty members led trips to Cuba, Mexico, and Vietnam.

AU does not view its students' study abroad experiences as compartmentalized events of their college career. Rather, the study abroad experience links to General Education studies in the international and intercultural area. Students attend both pre- and post-departure workshops to ensure successful transitions to and from campus. Internship opportunities are a central part of most study abroad experiences.

The Washington College of Law (WCL) has a substantial international presence. Currently, WCL operates two programs in which U.S. law students gain knowledge and experience of foreign law and foreign legal systems through intensive study abroad during the summer term. The longest running of these is

WCL's program in Chile—the only summer study program operated by any U.S.-based law school in the Southern cone. For participating students the program functions not only as an introduction to the legal doctrines of a significant Latin American democracy, but also as a gateway to understanding the civil law tradition. WCL's other summer study program takes students to London, Paris, and Geneva, with a curriculum that focuses on economic law, human rights, and the law of international institutions. For instruction, both programs rely on a combination of WCL faculty who travel with the students to the foreign sites and expert local lecturers. As reflected in the following enrollment figures for the past several years, the programs have become popular with both WCL students and visiting students from other law schools across the United States.

Figure 9.1
WCL Summer Study Abroad
Enrollment 1999–2003

	Chile	Europe
1999	21	45
2000	16	68
2001	33	57
2002	47	68
2003	40	100

Programs, Councils, and Centers

American University has a number of special programs, councils, and centers that encourage and facilitate AU's interactions with the global community. These serve many purposes but usually include elements of academic inquiry, outreach, and service.

The War Crimes Research Office (WCRO) fills a critical need for the elaboration of international law. It was established in 1995 with a grant from the Open Society Institute to provide research assistance to the Office of the Prosecutor of the International Criminal Tribunals for the former Yugoslavia (ICTY) and Rwanda (ICTR). The WCRO also provides legal research assistance to other intergovernmental clients on a highly selective basis.

The Center on Human Rights and Humanitarian Law, in existence at WCL since 1990, is responsible for and otherwise involved in some of the most innovative and important human rights projects at the law school in the last decade. Most notably, the center has created and administers the moot court program for law schools in the inter-American system, which is now in its seventh year. Seventy-seven schools have participated in this event and judges of the court have included a justice of the U.S. Supreme Court and many other distinguished judges and lawyers. The center is co-directed by five of WCL's faculty in the

Christina Arnold— Truman Scholar

Christina Arnold became the second AU student in the last four years to receive a prestigious Harry S Truman Foundation Scholarship, which recognizes exceptional college juniors who are dedicated to careers in public service. Christina founded and runs a nonprofit organization, Project Hope International, which operates in several countries and addresses sex trafficking and related human rights abuses in Thailand. She was one of 76 scholars selected from a pool of 635 nominees representing 305 colleges and universities.

AU was the only university in the country that had five students selected as Truman scholarship semifinalists in 2003.

Charise Van Liew— President Award Recipient

In 2003 President Ladner awarded the President's Award to Charise Van Liew. From her earliest days on campus, Van Liew mentored AU students, assisted inner-city youth, worked in soup kitchens, helped in homeless shelters for women, and organized, managed, and led ambitious fund-raising efforts to assist people at home and abroad. She cofounded Facilitating Leadership in Youth (FLY) and serves as its volunteer executive director. The organization provides year-round educational programs—including tutoring, mentoring, and day campus activities—for young people in a housing project of Washington, D.C. She raised more than \$120,000 in grants and funding to support this activity.

In addition, Ms. Van Liew is involved in the International Federation of Liberal Youth (IFLRY), a Belgium-based program associated with the Council on Europe. As a project director for the training conference for youth leaders, she organized an international gathering on AU's campus and raised \$178,000 to teach peace and conflict resolution to students from around the world.

human rights area, including Dean Claudio Grossman. The center has also been deeply involved with such innovative human rights projects at the law school as the War Crimes Research Office and the Inter-American Human Rights Digest project, which has been compiling all the human rights decisions in the inter-American system for digital and other distribution.

Established in 1994 with outside grant funding and directed by Professor Ann Shalleck, the Women and the Law Program supports and promotes the work of law students, women's rights advocates, and legal scholars to integrate fully women's human rights into legal education, practice, and doctrine around the world, with a particular emphasis on Latin America. The program works closely with students pursuing the LL.M. gender and the law specialization to design a program of study that meets their academic and professional goals. In addition to working with students, the program works with women's rights advocates and scholars around the world to create legitimacy for gender analysis of law and legal institutions, to contribute to a growing body of scholarship on women's human rights, and to develop and promote strategies to accomplish reforms of the law and legal institutions that further women's rights.

The Academy on Human Rights and Humanitarian Law is an intensive three-week human rights program tailored to the needs of professionals specializing in human rights around the world—in international organizations, government agencies, international relief agencies—including policymakers, nongovernmental organization representatives, academics, and law students. The purpose of the academy is to offer training courses to human rights scholars and activists, providing them with the opportunity to expand their knowledge and to network with other experts in the field. The academy's codirectors are visiting professors Claudia Martin and Diego Rodríguez-Pinzón.

The first program of its kind to do so, the academy offers courses in both English and Spanish and is open to law students and practicing attorneys interested in human rights issues. Courses can be taken either for law school credit (English courses only) or for a certificate of attendance (English and Spanish courses). The academy offers courses on international humanitarian law; the inter-American, European, and African human rights systems; and the United Nations system. Courses also explore the skills needed for human rights advocacy and the relationship between environmental law and human rights law and between women and international human rights law. The academy has invited nationally and internationally renowned faculty with extensive expertise in the field and practice of international human rights law. The academy's summer sessions are cosponsored by the Center for Human Rights and Humanitarian Law and the international legal studies program at WCL and the

Netherlands Institute for Human Rights at the University of Utrecht, recognized leading human rights institutions in the United States and Europe, with complementary areas of expertise. In 2001 and 2002, the academy attracted more than 100 students from all over the world each summer (many of them on scholarship); the 2003 academy was expected to be even more comprehensive in its coverage and to draw a larger enrollment.

American University's new vice president of international affairs, Robert Pastor, as noted in the beginning of this section, has founded two centers on campus that address issues in the complex post-9-11 world. The Center for Democracy and Election Management has a research and teaching agenda that focuses on one of the primary challenges of today's new world order—democratization and the holding of fair and transparent elections. The center has already set up a Web site, identified relevant links, held faculty-student seminars and workshops on campus and in the Middle East, and identified a series of research and teaching topics. The second center, the Center for North American Studies, has an extraordinary vision: positioning thinking to view Canada, Mexico, and the United States as a holistic and significant region, with potential to match the vibrancy of Europe, for example, as a region. This new center has an innovative summer program of research and study, the Discovering North America Summer Institute, begun in summer 2003, which brings together students and scholars of the region and designs both a research agenda and a higher education curriculum for the Americas.

There are 13 other centers with an international or global focus:

- **the Center for Asian Studies**—For over twenty years, the Center for Asian Studies has supported the field of Asian studies at AU by increasing the number of Asia-related courses on campus, sponsoring numerous conferences on Asian issues, and attracting students from throughout Asia. Directed by Professor Hyung Kim, the center is committed to promoting understanding of Asia through its multi-disciplinary programs, student and faculty exchange programs, conferences and public dialogues, research, and publications.
- **the Center for Israeli Studies**—The Center for Israeli Studies was created to celebrate, examine, and interpret Israel as a nation and a people. The center integrates AU faculty who have established reputations in Israel with the university's expertise in the design of experiential and global education. Under the direction of Professor Howard Wachtel, the center is becoming a national and international hub for the creation and dissemination of knowledge about Israeli contributions in the arts, economics, environmental science, law and society, public administration, and Jewish studies.

- **the Center for the Global South**—The nations of Africa, Central and Latin America, and most of Asia—collectively known as the Global South—face great challenges and offer real opportunities. Political, social, and economic upheavals are prevalent in many of these nations; at the same time, the populations of the global South and their emerging markets offer immense hopes for economic growth, investment, and cultural contribution. The urgency of these challenges—and the potential for growth and change—led AU to create the Center for the Global South. Under the direction of Dr. Clovis Maksoud, former Arab League ambassador to the UN, the center sponsors, among other activities, a summer institute and several conferences each year, including “Human Security for the Global South: Challenges of Peace and Development” and “The State of Human Development in the Global South: A Comparison of the Latin American and Arab Regions.”
- **the Center for Global Peace (and the Mohammed Said Farsi Chair of Islamic Peace)**—The Center for Global Peace provides a framework for programs and initiatives that advance the study and understanding of world peace grounded in a search for a just and sustainable world order. Under the direction of Dr. Abdul Aziz Said, the Mohammed Said Farsi Chair of Islamic Peace, the center works to embody the invitation in AU’s Statement of Common Purpose, “turning ideas into action . . . and actions into service.” By seeking to understand better the social, political, cultural, economic, and civic structures whose impairment can lead to violence and upheaval, the center focuses its activities on the global system, identifying common interests and working toward common security.
 - The Mohammed Said Farsi Chair of Islamic Peace—As noted above, the director of the Center for Global Peace, Dr. Abdul Aziz Said, holds the Mohammed Said Farsi Chair of Islamic Peace, which is the first chair endowed at a U.S. university devoted to the study of Islam and peace. The chair promotes the study and understanding of Islamic values and traditions and contributions to the search for global peace, community, and solidarity.
- **the Graduate Research Center on Europe**—AU established its Graduate Research Center on Europe in Trento, Italy, in collaboration with the University of Trento. The center supports the advancement of scholarship and the development of professional partnerships between Americans and Europeans on a wide range of global issues. AU faculty, including more than 130 specialists in European and international affairs, have been recognized repeatedly for their outstanding scholarship and professional service.
- **the Center for Social Media**—Directed by Professor Pat Aufderheide, the Center for Social

Media focuses on and analyzes media as creative tools for public knowledge and action. Its activities include public events, research projects, seminars and conferences, organizational links, and Web-published research. A distinguished panel of filmmakers and scholars serve on the center’s advisory board. In addition to organizing and hosting an annual human rights film festival, the center is engaged with short- and long-term projects, which currently include “Film, video and online media for social action: strategies, trends, and policies” and “Imagination, Creativity, and Control in Independent Filmmaking: Mapping the Creative Tensions in Today’s Intellectual Property Regime.”

- **the Transnational Crime and Corruption Center (TraCCC)**—The Transnational Crime and Corruption Center (TraCCC) is the first center in the United States devoted to teaching, research, training and formulating policy advice in transnational crime, corruption and terrorism. Originally founded in 1995 with support from the MacArthur Foundation and now funded by the US Government and private foundations, TraCCC’s fundamental goal is to better understand the causes and scope of transnational crime and corruption and to propose well-grounded policy to reduce and eliminate these problems. Under the direction of Professor Louise Shelley, much of the Center’s work has focused on the analysis of transnational crime and corruption in the countries that constituted the former Soviet Union and the countries of Eastern Europe. Current projects include research on money laundering in the Republic of Georgia, Chinese organized crime in the US, and corruption in business-government relations in transition countries and developing curricula to train US border patrol agents and US law enforcement agencies about smuggling/trafficking.
- **the Global Intellectual Property Project**—Founded in 1994, the Global Intellectual Property Project (GLIPP) is an interdisciplinary council of AU faculty who share an interest in various aspects of intellectual property issues. The project’s mission is to provide a forum for scholarship and policy analysis to help inform this public debate. GLIPP brings together experts from a range of disciplines to explore the impact of the revolutionary changes now underway in communication and technology on information, creative endeavors, and innovation. The project’s two most recent conferences were “Patenting Business Methods: Is the US Patent System Harmful to Business?” and “Getting to Know You, Getting to Know All about You: Global Perspectives on Patents and the Human Genome.”
- **the International Management Institute**—The Intercultural Management Institute (IMI) recognizes the vital role culture plays in international business.

Globalism— One Example

The Transnational Crime and Corruption Center (TraCCC) model exemplifies deep engagement not only among faculty and students but also with the added dimension of practitioners and satellite centers. The faculty and student researchers work together with local researchers and government officials to grapple with grave challenges regarding crime and corruption at the local level. The founding director of TraCCC, Professor Louise Shelley, just received an invitation from President Putin of Russia to talk about the work of the center and highlight the effectiveness of the St. Petersburg Center. As a result of the center's research, Professor Shelley has worked with faculty leaders and students in two AU units to design a curriculum concerned with cross-national crime and corruption in various world regions. Students at all three levels, baccalaureate, master's and doctoral, work with Professor Shelley and her associates on a range of projects both here and abroad.

IMI offers businesses intercultural experts, training programs, and consulting services that provide organizations the means to manage better cultural differences and to flourish in the global economy.

- **the International Institute for Health Promotion—** Under the direction of Dr. Robert Karch, the International Institute for Health Promotion (IIHP) seeks to develop effective solutions to challenges to the advancement and application of health promotion concepts. The IIHP accomplishes these tasks through facilitating and developing collaborative strategies, research and education initiatives, and communication networks. The institute's approach is interdisciplinary and includes academic institutions, government authorities, private corporations, insurance companies, hospitals, medical groups, and community groups as well as other significant individuals in health promotion.
- **the Center for Information Technology and the Global Economy—**The Center for Information Technology and the Global Economy (CITGE) has a growing reputation as a leader in business issues at the intersection of IT and globalization. There are three major areas on which the center focuses: (1) education—offering students and executives in the US and abroad a world-class education on significant issues pertaining to the impact of globalization and IT on firms and their business practices; (2) cutting-edge research in collaboration with other academic institutions and businesses to inform individuals and corporations on critical business issues related to globalization and IT; and (3) building a learning network to link Kogod School of Business faculty and students into business, government, and international communities in order to design new concepts about information technology that will help businesses thrive in the 21st century. CITGE regularly works with such organizations as the Greater Washington [DC] Initiative, ESCAP Paris, the Embassy of India, the South East England Development Agency (SEEDA), the DC Technology Council, and Triway Corporation.
- **the Center for Democracy and Election Management—**In fall 2002, under the leadership of Dr. Robert Pastor, vice president of international affairs and professor of international relations, AU established the Center for Democracy and Election Management (CDEM) to educate and train undergraduate and graduate students and mid-career professionals on the management of elections and “best democratic practices.” CDEM organizes its work around three subjects: (1) the management and conduct of elections throughout the world; (2) “best practices” of comparative democratic institutions—legislatures, the judiciary, the media, political parties; and (3) “election-mediation” as an instrument to resolve conflicts. CDEM is in the process of

developing courses for undergraduate and graduate students on democracy that will lead to a certificate in democratic studies and developing a summer institute (2004) to train democratic leaders and professional managers about election management.

- **the Center for North American Studies—**Also in fall 2002, Dr. Pastor established the Center for North American Studies (CNAS). The center's four goals are (1) to provide an educational experiment that teaches students about the history, economics, politics, and societies of Canada, Mexico, and the United States, including their past differences and their future prospects as parts of a regional entity; (2) to promote policy-oriented research on North American issues by scholars and students in the three countries; (3) to instill in business and government leaders and the public a new way of thinking about themselves and their neighbors as citizens of their own countries as well as residents of North America; and (4) to seek partnerships with other North American universities, create a model for a regional studies center that could be adopted throughout North America, and serve as a network hub for other centers of North American studies.

Other Examples of Outreach

AU President Benjamin Ladner personifies the university's engagement with global affairs. Whether visiting North Korea or the Middle East, President Ladner has sought to use “academic diplomacy” to promote constructive exchange of ideas that will make a difference. Under his leadership, AU helped to plan and found the American University of Sharjah (AUS) in the United Arab Emirates. From an idea without buildings, faculty, or students, AU Sharjah has become a thriving university with nearly 3,500 students (September 2003) studying in a college of arts and sciences and schools of engineering, architecture and design, and business and management.

At the school or college level, in SIS there are faculty-student research teams led by Professor Paul Williams that provide “live” assistance to nongovernmental organizations and governments of countries in transition; students working with faculty apply the ideas generated as a part of research projects to actual issues settings, such as the Somali Peace Talks or the Montenegro-Serbia negotiations. Graduate students selected for funding as Tinker-Walker Fellows do field research in a country of their choice, collecting and analyzing data that can make a difference for policy and practice in developing nations. The program was begun approximately four years ago with funding provided by Millidge Walker, professor emeritus, and Irene Tinker, distinguished scholar in residence, who are committed to promoting engagement with critical issues in development.

Most recently five School of Communication graduate students, working together with faculty, conducted

research on the first month of global informal communications linked to the War on Iraq. They have created a Web site highlighting their findings and keeping the public up-to-date on the news media in wartime. (See <<http://centerforsocialmedia.org/warbeyondbox/index.htm>>.)

CONCLUSION

A number of factors facilitate engagement on campus, in Washington, D.C., and around the world. Most importantly, the history, traditions, and location of the university have shaped its campus-wide focus on engagement. Faculty, staff, and students who care about intense connections such as those described above are naturally attracted to American University. Academic regulations and degree program requirements promote local, national, and international engagement.

The “outcome” of such intense engagement is individuals who have a powerful set of knowledge, skills, and experiences that manifests itself in service to others. Time after time, alumni mention how important their experiences at AU were in instilling in them a devotion to service.

In summary, this inventory provides examples of significant connections among faculty, staff, students, and the wider community, many of which began as innovations and are now institutionalized at this university and others. What is needed next is an assessment plan for rigorously determining outcomes and formally incorporating findings into a planning cycle. It is clear that the breadth and depth of engagement at AU are deeply rooted in the university’s mission, values, and strategies.

As noted in the chapter on undergraduate education, in his 15-point plan President Ladner calls for a new year one and year two learning experience that has at its core intensive engagement with Washington and the world and that links the co-curricular to the curricular. A university project team is currently working on measurable outcomes of such an experience and on a model program. The intent is to have a final list of assessable outcomes along with a program design during fall 2003 with a pilot in place for fall 2004.

Taken together, the data from the NSSE survey, the internship assessment, and the task force’s engagement inventory indicate that American University is significantly above the norm in forging student-faculty-community-global connections. These connections form pathways for both knowledge transfer and active learning. These are central to a global university in a capital city in this complex new century.

American University has institutionalized in its student awards structure the centrality of engagement on campus. The President’s Award recognizes individual undergraduate students who personify the characteristics of academic excellence and devotion to service.

This award recognizes excellence in exactly the types of engagement highlighted in this chapter.

RECOMMENDATIONS

The AU community takes pride in its tradition of engagement. At the same time, new research in the field of higher education and new technologies for assessment of learning outcomes provide a special opportunity for this campus. The recommendations below allow the university to capture and analyze as well as amplify engagement at all levels of learning on this global campus:

1. Collect more systemically data related to engagement. In order to produce the inventory discussed here, the task force surveyed deans’ offices and Campus Life offices. Such a survey and other regular data collection (both qualitative and quantitative) can more regularly enrich understanding of AU engagement processes that are so central to the university’s mission.
2. Include a plan for assessing engagement initiatives and related outcomes in assessment plans and regular planning processes and incorporate such regularized findings in all decision-making and planning processes.
3. Recognize and include engagement success indicators explicitly in performance management evaluations and faculty merit processes.
4. Strengthen even more the university campus connections to the global through increased international research, study, and internship opportunities and increased, innovative concomitant language study opportunities.



CONCLUSION

CHAPTER 10 CONCLUSION

FULFILLING THE AMERICAN UNIVERSITY PARADIGM

American University is an exciting, vibrant institution. After careful review of the many facets of the university, we are struck by the changes and progress that have been made in just 10 years. The university is strong and continually improving. It has made significant progress in implementing its 1997 mission statement:

[American University's] distinctive feature, unique in higher education, is its capacity as a national and international university to turn ideas into action and action into service by emphasizing the arts and sciences, then connecting them to the issues of contemporary public affairs writ large, notably in the areas of government, communication, business, law, and international service.

In 2001 President Benjamin Ladner said that AU would implement three integrated priorities: “the quality of academic inquiry, the quality of student experience, and the quality of extensive engagement with Washington and global affairs.” These priorities are discussed below:

Quality of Academic Inquiry

Over the past 10 years both student and faculty quality have increased. The university has become more selective in its students while maintaining the diversity of the student body.

AU faculty are both excellent teachers and outstanding scholars. Like faculty from larger research institutions, AU faculty are productive scholars who are respected by their peers and who make important contributions to their field. At the same time, faculty take their teaching responsibilities seriously, giving students the level of attention and support one would expect at a small liberal arts colleges. What sets AU apart is the degree to which faculty are engaged in the application of their discipline locally, nationally, and internationally. “Ideas into action and action into service” is not just a phrase that applies to students. It is an ideal that describes the faculty as well.

Much progress has been made in improving academic classrooms and in improving access to technology for educational purposes. Nearly every faculty member has a private office, and four major classroom buildings have undergone extensive renovation. The move of the College of Arts and Sciences into its own building has resulted in increased opportunity for cooperation and collaboration between faculties of many disciplines.

The undergraduate curriculum is strong, with an extensive General Education Program at its core. The recent assessment of the General Education Program has resulted in both significant changes and recognition of the important outcomes it produces. The honors program has been successful in creating an environment where the best and the brightest undergraduates can excel.

AU's graduate programs are also strong and improving. An extensive assessment of both doctoral and master's program in the 2002–03 academic year resulted in the termination of some programs and the redirection of resources toward the remaining ones. New and innovative programs, as well as changes in existing programs, have brought AU's graduate offerings more into line with its academic mission. Many of AU's graduate programs have achieved national or international recognition and a number have been highly rated in external evaluations.

Overall, the curriculum fulfills the mission of the institution by “emphasizing the arts and sciences, then connecting them to contemporary public affairs writ large.” Students affirm their satisfaction in a number of ways, including their responses to student evaluations of teaching, the Campus Climate Survey and the graduation census. Most importantly, evidence gathered from the first stage of the institution's assessment of learning outcomes finds that programs have missions consistent with the institution and that these missions are being met. Most impressive is the university-wide dedication to continuous improvement of the academic experience.

Quality of the Student Experience

In the nearly 10 years since the last self-study there has been a tremendous increase in the quality of the student experience. This is evidenced not only in the growth and quality of services but also in ineffable qualities, such as the sense of pride and belonging that students feel towards the institution.

While the discussion of athletics has played a relatively small role in this self-study, the move from the Colonial Athletic Association to the Patriot League is an example of how the institution is willing to make bold moves and firm commitments to improving student experience. This has been true not only for the athletes but for the fans.

The commitment to improving services is university-wide. According to the Campus Climate Survey, the main assessment tool in this area, most student

services have shown increases in student satisfaction since the last self-study. These improvements did not come about by chance. They are the result of concerted efforts by units across campus.

Two examples illustrate this point. The university library made tremendous strides in improving its services to students and faculty. It created its own assessment committee, analyzed the Campus Climate Survey, administered the national Libqual survey, and held focus groups to better understand student needs and concerns. In response to student complaints about the registration and advising process, the university made on-line registration a top priority and included student advising as one of the 15 points in the strategic plan.

The reorganization of student services into the Office of Campus Life is another accomplishment that has important implications for improved delivery of services. Now, more than ever, the institution is poised to integrate student life with academic life. It places students at the center of the institution.

Quality of Extensive Engagement

The idea of engagement permeates all aspects of the university. Engagement is not limited to extra-curricular activities but can be found in the classroom, in the residence halls, and in faculty offices. It can be found in the courtrooms, soup kitchens, and housing projects where students volunteer. Engagement at American University ranges from faculty and student collaboration in research to the president's efforts at educational diplomacy in North Korea and elsewhere. Throughout the city, country, and world, American University has left its mark, turning "ideas into action, action into service."

Among the steps forward has been the commitment to institutionalize the importance of global engagement by establishing a position of vice president of international affairs. In the last decade, many efforts have been made throughout campus to establish programs, centers, and learning communities focused on service and international understanding. The activities have increased the opportunities and venues for engagement, substantially improving the student and faculty experience.

No better measure of the results of the institution's focus on engagement can be found than our alumni. Students who graduate from American University are academically prepared and intensely aware of the importance of using their education to engage others in the betterment of society.

RECOMMENDATIONS

While the overall health of the university is strong, the self-study has provided the institution with an opportunity to explore ways in which its mission can be more fully realized. In the years to follow, three main challenges for American University exist:

1) To make improvements to the overall student experience while at the same time preserving the many facets of the current curriculum that make American University such an excellent institution

We conclude this self-study during a period of unprecedented change and renewal. Even as the institution recognizes the incredible richness of the student experience, it continues to search for ways to improve. As such, a number of important initiatives are underway. These include the development of the University College, the exploration of changes to the institution's study abroad requirements, and the continuous improvements made to programs as a result of the assessment of learning objectives. As we move forward on these projects, conflicts in goals may arise. The challenge is to fit the many facets of engagement into a rigorous academic curriculum. It is important that the institution find ways to preserve the current strengths of its undergraduate education, such as the General Education Program and opportunities to intern or double major, while at the same time making adjustments in the curriculum designed to fulfill our mission. It will be important for the institution to continue to develop assessment indicators that enable it to carefully monitor our progress.

2) To lessen our dependence on tuition and generate new sources of revenue

There is no question that the financial health of the institution is stronger than ever. However, as mentioned in previous self-studies, the institution's dependence on tuition makes fulfilling its goals difficult. Tensions exist between making the institution smaller and more selective while at the same time reducing teaching loads, improving faculty salaries, providing funding for graduate stipends, and improving student service facilities.

The University Library may be a good example of how this tension plays out. In the past 10 years much progress has been made in improving library services and increasing the library collection. The University Library has done an excellent job of strategic planning. As a result, it has successfully targeted select areas of its collection for improvement so as to make the most of the limited funds available. Despite its many successes, the library still lacks the funding necessary to build its collection to the recommended size. In order to enhance the quality of academic inquiry and to meet the needs of the university community, the library must have additional funding.

With limited sources of revenue, the library, like so many others on campus, finds that fulfilling its mission is difficult. The lack of adequate funds outside of tuition continues to have implications for the university and further efforts need to be made to decrease the institution's tuition dependence. While the primary responsibility for fund raising rests with the president,

the Board of Trustees, and the Office of Development, it is the responsibility of everyone at the university to look for innovative ways to increase the revenue stream. This should include new revenue centers (as mentioned in point 14 of the 15-point plan) and the increased generation of indirect cost recovery from grants and contracts.

3) To improve the channels of communication and provide even more opportunities for input into the decision-making and planning processes of the institution

American University is fortunate to have an experienced, committed team of individuals leading the institution. It is this team's vision and sense of purpose, along with the commitment of countless faculty and staff, that have enabled American University to make so much progress in the past 10 years. There is a sense that current planning mechanisms and governance structures have improved operating efficiency and

have enabled faculty to focus their energies on the thing most important—academic excellence.

At the same time, the current planning model makes communication difficult. The process relies on communicating priorities down through the institution from the top. For those who do not hear the annual goals directly, there is sometimes confusion about the reasoning behind decisions and the thought processes used to set priorities. Some feel disconnected from decisions and believe that priorities are imposed without much consultation.

The university should make every effort to improve communication so that the reasoning behind decisions is better understood. It should, whenever possible, improve opportunities for those interested in getting more involved in the decision-making process. An annual address to the university on the status of strategic planning, along with opportunities for discussion and comment, would be helpful.



AMERICAN UNIVERSITY
WASHINGTON, DC

4400 Massachusetts Avenue, NW
Washington, DC 20016

An equal opportunity, affirmative action university.