

Monitoring Report

University of Puerto Rico at Utuado

Submitted to the Middle States
Commission on Higher Education

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to the Middle States Commission on Higher Education



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Submitted by

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Introduction

Overview of UPR-Utuado

The University of Puerto Rico at Utuado (UPR-Utuado) was created by Joint Resolution #9 of the Legislative Assembly of the Commonwealth of Puerto Rico on December 1, 1978, by [Certification #78-79-86](#) and [Certification #86 \(1978-79\)](#) of the Council of Higher Education. The initial authorized academic offerings were identified in [Certification #25 \(1979-80\) of the Council of Higher Education](#), consisting of associate degree programs in agricultural technology, professional fields (education and business), the arts, and sciences. The College began operations in August 1979 with an enrollment of 195 students. In 1999, through [Certification #077 \(1998-99\) of the Board of Trustees](#) autonomy was granted to the College as one of eleven University of Puerto Rico (UPR) System campuses, and created the positions of Chancellor and Deans, as well as the deliberative bodies of the Administrative Board and the Academic Senate. In the year 2000, the College acquired its present official name (see [Organizational Chart of UPR-Utuado 2010-11](#)).

Three decades after its foundation, the UPR-Utuado has an academic offering of 22 programs leading to degrees at the associate and bachelor's level, a 111-member faculty, a student enrollment of 1,528, modern and physical facilities, relevant research and teaching projects, and a consolidated budget of close to \$14,226,336.00. (see [Certification #135 \(2009-2010\) of the Board of Trustees](#)). Initially, the institution's physical facilities were located in a small 1.5 acre lot belonging to the Municipality of Utuado. In 1982, a 118 acre farm was purchased in the Utuado neighborhood (barrio) known as Salto Arriba, on Highway #123, Kilometer 52.7, and has been the campus location since 1992.

The University of Puerto Rico at Utuado has a unique academic profile trained to serve transfer, associate, and bachelor's degree programs (see [UPR-Utuado's Academic Catalog](#)). Moreover, the academic mission, (see [UPR-Utuado's Values, Vision, and Mission](#)) with a predominant emphasis in agricultural programs, reflects the enrollment growth in the fields of education and business administration as well as emerging initiatives towards offerings in the life sciences. The campus milieu (118 adjoining acres, the largest contiguous extension of all eleven system campuses, and singular location valued for its Taíno Indian heritage) presents an optional and distinctive environment appropriate for the study of the liberal arts within an agricultural setting. The dramatic

growth in the academic and physical realms has consolidated, in the central region of the Island, an intellectual community with academic credentials in a variety of disciplines. **Table 1** presents various components of the UPR-Utuado faculty profile: 1) a gradual but definitive increase in the number of faculty with doctoral degrees or their equivalent (41%), 2) tenured/tenured track (69%), and 3) working full time (75%).

Table 1
UPR-Utuado's Faculty Profile
(2007-08 to 2009-10)

Faculty Profile	Academic Years							
	2007-08		2008-09		2009-10		2010-11	
	No.	%	No.	%	No.	%	No.	%
Academic Preparation								
Doctorate	30	26%	43	33%	41	34%	43	39%
Master's	81	70%	83	64%	77	64%	65	59%
Juris Doctor	4	3%	4	3%	3	2%	2	2%
Bachelor's	0	0%	0	0%	0	0%	1	1%
Academic Rank								
Professor	21	18%	21	16%	20	17%	18	16%
Associate Professor	20	17%	24	18%	22	18%	21	19%
Assistant Professor	27	23%	37	28%	37	31%	36	32%
Instructor	47	41%	48	37%	42	35%	36	32%
Contract Type								
Tenured	58	50%	59	45%	57	47%	57	51%
Tenure Track	7	6%	17	13%	22	18%	20	18%
Service Contract	50	43%	54	42%	42	35%	34	31%
Classification								
Full time	88	77%	89	68%	87	72%	83	75%
Part Time	27	23%	41	32%	34	28%	28	25%
Total Faculty Members	115		130		121		111	

Source: Office of Planning and Institutional Research

The UPR-Utuado faculty is committed and focused on the academic development of first generation college students, particularly those with limited economical and educational resources. They have also become actively involved in: 1) research projects related to sustainable agricultural and environmental practices, 2) recognized projects of literary and artistic creation; and 3) leadership positions in the UPR System and its Board of Trustees, professional evaluating committees and organizations, as well as in community outreach.

Throughout the years, surpassing the complexities of the island’s current economy and its effects on higher education, a stable evolution has occurred in UPR-Utuado’s student enrollment and conferred degrees. **Figures 1 and 2** present the facts of enrollment growth and degrees conferred from 2007-08 to 2009-10. The first to second year retention rates for the last five years average 64%. The three-year graduation rate has increased gradually during the previous five years and reached 27.6% with the cohort 2003.

Figure 1
Enrollment of UPR-Utuado
First and Second Semester
Academic Years 2007-08 to 2010-11

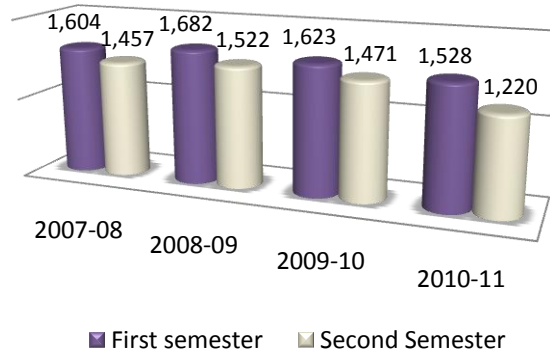
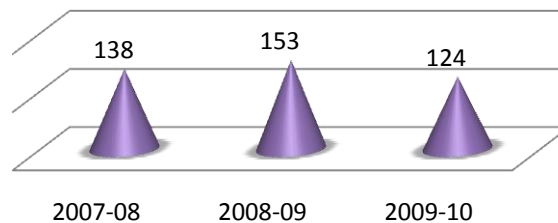


Figure 2
Degrees Conferred by the UPR Utuado
Between 2007-08 to 2009-10



This development is mainly attained with systemic and institutional planning and the increase of spaces and institutional resources. Assessment efforts, with roots in institutional priorities dating from the decade of the 1980’s, has kept a vigorous presence in UPR-Utuado’s institutional life. Both a Strategic Planning Committee (since 1983) and an Assessment Committee (since 1996) have been working together for the growth and excellence of this institution. The Institution’s [Progress letter to MSCHE on](#)

[implementation of planning and assessment at UPR-Utuado](#), November 2008, offers updated information on these fundamental issues. New opportunities arise and are planned for institutional development and strengthening (see [UPR-Utuado's Strategic Plan 2006-11](#)). Several specific plans, in the context of the strategic plan, seek to address these issues. The budget distribution for 2010-11 will be optimized to fund the progressive implementation of these plans.

Commission's Requirements to be Addressed on this Report

The following document is submitted as a request by the Commission on Higher Education of the Middle States Association of Colleges and Schools (MSCHE) on November 19, 2011 (see [MSCHE letter sent to UPR-Utuado/Status of Accreditation](#)). This second monitoring report completed by the University of Puerto Rico at Utuado is an introspection that details the manner in which the UPR-Utuado complies with the Characteristics of Excellence established by MSCHE and continues to preserve its system of governance, resources, and academic-administrative obligations with its student body and community. This report was compiled (see [letter from MSCHE Vice President requesting monitoring report](#)) using official UPR System and UPR-Utuado documents and guidelines established in [institutional meetings](#) that evidence the decision-making and procedures. In addition, the [University of Puerto Rico Action Plan for Ongoing and Sustained Compliance with the Leadership and Governance, Educational Offerings, and Institutional Resources](#) outlines the current and projected measures towards evidencing compliance with standards at the system and each unit level.

The Planning and Institutional Research Office (PIRO), served as the backbone of the document, giving the report consistency and form. This report delineates the progress of the areas under MSA examination:

- ◆ Standard #4 Leadership and Governance
- ◆ Standard #3 Institutional Resources
- ◆ Conclusion
- ◆ Appendixes

Although *Standard 11, Educational Offerings*, was removed from probation on [November 19, 2010](#), the UPR-Utuado believes it is in compliance with MSCHE standards, and continues to implement strategies developed during the previous student crisis updated for academic compliance purposes.

UPR-Utuado's Plan of Action

Standard 4: Leadership and Governance

Summary, Discussion and Analysis of Actions of UPR-Utuado-Past, Current, and Future

This section documents evidence of the existence and implementation of clear institutional policies specifying the respective authority of the different governance bodies and their respective roles and responsibilities in shared governance. It also reports on the actions taken by the UPR-Utuado to evidence its compliance with institutional policies after the UPR System-Student Conflict. All new UPR System's policies and norms for leadership and governance considered after the conflict were integrated at the UPR-Utuado. Moreover, the institutional authorities at the UPR-Utuado have implemented forms and mechanisms that invigorate the pro-institutional response for mediation/communication with the constituents.

Overview

As stated by the MSCHE Characteristics of Excellence in Higher Education Manual (*CEHEM*) established by the Middle States Commission of Higher Education: "a climate of shared collegial governance in which all constituencies... involved in carrying out the institution's mission and goals participate in the governance function appropriate to that institution" (*CEHEM*, p. 12) is expected. *Thus, as the Commission Requirement No. 5 requests, it is important to state that each systemic and institutional constituent has met the stated governing body objectives and responsibilities.* The actual [University Law \(1966\) amended in 1993](#), clearly delineates the institution's governing structure, including the composition, duties, and responsibilities of each university constituent in the development of policies and in the decision-making process. Moreover, all of the autonomous units within the University of Puerto Rico System have deliberative bodies essential for college governance (see [Administrative Organization and Governance of the University of Puerto Rico System](#)).

The internal management of each institutional unit is governed by applicable dispositions of law, UPR General By-Laws, and general application complimentary by-laws, as well as by resolutions adopted by the Board of Trustees, by the guidelines established by the University President, and by the rules and regulations adopted by each institutional governing body (<http://sindiccos.upr.edu/>)

Among the systemic constituents, the Board of Trustees is responsible for the direction, quality, and integrity of the institution, the approval and update of its development plan and the oversight of its implementation and progress through [Certifications No. 136 and 138](#) (2003-04), respectively. During the past years, the Board has set out to establish an institutional effectiveness and programmatic evaluation culture mandating the systematic internal assessment as well as external assessment through professional accreditation of all academic programs and services. Of all academic offerings in UPR, 57% are susceptible to professional accreditation; approximately 63% are already accredited. Thanks to this systemic/institutional endeavor, UPR is the only higher education institution in the island where all teacher preparation programs are accredited by the National Council for the Accreditation of Teacher Education (NCATE). In addition, the vigorous accreditation project incited by these policies and led by the Vice Presidency for Academic Affairs across administrations since 2003.

At the institutional level, during the past five years, the UPR-Utuado Academic Senate and other academic-accreditation committees have labored incessantly to fulfill its goal of offering academic programs of excellence. Its work has been rewarded with receiving full accreditation of its bachelor's degrees programs in Education—NCATE, Office System, and Business Administration—ACBSP (see [Accreditation Letters](#)).

To further develop the culture of evaluation in July 2009, the Board of Trustees issued [Certification No. 3—2009-2010](#), which defines a set of 30 indicators to evaluate the effectiveness of the [UPR Planning Agenda, Ten for the Decade](#). In other words, both UPR System and the UPR-Utuado have worked together to accomplish these accreditation/assessment goals.

Among the roles and responsibilities of the Vice Presidency for Academic Affairs is to advise the Board of Trustees, the President, Chancellors, and Deans of Academic Affairs on policy matters related to academic affairs, including compliance with accreditation requirements regarding leadership and governance, to promote the effectiveness of their roles, responsibilities, and best practices (UPR Action Plan I.C.7). With the current challenges, the Vice Presidency has actively promoted the awareness of the Board, especially its new members, on institutional accreditation expectations, their primary role in governance, as evidenced by calls for meetings, agendas, and minutes of meetings where these matters have been discussed. At the same time, Vice Presidency for Academic Affairs has continuously met with representatives of all its campuses (UPR Task Force) to acquire input for the UPR Action Plan and its institutional implementation (UPR Action Plan Unit Level I.A.1), to support the campuses in their accreditation visits and support the units in fulfilling the necessary guidelines established by MSCHE for the UPR monitoring reports ([Available during MSCHE Visit](#)).

Moreover, with the creation of the Leadership and Governance Committee (see [7 Committees of 7](#)), the team will be in charge of revising and rethinking institutional leadership and governance structures, roles, and responsibilities, based on an analysis of the law and regulations in alignment with applicable standards, as well as the best current practices in higher education, and making recommendations to promote their effective participation in carrying out the institution's mission and goals (UPR Action Plan I.C.6).

It is understood that the self assessment taking place between representatives of systemic/institutional levels and the Ad Hoc Committee on Leadership and Governance external evaluation processes will assist the Board of Trustees in strengthening its effectiveness in the exercise of their roles and responsibilities towards advancing the UPR institution's mission, goals, planning, and priorities. Furthermore, it will clarify at all levels their specific authority, roles, and responsibilities in shared governance in alignment with applicable laws and regulations.

Foster and Enhanced Institutional Climate and Identity

The UPR-Utuado understands that "the primary goal of governance is to enable an educational entity to realize fully its stated mission and goals to achieve these in the most effective and efficient manner that benefits the institution and its students" (CEHEM, p. 12); hence, as informed in the [UPR-Utuado's September 2010 Monitoring Report](#), *The UPR-Utuado has worked to strengthen its governance's continuity and stability of institutional leadership, particularly in times of governmental transition (Commission Requirement No. 6)*. Events during the past academic semester were thoroughly attended by institutional governance officials with the assistance of the systemic governance. The strategies developed were clear, timely and accurate to keep community informed on all events while fostering and enhancing an institutional climate and identity.

Actions

The shared governance between UPR and the UPR-Utuado allowed them to “carry out its separate but complementary roles and responsibilities (*CEHEM*, p.12) in the following way:

■ *Two-Day Student Manifestation: December 1-2, 2011*

1. Throughout the whole academic year, the UPR-Utuado Student Council has the opportunity to address and vote electronically on issues that affect the student body (UPR Action Plan Unit Level I.A.3).
2. Nonetheless, the early monitoring of UPR-Utuado campus community actions established during the past student strike (April 2010) has also been continued to assure academic and administrative continuity. Acting Chancellor and Deans have continued to keep open communication with the UPR-Utuado Student Council and labor unions. As stated by *CEHEM* Manual: “opportunities have been offered for students [and employees’] input regarding decisions that affect them ...” (p.15). Mediation meetings have been held with the [UPR-Student Council](#) and [Labor Unions](#) to prevent stoppages that could affect both academic and administrative procedures required for mission fulfillment and accreditation compliance. Nonetheless, during acts of student disruption (Dec 1-2), the [UPR-Utuado officials](#) met constantly during both days with the students involved to discuss the graveness of their actions (UPR Action Plan Unit Level I.A.2 and 1.B.1).
3. At the systemic level, the UPR-Utuado remained continuously on-line and in telephone communications for governance support, legal guidance, and campus protection in order to help the executive officers to “resist pressures from individuals or groups outside the established governing structures of the institution...” (*CEHEM*, p. 14). An institutional report was promptly sent to inform both systemic and accreditation agency authorities on the UPR-Utuado status. Meetings with UPR President were also held with the unit chancellors to inform on the UPR unit stoppage events and share the decision-making process (UPR Action Plan Unit Level I.A.1), (**Available during MSCHE Visit**).
4. At the administrative level, institutional meetings with administrative staff were promptly held to keep personnel updated with the events (**Available during MSCHE Visit**). Moreover, to maintain the campus and external community informed, a [UPR-Utuado Press Release concerning Open University and student disruption](#) was sent electronically (UPR Action Plan Unit Level I.A.1).

■ *Resignation of Chancellor Iris Mercado Ocasio (February 1, 2011)*

On February 1, 2011, Dr. Iris Mercado Ocasio, submitted her resignation to the chancellor position at UPR-Utuado due to health conditions. Understanding that the governing body is called to objectively “assess the effectiveness of institutional leadership and governance” (CEHEM, p. 16); Professor Eladio González, Academic Affairs Dean during this period, was appointed as new acting Chancellor at the UPR-Utuado (see [appointment of the Academic Affairs Dean, Professor Eladio González.](#)). The decision taken allowed for a responsible and appropriate “transition in institutional leadership” (CEHEM, p.14). In addition, it gave continuum to both academic and administrative processes at the UPR-Utuado.

Constituents were promptly notified on the systemic decision-making of the chancellor’s transition with a [Press release informing on Dr. Iris Mercado Ocasio’s resignation.](#) [Acting Chancellor González’s e-mail](#) also informed the campus community on his new position. Furthermore, he met with the UPR-Utuado’s [faculty](#) and [administrative personnel](#) announcing Dr. Iris Mercado Ocasio’s resignation and current Acting Chancellor’s González agenda (UPR Action Plan Unit Level I.A.1). For more information on evidence on how UPR assures the continuity and stability of institutional leadership, see [UPR’s Assessment Report.](#)

In general, the actions previously mentioned evidence that communication between the Central Administration and within the institution, is clear, timely, and accurate, and that the sources of such communications are clearly defined and made available to all constituents (Commissions’ Requirement No. 9). Additionally, the governing body has fostered and enhanced the UPR-Utuado’s institutional climates and identity by establishing “a careful balance of interests of the units with those of the total system ... “by seeking that the institution clearly states and fulfills its announced mission and goals ... by helping resist pressures” (CEHEM, p.14) from those who search to hinder the fulfillment of the UPR-Utuado’s mission and goals.

Cultivate an Open University Culture

Throughout the first academic semester of 2010-11, despite the student stoppage event of December 1, 2010, the UPR-Utuado has been able to strengthen its [Open University Culture](#). From the chancellor to the rest of the constituents, all have worked to encourage continuity of education, research, and fulfillment of the mission. *The following steps have been taken to improve shared governance, especially in documenting how campus input is solicited and considered in decision making at the system level (Commission's Requirement No. 8).* In each academic year, the acting chancellor has the responsibility of keeping the internal/external community informed on institutional issues through meetings, e-mails, and letters (**Available during MSCHE Visit**). Furthermore, Utuado's radio station, 1530 WUPR-AM, has continuously been used as a mechanism to inform the campus and external community on UPR System-Student conflict and other institutional issues. The [UPR-Utuado press representative](#) visited the *Horizons News* program every Friday to maintain the campus/external community informed on the following matters (UPR Action Plan Unit Level I.A.1 and 1.B.1):

1. *October 1, 2010*—Inform the campus/external community about the MSCHE visit and UPR probation status.
2. *October 8, 2010*—Discussion topic: "The Net Generation, Educational Challenges Part I."
3. *October 15, 2010*—Discussion topic: "Net Generation, Learning Styles Part II."
4. *October 22, 2010*—Discussion topic: "Net Generation, Training for Educators Part III"
5. *October 29, 2010*—Inform the campus/external community on Admissions, Financial Assistance and the UPR-Utuado Strike
6. *November 5, 2010*—Discussion topic: "Video Games and Children Part I"
7. *November 12, 2010*—Discussion topic: "Video Games and Children Part I"
8. *November 19, 2010*—Discussion topic: "Csikszentmihalyi and The flow theory applied to education." (Guest Speaker, Dr. Yolanda Molina)
9. *December 3, 2011*—Discussion topic: Talk with students in preparation for the second semester at UPR-Utuado and the fee imposed by the university.
10. *December 10, 2010*—Discussion topic: "Smart Christmas Gifts for Students and Educators"
11. *January 14, 2011*—Discussion topic: "Archeology at the UPR-Utuado". Presentation of the recent published book, by Dr. Reniel Rodríguez, faculty member of the UPR-Utuado.
12. *January 21, 2011*—Discussion topic: "Electronic Books, Tablets and Amazon Kindle"

13. *January 28, 2011*—Discussion topic: “Revisiting Multiple Intelligences and the Net Generation. Com. ” Comment on the health of the Chancellor Dr. Iris Mercado and the arrival of Professor Eladio González as new Acting Chancellor.
14. *February 4, 2011*—Discussion topic: “Web 2.0, Anthony Carr’s Book: What is the Internet Doing to our Brains.”
15. *February 11, 2011*—Discussion topic: “Natural Resources, the Proposed Gas Pipeline of Death and the University.” (Guest Speaker, Professor José González).

The UPR System also has similar communication strategies (see UPR’s Assessment Report. The current acting chancellor, Professor Eladio González, and his deans directly began to meet with the constituents (*e.g.* advisory board, faculty, non-teaching personnel, students, etc.) in order to “define roles and responsibilities . . . and [share] a thorough understanding of the institutional mission, goals, and objectives” (CEHEM, p. 18). Even in times of distress, the Chancellor and Deans have met with the Student Council members to create awareness and establish the desirable conduct expected within the University environment. Dialogue and openness have allowed for [The UPR-Utuado Student Council issues](#) to [have been steadily attended](#).

Professor Eladio González, as new chief executive, has kept with the assistance of the institutional deanships, the campus timely working according to systemic, academic, and administrative procedures required for this academic semester. Furthermore, the acting chancellor and deans’ attendance to systemic meetings have guided the UPR-Utuado in accomplishing the UPR Action Plan Measures concerning the [Open University standards](#) and the UPR Architectural Plan (UPR Action Plan Unit Level 1.B.1, 2 and 3). Measures such as the strengthening of campus security, the identification of both student/campus personnel, and the implementation of the student electronic vote have been already notified to all campus bodies and institutionally accomplished. Moreover, discussions (meetings and open forums) on the importance of security and continuity in all university endeavors, the Open University Culture and Student Code of Conduct, and other matters pertinent to the UPR System and its campuses have also been addressed (**Available during MSCHE Visit**). Overall, both personnel and student body have been appropriately informed, and committed to achieve the UPR Action Plan timeline.

When examining the deanships, all have thoroughly worked with the Chancellor during the academic semester to ensure the fulfillment of administrative and academic processes vital for the campus’ welfare and Open University Culture. Among the Administrative Affairs Deanship (ADAD) tasks were: 1) coordinate security measures with the campus security, local police, and the UPR President’s Office; 2) maintain the rest of the administrative personnel informed on the students’ events and the dialogue

process (**Evidence available during MSCHE Visit**). The Student Affairs' Deanship (STAD) accomplished all institutional demands required during the full academic period. In addition, the Student's Ombudsperson, Professor Ana Arce, assisted Chancellor Mercado in 1) [prevention/mediation processes](#) and 2) met with the President of the UPR-Utuado Student Council, according to the [Board of Trustees' Certification #32, 2005-2006](#). The mediation processes allowed for the following students' needs to [be attended](#): 1) strengthen Building C maintenance, 2) extended Learning Resources Center hours during final exam period, 3) promptly attend student complaints on security issues, 4) improve Student Center facilities and cafeteria services, and 5) expand the access to the Student Council Office to identified members up to 11:00 p.m. The Academic Affairs' Deanship's (ACAD) main objective of delivering instruction within the classroom setting was fulfilled throughout the first 2010-11 semester. The faculty's responsibilities (e.g. research, publication, and committee and student practicum, among others) were also fulfilled during this period. The [Continuing Education Program](#), office under ACAD, also performed various activities to fulfill its institutional commitment. Federal funded programs at UPR-Utuado, [Talent Search](#), also complied with its required services. Additionally, to guarantee the institution's openness during conflict periods, Open University guidelines offered by the UPR President and previously stated procedures during the Student Strike of April-June 2010 were sustained at the UPR-Utuado (**Evidence available during MSCHE Visit**).

In general, the chief executive with the assistance of institutional officials has fulfilled both MSCHE Characteristics of Excellence 4 and 5 (Leadership and Governance/ Administration) by timely "reporting to the governing body [and the constituents] ... [the] institutional vision and leadership" to promote an Open University Culture (CEHEM, p. 19).

Revisit and Empower Leadership and Governance at all Levels

The UPR-Utuado has implemented clear institutional policies specifying the respective authority of the different governance bodies and their respective roles and responsibilities in shared governance (Commissions' Requirement No. 3). Members of all institutional governing bodies and committees are periodically advised on their roles in institutional leadership and their duties of approving institutional mission, vision, goals, and strategic plans (see Academic Senate [Certification 2009-10-31](#) and [Certification 2009-10-32](#)). Largely, orientations and guidance are offered to all new members concerning their committee duties and institutional goals to be fulfilled within a specific committee. The [UPR-Utuado's 2005-2010 Self-Study Report](#) also offers an ample description on how the constituents of the UPR-Utuado develop their leadership and participate in the UPR governance process.

Among the many institutional committees, the UPR-Utuado's Institutional Planning Committee is the one who directly works in the revision of institutional mission, vision, goals, and strategic plans. Since February 2010, the UPR-Utuado's 2006-2011 Strategic Plan revision process is underway. Moreover, the 2011-2016 UPR-Utuado's Strategic Plan will be ready to be implemented by August 2011, after its revision and discussion with the representatives of all community constituents.

As stated in the UPR-Utuado Monitoring Report (September 2010), the revision of systemic and institutional policy structures has begun. Continuous meetings are taking place at the UPR President's Office and at [UPR-Utuado](#) where vital issues pertaining to the governance and leadership structures at UPR and units are being addressed. Among the topics being discussed are: the MSCHE probation status and its effects, the formation of system-wide committees ([7 Committees of 7](#)) that will attend the UPR Action Plan measures; the new [Student Regulations Manual of the University of Puerto Rico, revised January 2011](#)), and the implementation of the Student Code of Conduct; and security measures being processed throughout each campus. (e.g. [building access](#), [identification card](#), [electronic vote](#), etc.). As stated previously, systemic/institutional amendments are being informed to the campus community via meetings and printed/electronic mail as soon as these are officially notified by the UPR authorities ([available during MSCHE visit](#)). For more information on the UPR Revisit/Empower Leadership/Governance and Open University, see [UPR's Assessment Report](#).

The empowerment of leadership and governance at all levels can only be obtained when the governance body and its structures involve "the public and constituencies it serves ... [while demonstrating] adherence to ethical standards and its own stated policies, providing support for academic and intellectual freedom (CEHEM, p. 12). In times of global crisis, the UPR-Utuado has strived to accomplish the requirements concerning its leadership, governance, administration, and integrity (Characteristics of Excellence in Higher Education Standards 4, 5, and 6). Its ability to lead with the keen guidance of its governing body, the participation of its constituents, and prudent decision-making has given the institution the empowerment needed for such uncertain times.

Standard 11: Educational Offerings

Summary, Discussion, and Analysis of Actions of UPR-Utuado—Past, Current, and Future

This section documents evidence of actions taken by UPR-Utuado to continue its compliance to assure the length, rigor, and continuity of all academic offerings after the UPR System-Student Conflict (April-June 2010). *All new UPR System's policies and norms for educational offerings (UPR Action Plan) have progressively been integrated at UPR-Utuado, and the assessment data obtained is used for continuous strengthening of the institution's processes (Commission's Requirement No. 6).*

Guarantee Sustained Length, Rigor, and Continuity of Academic Offerings

As an action requested within the UPR Action Plan (UPR Action Plan Unit Level II.A.1), all institutions must continue to monitor the interruptions and other disruption affecting student learning. Thus, the following is informed:

The past academic semester (August-December 2010-11) began as scheduled on August 23, 2010 with a population of 1,528 students. Only three events caused the Academic Calendar to be amended (see [UPR-Utuado Final Academic Calendar for First Semester 2010-2011](#)) which was officially informed to the US Department of Education ([available during MSCHE visit](#)) for academic contact hour compliance.

The UPR-Utuado acknowledges that academic rigor is the constant search for excellence, and it requires a total commitment from administrators, faculty, and student body. Hence, among the various reports requested during the UPR Student Strike (April-June 2010), both Class Commencement/Concluding Semester Follow-up Reports were also submitted and examined during this semester to preserve the institution's academic rigor and continuity ([Available during MSCHE Visit](#)).

Along with the reports submitted, a study on partial/total withdrawals was performed to examine the student retention during the 2007-08 to 2010-11 academic years. Findings in **Table 2** show: **Partial withdrawals** during the first to second semester decreased from the academic years of 2007-08 to 2008-08 (2007-08: 911 to 731; 2008-09: 819 to 775). Nevertheless, the numbers increased during the first to second semester of 2009-10 (737 to 876); but was reduced again when examining the first semester of 2010-11 (576). **Total of final grades conferred** remained more or less the

same during the 2007-08 to the 2009-10 academic years. A total of 6,583 final grades were conferred in the first semester of 2010-11; pending data on second semester is need for analysis. **Total withdrawals** remained continuous during the first and second semester of 2007-08, but somewhat decreased from the first to second semester in 2008-09. Interestingly, the lowest number of total withdrawals is found during the first semester of 2010-11. When comparing partial/total withdrawals during 2007-08 to 2009-10 academic semesters, the strike event did affect the total number of partial/total withdrawals. Data on the 2010-11 second semester could begin to reveal strengthening.

Table 2
Comparison on UPR-Utuado's 2007-08 to 2010-11 Partial/Total Withdrawals

Partial/Total Withdrawals	2007-2008		2008-09		2009-10		2010-11
	First Semester	Second Semester	First Semester	Second Semester	First Semester	Second Semester	First Semester
Partial Withdrawals	911	731	819	775	737	876	576
Total of Final Grades Conferred	7,358	6,413	7,695	6,477	7,144	6,135	6,583
Percent of Partial Withdrawals/ Final Grades Conferred	12%	11%	11%	12%	10%	14%	9%
Total Withdrawals	44	48	75	55	63	103	32
Semester Enrollment	1,604	1,452	1,682	1,522	1,623	1,471	1,528
Percent of Total Withdrawals/ Semester Enrollment	3%	3%	4%	4%	4%	7%	2%

Source: Office of Planning and Institutional Research

When making a grade comparison analysis for the *first semester* of academic years 2007-08 and 2010-11, the following can be stated: passing grades (D or more) have a 77% average in the academic semesters being examined. A and B grades were higher during the second semesters of all available academic years. Failing Grades (F) had a 12% average.

Table 3
Grade Comparison 2007-08 to 2009-10

Grade	Academic Year 2007-08		Academic Year 2008-09		Academic Year 2009-10		Academic Year 2010-11
	First Semester	Second Semester	First Semester	Second Semester	First Semester	Second Semester	First Semester
A	26%	27%	23%	26%	23%	25%	23%
B	22%	24%	22%	23%	22%	25%	24%
C	23%	21%	23%	21%	22%	17%	22%
D	7%	7%	9%	7%	9%	6%	8%
F	9%	10%	12%	11%	14%	13%	13%
Incompletes*	*	*	*	*	*	*	*

*Data on incompletes of previous academic years could not be determined since the system eliminates the "I" when the official grade is confirmed.

Source: Office of Planning and Institutional Research

The Concluding Semester Follow-up Report included: 1) student's assistance to final exams, 2) final exams' copies, 3) final grades per course, and a 4) faculty contact hours fulfillment form. The Registrar's Office Director also submitted evidence on the [Final Test Schedule to ACAD \(Available during MSCHE Visit\)](#).

On the other hand, the Learning Resource Center's electronic portal was available to the campus community (students, faculty, and researchers) throughout the whole academic semester. The community had [constant access to databases](#), e-books, catalogues on-line, on-line reserve and didactic materials, among others (see [Certification of Library Resource Center during the UPR-Utuado Two-Day Student Manifestation](#)).

As previously mentioned in the UPR-Utuado Monitoring Report (September 2010), the Student Affairs' Deanship (STAD) assisted by other deanship employees worked to guarantee the recruitment of the new student body for the 2010-11 academic year. Their effort assured 478 freshmen for the new academic year. At the end of the 2010-11 academic semester, 417 of these freshmen students (87%) enrolled to study their second semester at the UPR-Utuado.

The Orientation Office, following its retention procedures (see [UPR-Utuado Retention Procedures](#)), have stated that all students requesting a total withdrawal must be interviewed by a counselor to determine the reason of the student's departure. The office has continued to measure the number/reasons for total withdrawal after the conflict period. A new report has been included for this semester (see [Reasons for Total Withdrawals First Semester 2010-11](#)). **Table 4** demonstrates that during the 2010-11 first academic semester, twenty students stated personal problems as their reason for total withdrawal. No clear explanation was given by these students. A total of eighteen students informed problems with their motivation to study, job schedules, personal budget (*e.g.* transportation and boarding). However, only one student clearly declared not being able to pay the \$800.00 increase for this semester. Students indicating their desire to transfer to a private institution (3) explained that it was to pursue a technical/shorter career. When comparing these numbers to the previous semester, only personal, job, and transportation problems increased in number. The evidence points toward the island's economical crisis as the main factor hindering family dynamics, job stability, and eventually, student retention.

Table 4
Reasons for Total Withdrawals
After UPR System-Student Conflict

Reasons to Withdraw	(June –July 2010 Period) Total Withdrawals 83*	First Academic Semester 2010-2011 Total Withdrawals 32*
Car accident	1	-
Change of career	-	1
Difficulties in adapting to college life; far from home	2	2
Economical difficulties	6	2
Family health problem	2	-
Health problems	3	2
Moving to distant area	1	-
Moving to USA	4	1
Personal Problems	17	20
Poor academic performance	9	5
Poor course attendance	2	4
Problems at the job	6	7
Problems with transportation	5	7
Pregnancy	1	1
Transfer to Private Institution	10	3
Student Crisis	12	-
Cannot pay the \$800.00 tuition increase	-	1
No reply	2	

* Students have the opportunity of giving more than one answer.

Source: Orientation Office

As an additional action requested within the UPR Action Plan (UPR Action Plan Unit Level II.A.2), all institutions must establish a contingency plan, policy, and guidelines to ensure the effective accomplishments of student learning goals. The UPR-Utuado has established the following strategies to guarantee the appropriate length, rigor, and coherence in unexpected events:

1. *Class Commencement/Concluding Semester Follow-up Reports* were instituted as official reports for all academic semesters.
2. *The Academic Affairs Deanship Plan for Academic Compliance during Unexpected Events* (draft). Deanship meetings' have been scheduled to discuss draft with academic directors and faculty.
3. *An Analysis of Educational Resources for Distance Education using Moodle Virtual Platform* (proposal written by Dr. Pedro Cartagena). Deanship meetings' have been scheduled to discuss proposal and the potential of hybrid courses with academic directors and faculty. **(Evidence available during MSCHE Visit).**

For more information on educational offerings see [UPR-Utuado's 2005-2010 Self-Study Report](#).

Since its foundation, the UPR-Utuado institutional mission has envisioned to “provide learning experiences that provide explicit opportunities for its students to achieve student learning outcomes” (*CEHEM*, p. 40). Through time it has worked to establish efficient educational offerings with adequate learning and support sources. However, as MSCHE Manual states: “Educational courses, programs, and experiences are not static constructs” (*CEHEM*, p. 40). For this reason, when unexpected events arrive; the institution has searched for new ways to ensure the academic length, rigor, and coherence. The Academic Affairs’ Deanship has closely worked with the assistance of UPR systemic guidelines and the valuable contributions of its faculty, student body, and other deanships to develop strategies of assessment, continuity, and academic compliance in demanding times. These actions here evidenced not only provide to demonstrate the institution’s academic compliance, but also; have served as a framework for the monitoring of social, economic factors that influence the students’ academic performance.

Standard 3: Institutional Resources

Overview

This section documents evidence of compliance with Standard 3 emphasizing the measures being implemented to secure continuity and institutional effectiveness with available resources and the development of alternative funding resources. All the UPR System's policies and norms for institutional resources being considered to improve cost effectiveness in light of financial constraints have been integrated systematically at the UPR-Utuado. Alternative external funding is an on-going process at the UPR-Utuado, an update on these issues will be offered during the official MSCHE visit.

■ *Systemic Strategies*

The UPR Board of Trustees' offered [institutional guidelines](#) for implementing control measures during this financial crisis. For more information on the UPR's balanced budget and cost control measures see [UPR's Assessment Report](#) (pages 2-5).

As informed in the past monitoring report, the global recession according to Puerto Rico Planning Board figures, began impacting the Island's economy since 2006. Puerto Rico's Government Appropriations have steadily declined and currently reflects a reduction of approximately 13% in tax revenues which aggravate central government deficit. Consequently, the UPR budget confronts a proportional decline for the current and upcoming fiscal years. Through Certification No. 135—2009-10, of the Board of Trustees, the approved budget of the UPR of fiscal year 2010-11 was disclosed. The approved budget for UPR-Utuado was \$14,226,336.00, representing a \$2,093,775.00 decrease in funds as demonstrated when compared to the previous fiscal year's budget shown in **Table 5**:

Table 5
UPR-Utuado General Fund for Fiscal Years 2009-10 and 2010-11

Budget		Difference/Reduction
2009-10	2010-11	
\$16,320,111.00	\$14,226,336.00	(2,093,775.00)

Source: Budget Office UPR-Utuado

As stated in UPR's Assessment Report, to strengthen all institutions' ability to generate a balanced budget for the years 2012 to 2015, the five-year financial projections included in the past UPR-Utuado Monitoring Report (September 2010) have been revisited with updated external and internal parameters and assumptions, while simultaneously developing the 2011-12 Budget. The revised financial projections on expected revenues for the five-year period ending June 30, 2015 are based on the following assumptions: 1) the 4% yearly increase in tuition costs established in [Certification No. 60 \(2006-2007\) of the Board of Trustees](#); 2) continuing state support through the 9.6% formula; 3) a relatively stable student population (except the expected reduction in 2011-12 following the recent student conflicts); 4) no additional ARRA funds; 5) \$40 M from the implementation of the [stabilization fee of \\$800](#) per academic year, effective on year 2010-11.

Other relevant steps were implemented by the UPR Board of Trustees and by the UPR-Utuado leadership to strengthen the institution's finances and to develop alternative funding sources. These measures have helped to mitigate the impact to budget decrease:

1. No increase in faculty and non-faculty salaries.
2. Increase of student capacity within classrooms to maximize the use of campus facilities
3. Freezing of all vacant faculty and non-faculty positions.
4. Five per cent decrease in all administrative compensations.
5. Five per cent decrease in faculty compensations above regular teaching load.
6. Elimination of special stipends to all personnel
7. Elimination of payment for sick leave days exceeding 90 days.
8. Moratorium on faculty promotions.
9. Promotion of proposal writing and collaborative agreements.
10. Reinforcement of an early-repair/maintenance plan for vehicles, equipment, and facilities.
11. Reduction in all utilities' expenses through the establishment of saving policies.
12. Paper work reduction through a policy that encourages the use of electronic mechanisms and a 50% reduction of the photocopy machines.
13. Reduction in the number of part-time professors on service contracts/ administrative tasks.
14. Reduction in travels local and outside the Island.

For more information on proposed budget for the 2010-11 academic year, see [Certification #135 of the Board of Trustees](#). Additional information on the five-year Financial Projections can be seen in the [UPR's Assessment Report](#) (pages. 6-8).

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

Table 6 demonstrates current general/external budget funds and future projections at the UPR-Utuado.

General funds are allocated by the UPR Board of Trustees to the UPR-Utuado and include income from the state as stipulated by the University Law, state revenues from other specified sources, and university-generated income. Institutional external funds include other state funds, private funds, federal funds, and others.

In fiscal year 2010-11, the UPR Board of Trustees assigned to UPR-Utuado a budget of \$14,221,336, which constituted a dramatic reduction of nearly 13% in the institution's finances. An additional decrease of approximately 5% is anticipated for the next fiscal year. However, the island's economic recovery is expected to favorably impact UPR finances beginning in 2012-13.

**Table 6 (PRO-FORMA I)
General and External Funds Allocations
Academic Years 2010-11 to 2014-15**

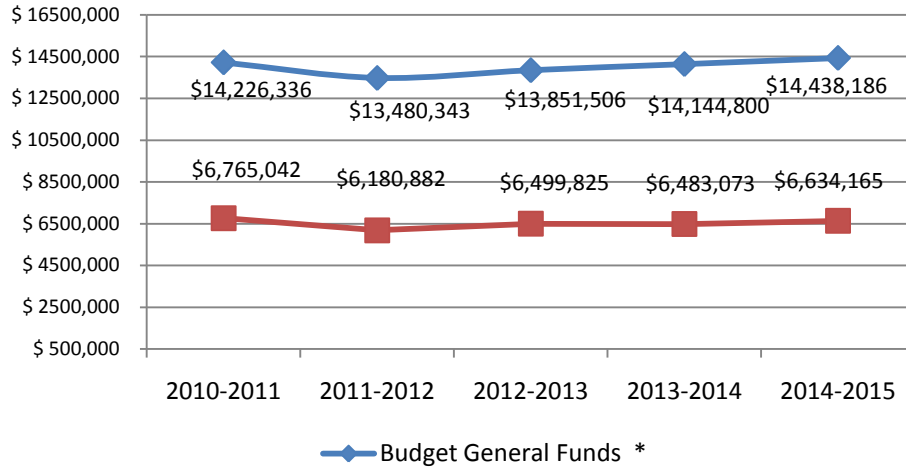
Description	Actual Budget	Budget Projections			
	2010-2011	2011-2012	2012-2013	2013-2014	2014-2015
Budget General Funds *	\$14,226,336	\$13,480,343	\$13,851,506	\$14,144,800	\$14,438,186
Budget External Funds**	\$ 6,765,042	\$ 6,180,882	\$ 6,499,825	\$ 6,483,073	\$ 6,634,165

* Actual Budget: Budget approved by the Board of Trustees for the fiscal year 2010-11 (Operating Fund 110-- Certification 135, 2009-10), Budget Projections: Follow the institutional policy established for the period.

**Include: State Funds, Private Funds, Federal Funds, and Other Funds—Approved

Source: Budget Office UPR-Utuado

Figure 3
General and External Funds Allocations



The external resources from the 2007-08 to 2010-11 and its projections (2012-13 to 2014-15) are presented in **Table 7**:

**Table 7 (PRO-FORMA TABLES II and III)
External Resources Received and Projected
Academic Years 2007-08 to 2014-15**

Sources	Funds Received			Current Funds	Projected Funds			
	2007-08	2008-09	2009-10	2010-2011	2011-2012	2012-2013	2013-2014	2014-2015
State Funds	\$ 426,510	\$ 552,442	\$ 423,451	\$ 397,053	\$ 377,202	\$ 396,062	\$ 415,865	\$ 436,658
Percent	8%	9%	6%	6%	6%	6%	6%	6%
Private Funds	7,000	7,720	10,000	42,119	44,225	46,436	48,758	51,196
Percent	0%	0%	0%	1%	1%	1%	1%	1%
Federal Funds	5,069,053	5,575,866	6,367,640	6,237,885	5,673,229	5,967,652	5,928,775	6,056,636
Percent	92%	90%	93%	92%	91%	91%	91%	91%
Other Funds	32000	42500	23800	87,985	86,226	89,675	89,675	89,675
Percent	1%	1%	0%	1%	2%	2%	2%	2%
Total	<u>\$ 5,534,563</u>	<u>\$ 6,178,528</u>	<u>\$ 6,824,891</u>	<u>\$ 6,765,042</u>	<u>\$ 6,180,882</u>	<u>\$ 6,499,825</u>	<u>\$ 6,483,073</u>	<u>\$ 6,634,165</u>

State Funds: Includes legislative grants provided by the Commonwealth of Puerto Rico, as well as other student financial assistance.

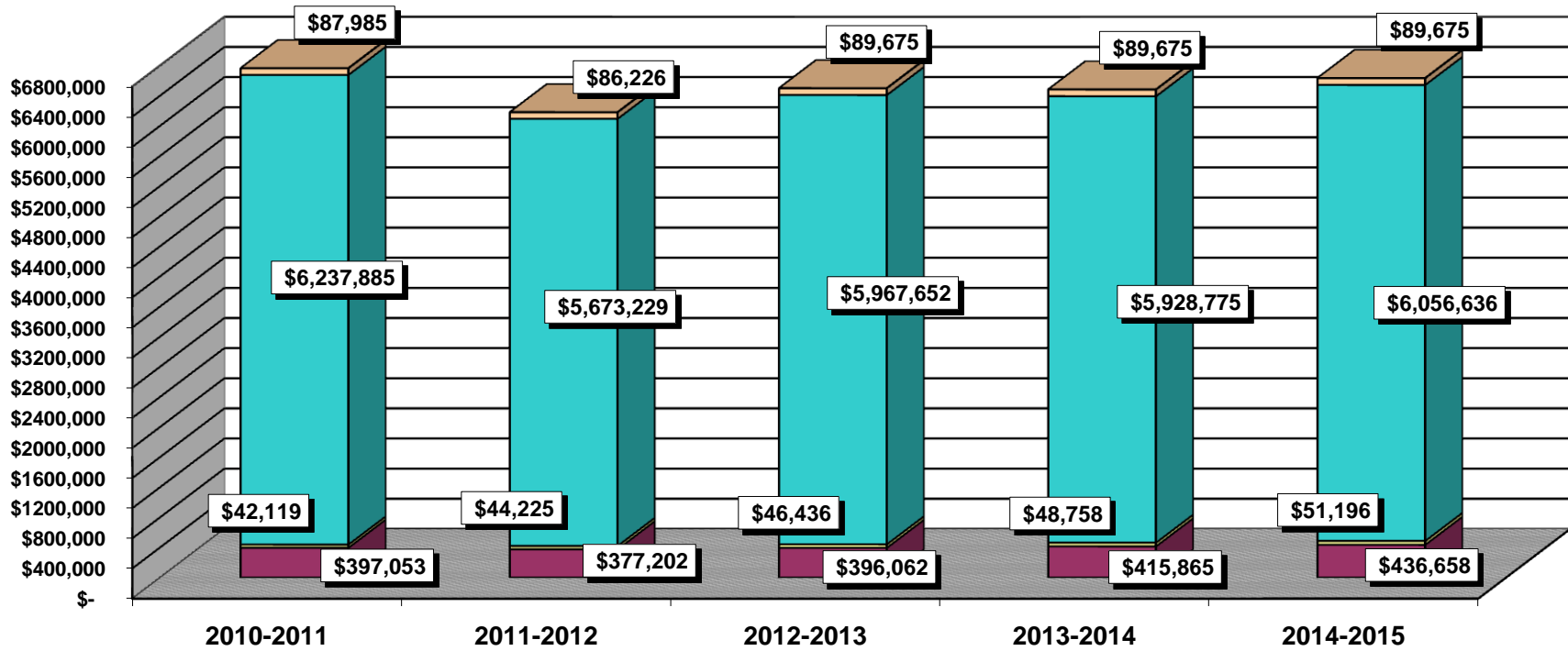
Private Funds: Sources from special events, alumni donations, and gifts

Federal Funds: Federal Funds is the strongest external funding that includes Title IV Funds, Federal Grants (Student Financial Assistant), and other funds. The projected funds present a reduction because many grants end in fiscal year 2010-11. The Pell grants and other grants are projected according to the students admitted.

Other Funds: The institution is committed to seeking external funding that could provide additional resources, especially the Continuing Education Division and Evening University.

Source: Budget Office UPR-Utuado

Figure 4
External Funds Received and Projected



Sources

- State Funds
- Federal Funds
- Private Funds
- Other Funds

Table 8 demonstrates the institutional budget distribution for the 2010-11 fiscal year, and its projections for the 2011-12 to the 2014-15 academic years. The programs presented in the table are as follows:

1. Instruction—Includes academic offerings' activities
2. Research (see note at the end of this table)
3. community services (see note at the end of this table)
4. academic support—Includes expenses for instruction/research/public services' support expenses
5. student services—Includes expenses incurred for offices of Admissions, Registrar, and Extracurricular Activities
6. institutional support (*e.g.* the governing board, planning, and programming operations; and legal services fiscal operations, including the investment office administrative information technology, space management, employee personnel, and records)
7. operation and maintenance of plant category includes administration/supervision/operation/maintenance/preservation/infrastructure protection expenses.

Table 8 (PRO-FORMA TABLE IV)

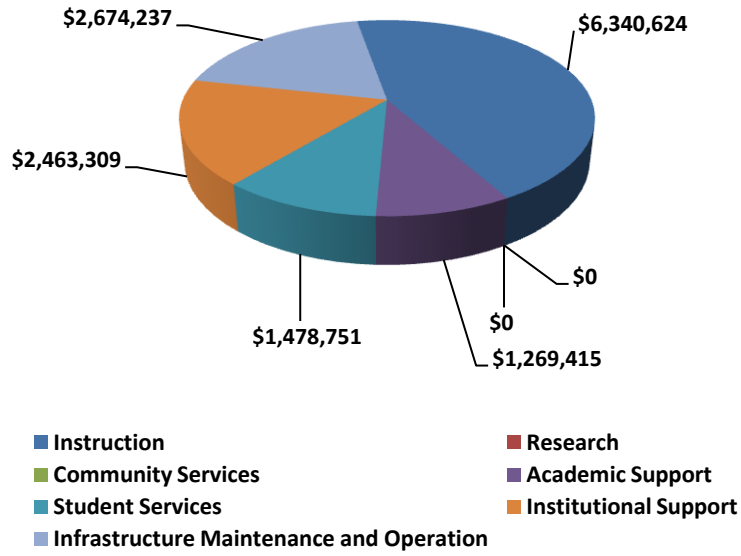
**Summary of Operating Expenses Allocated by Budget Program
for the Five Fiscal Years from 2010-11 to 2014-15**

Program	Actual Budget	Budget Projections			
	2010-2011	2011-2012	2012-2013	2013-2014	2014-2015
Instruction	\$ 6,340,624	\$ 6,008,375	\$ 6,173,605	\$ 6,304,485	\$ 6,434,988
Research**	0	0	0	0	0
Community Services**	0	0	0	0	0
Academic Support	1,269,415	1,202,898	1,235,978	1,262,181	1,288,308
Student Services	1,478,751	1,401,264	1,439,799	1,470,323	1,500,759
Institutional Support	2,463,309	2,334,232	2,398,423	2,449,270	2,499,970
Infrastructure Maintenance and Operation	2,674,237	2,533,574	2,603,701	2,658,542	2,714,161
Totals	\$14,226,336	\$13,480,343	\$13,851,506	\$14,144,800	\$14,438,186

** Allocations for research and community services will be provided through external funding and academic release time at the UPR-Utuado. ([Available during MSCHE Visit](#))

Source: Budget Office UPR-Utuado

Figure 5
Budget Distribution and Projections by Program
Fiscal year 2010-11



UPR-Utuado budget projections for future fiscal years are presented in **Table 9**. The allocation of these budget items are based on the code distribution used by UPR accounting system.

Table 9 (PRO-FORMA TABLE V)

UPR-Utuado’s Projected Budget for Fiscal Years 2010-11 to 2014-15 (as of Feb.2011)

	2010-2011	2011-2012	2012-2013	2013-2014	2014-2015
Salaries	\$ 9,577,266	\$ 9,075,090	\$ 9,324,960	\$ 9,522,409	\$ 9,719,918
Fringe Benefits	\$ 3,750,295	\$ 3,553,418	\$ 3,651,257	\$ 3,728,569	\$ 3,805,906
Materials, Services and Supplies	\$ 870,643	\$ 821,703	\$ 845,157	\$ 857,965	\$ 871,505
Travel Expenses	\$ 13,857	\$ 15,857	\$ 15,857	\$ 15,857	\$ 15,857
Equipment	\$ 14,275	\$ 14,275	\$ 14,275	\$ 20,000	\$ 25,000
UPR-Utuado General Fund	\$ 14,226,336	\$ 13,480,343	\$ 13,851,506	\$ 14,144,800	\$ 14,438,186

Source: Budget Office UPR-Utuado

Figure 6
Budget Distribution and Projections by Category Expenses
Fiscal Year 2010-11

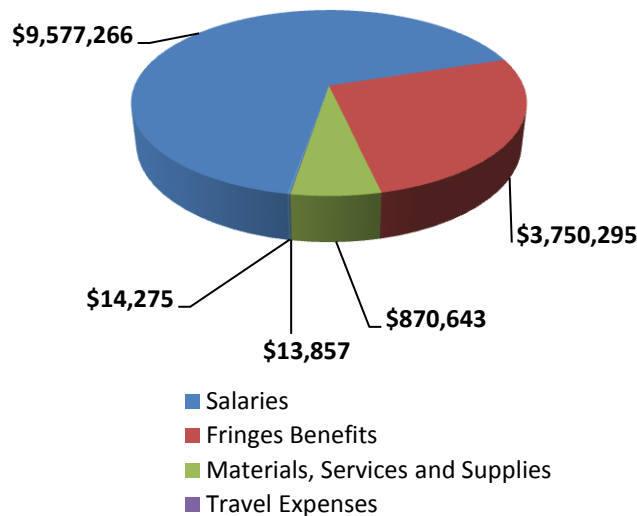


Figure 7
Budget Distribution and Projections by Category Expenses

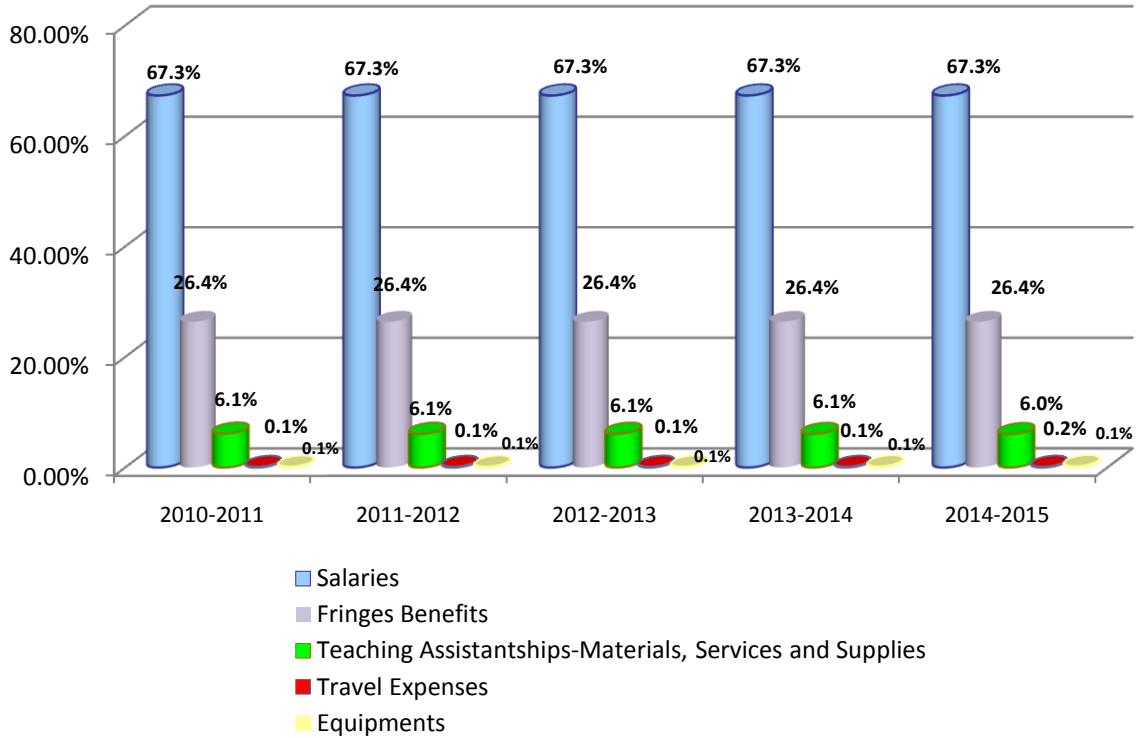


Table 10 presents the summary of revenue and expenses at the UPR-Utuado. The revenues consists of the budget approved by the UPR Board of Trustees for fiscal year 2010-11 (Operating Fund 110—Certification 135, 2009-10). *Most of the projections used the fiscal year 2010-11 as the base. State funds* include state grants. *Private funds* consist of sources from special events, alumni donations, and gifts. *Federal funds* are based on grants approved and scheduled for the actual fiscal year (only approved proposals were considered). In *other funds*, the institution is committed to seeking external funding that could provide additional resources, especially the Continuing Educational Division and Evening University.

Table 10 (PRO-FORMA TABLE VI)
Summary of Revenue and Expenses
for Five Fiscal Years 2010-11 to 2014-15

Program	Revenues				
	2010-11	2011-12	2012-13	2013-14	2014-15
General fund	\$ 14,226,336	\$ 13,480,343	\$ 13,851,506	\$ 14,144,800	\$ 14,438,186
State Funds	397,053	377,202	396,062	415,865	436,658
Private Funds	42,119	44,225	46,436	48,758	51,196
Federal Funds	6,237,885	5,673,229	5,967,652	5,928,775	6,056,636
Other Funds	87,985	86,226	89,675	89,675	89,675
Total Revenues	\$ 20,991,378	\$ 19,661,225	\$ 20,351,331	\$ 20,627,873	\$ 21,072,351
Program	Expenses				
	2010-11	2011-12	2012-13	2013-14	2014-15
Faculty salaries	\$ 5,599,661	\$ 5,138,471	\$ 5,130,053	\$ 5,142,202	\$ 5,259,122
Non-faculty salaries	4,702,042	4,521,042	4,525,370	4,555,300	4,583,122
Student services	130,000	115,000	140,000	140,000	140,000
Fringe Benefits	3,657,104	3,429,127	3,427,675	3,442,613	3,493,996
Materials	118,031	110,207	300,000	295,000	340,000
Library resources	30,000	20,000	55,000	55,000	60,000
Communications	40,000	40,000	48,000	50,000	65,000
Professional services	70,000	40,000	150,000	128,000	150,000
Utilities	590,000	590,000	600,000	615,000	620,000
Travel and per diem	32,000	20,000	40,000	45,000	49,000
Equipment	140,000	55,000	110,000	215,000	220,000
Federal Grants	5,484,287	5,203,947	5,426,705	5,526,143	5,654,004
State Grants	397,053	377,202	396,062	415,865	436,658
Others	1,200	1,229	2,466	2,750	1,449
Total Expenses	\$ 20,991,378	\$ 19,661,225	\$ 20,351,331	\$ 20,627,873	\$ 21,072,351
Net revenue	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0

* During each academic year, the institution receives additional transfers that increase the institutional budget in vital areas which have been previously identified.

Source: Budget Office UPR-Utuado

Figure 8

UPR-Utuado Revenues and Expenses FY 2010-11 to 2014-15

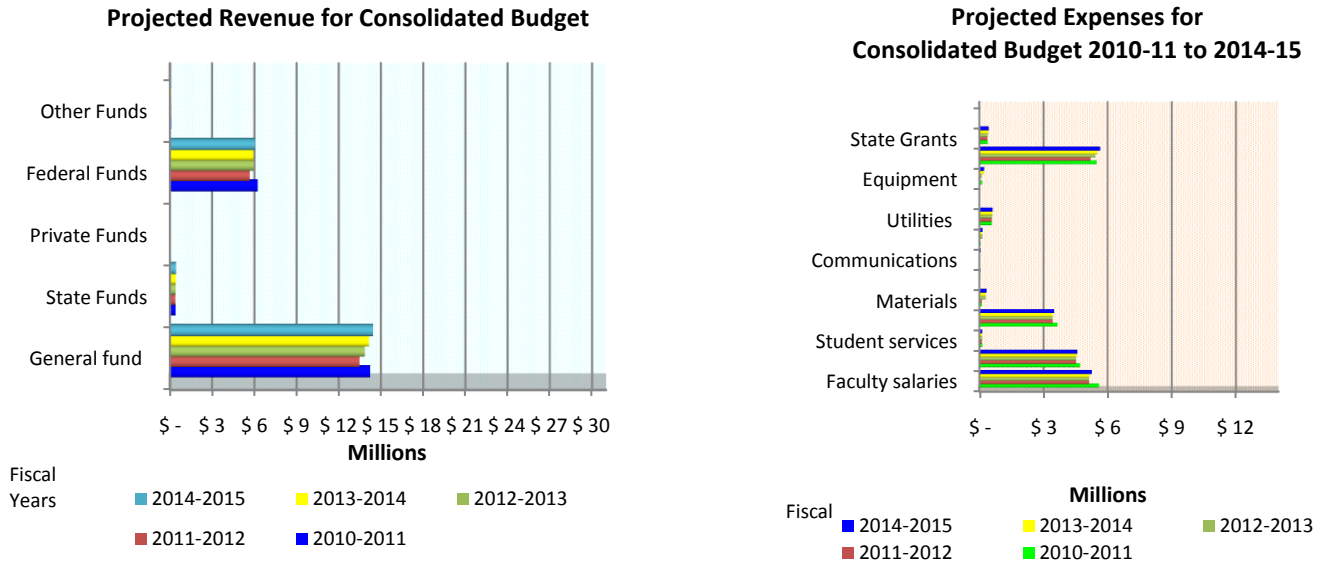


Figure 4 depicts the distribution of the consolidated budget revenues and expenses for the current year.

Figure 9

UPR-Utuado Distribution of Revenues and Expenses FY 2010-11

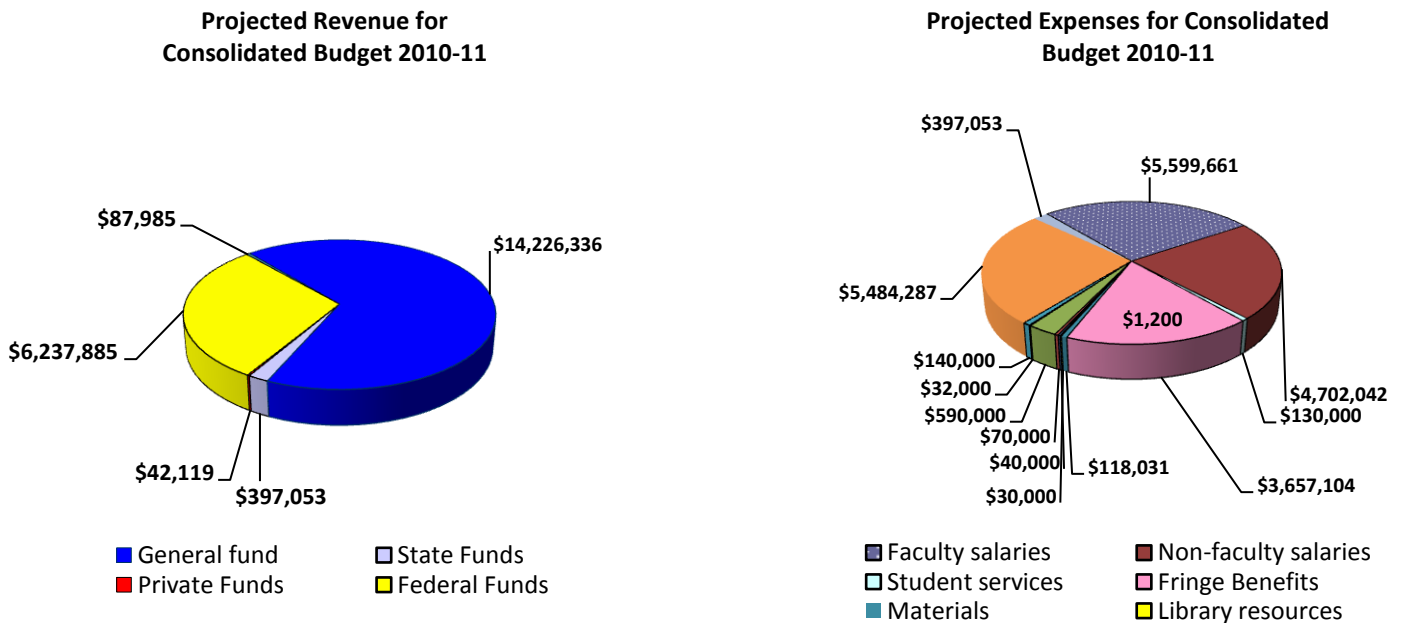


Table 11 presents the available academic resources from instruction, academic support, and student services from the general fund/external funds and enrollment for the next four academic years.

Table 11 (PRO-FORMA TABLE VII)
Academic Resources and Enrollment (students) Projections
Academic Years 2010-11 to 2014-15

Description	Actual		Projections		
	2010-2011	2011-2012	2012-2013	2013-2014	2014-2015
Academic Resources	\$ 9,088,790	\$ 8,612,537	\$ 8,849,382	\$ 9,036,989	\$ 9,224,055
Enrollment*	1,528	1,460	1,522	1,544	1,575

*Statistical Information for Students Enrolled - 1st.Semester.

Source: Budget Office UPR-Utuado

Figure 10
Budget and Enrollment (Students) Projections

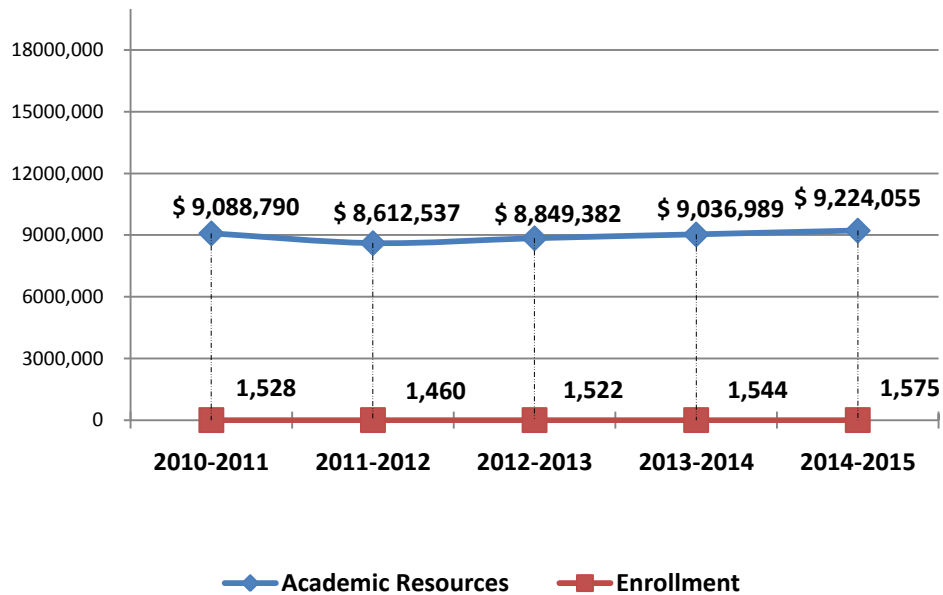


Table 12 details the distribution of compensations for faculty and non-faculty personnel:

Table 12 (PRO-FORMA TABLE VIII)
Personnel Counts and Compensation Planning
Academic Years 2010-11 to 2014-15

Description	Actual Budget	Budget Projections			
	2010-11	2011-12	2012-13	2013-14	2014-15
Faculty	111	107	109	109	113
Compensation Planning	\$ 4,802,555	\$ 4,629,183	\$ 4,729,220	\$ 4,729,220	\$ 4,930,404
Faculty—Compensation Planning Percentage	33.75%	34.35%	34.14%	34.14%	34.14%
Non-Faculty	158	153	154	154	155
Compensation Planning	\$ 4,774,711	\$ 4,445,907	\$ 4,595,740	\$ 4,595,740	\$ 4,789,514
Non-Faculty—Compensation Planning Percentage	33.56%	32.98%	33.17%	33.17%	33.17%

Last statistical data submitted was based on Faculty and Non-Faculty Personnel Head Count
 Compensations are based on the current UPR-Utuado budget.

Source: Budget Office UPR-Utuado

Figure 11
Faculty Counts and Compensation Planning

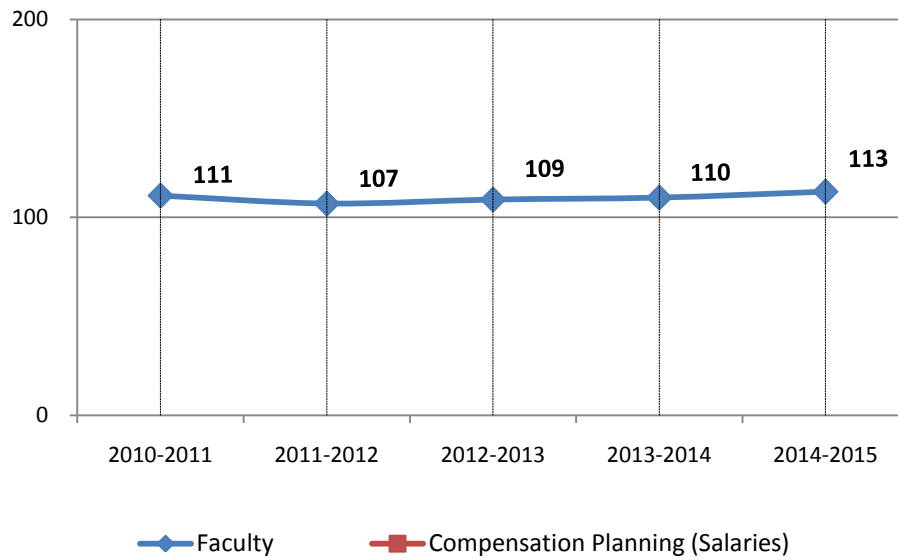


Figure 12
Non Faculty Counts and Compensation Planning

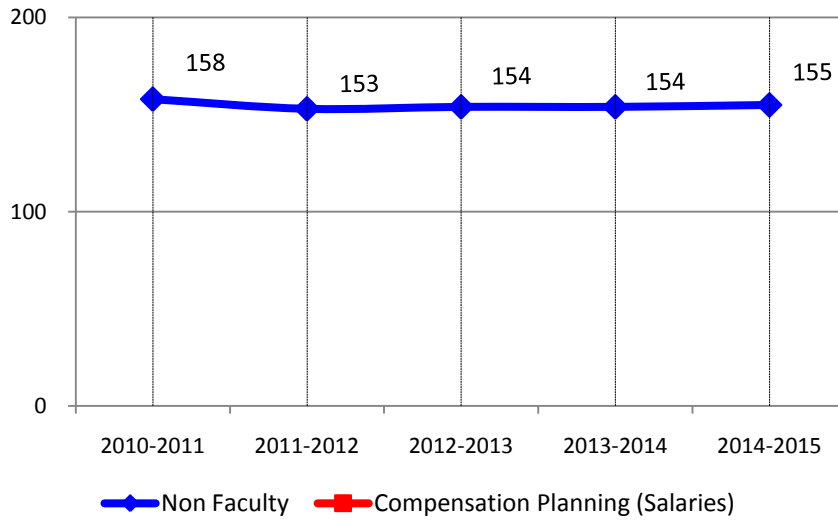
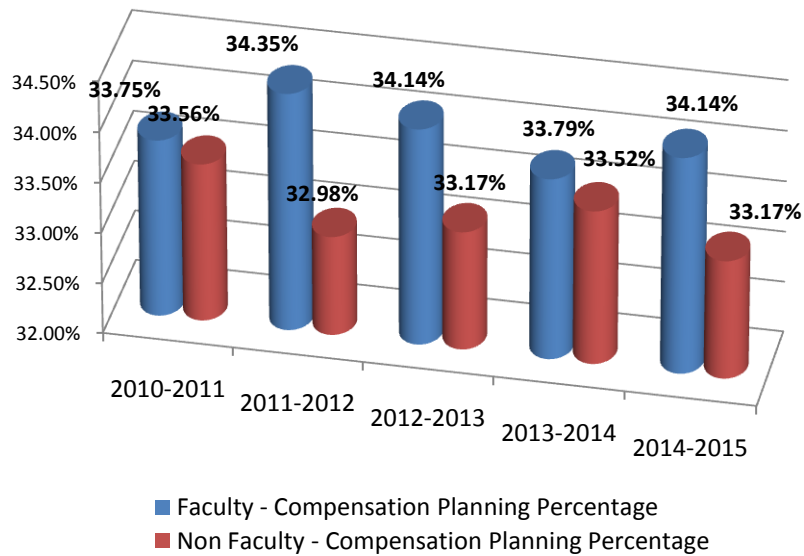


Figure 13
Compensation Planning



Since reductions in non-essential operating expenses and the identification of additional funding sources are vital, the Central Budget Office has: 1) monitored and assured cost control measures/guidelines for distribution of resources; 2) verified that these guidelines are being followed within the units for the effective deployment of financial resources and institutional mission success; and 3) assisted units in thoroughly reviewing budget processes and implementing timely corrective measures. For more information on the Central Budget Office Guidance Cost Control Measures see [UPR's Assessment Report](#) (pages 3-5).

At present the UPR administration is implementing a number of options to confront the budget crisis. The UPR-Utuado action plan to preserve compliance with Standard 3 has two main elements: 1) secure continuity and institutional effectiveness with available resources, and 2) maintain and nurture additional sources of funding to continue advancing institutional education, services, and resource priority.

Secure Continuity and Institutional Effectiveness with Available Resources

From 2009 to 2010 various letters were sent by the UPR President to the UPR community that establishes measures to cope with the global economic crisis and its impact on the UPR System. Among these strategies is the Policy for Energy Cost Reduction (see [Board of Trustees' Certification #9 2008-2009](#)). On January 2010, the UPR President established [particular strategies for the University crisis](#). As stated earlier, the UPR-Utuado is at present implementing a long-term financial plan for the up-coming years considering factors such as projected economies and future revenues (government appropriations, tuition and fees, federal funds, special state funds, rent earnings, among others). This projected plan is constantly revised according to the variations of the economy and its impact on the systemic/institutional budget.

■ *UPR-Utuado's Prevention Measures for Budget Adjustments—Fiscal Years: 2011-2015*

The past monitoring report stated a feasible reduction of \$714,729 in the salary account for the 2011-12 fiscal year. At present, the status of the measures previously presented, are as follows:

1. The possible retirement of thirteen (13) employees which represent a payroll of \$592,152 and a total of \$122,577 in fringe benefits. Various employees have begun to transmit documents concerning retirement; one is already in the final stage of the process.
2. Understanding that not all 30-year employees retire immediately, other precaution measures have been taken, which are: institutional travel adjustments, gasoline usage, and electricity bills.
3. The installment of solar panel for energy efficiency and savings at the Learning Resources Center (library) will be accomplished by the first academic semester of 2011-12.
4. Photocopying machines have been maximized at administrative areas and by the use of access codes.
5. An official request for all UPR-Utuado employees to use the institutional electronic mailing has reduced mailing and paper costs.
6. The Learning Resources Center personnel have increased the digitalization of course documents (*e.g.* syllabi and materials) and their electronic usage.
7. The purchase of equipment and materials has been limited to fulfill institutional priorities.
8. Academic resources are being maximized by increasing the number of maximum students per course in order to reduce the costs of additional compensations.
(All information is available during MSCHE Visit).

Action Plan for Securing Continuity and Institutional Effectiveness with Available Resources

As informed in the first Monitoring Report, all budget changes were announced by the Acting Chancellor during faculty and non-teaching meetings (See [Faculty](#) and [non-teaching personnel](#) meetings.) The UPR-Utuado unit has received fewer funds due to the systemic reductions; the institution has strategically planned (see [Fiscal Budget Linked to Planning](#)) to: 1) reinforce its academic and student services, 2) reduce administrative costs, and 3) efficiently comply with internal/external auditing.

In spite of budget constraints (see [Budget Measures](#)), the UPR-Utuado has strengthened its faculty, achieved both institutional standards of excellence and bachelor’s degree program accreditation (see [Chancellor’s Letters requesting Faculty for Accreditation Purposes](#)) and (see [President’s Letter of April 13th 2009](#)). Moreover, the UPR-Utuado has contracted the best human resources to offer its academic services. **Table 13** demonstrates the faculty members’ distribution per academic years (2007-08 to 2010-11):

Table 13
UPR-Utuado’s Faculty Distribution from 2007-08 to 2010-11

Academic Year	Part Time	Tenure	Tenure Track	Contracts	Total
2007-08	27	58	7	23	115
2008-09	41	59	17	13	130
2009-10	34	57	22	8	121
2010-11	28	57	20	6	111

Source: Office of Planning and Institutional Research

In addition, **Table 14** reveals the faculty’s academic preparation according to gender and academic year. From 2007-08 to 2010-11, there has been a gradual increase among the total number of faculty, and those having a PhD degree.

Table 14
UPR-Utuado’s Faculty Degree Distribution from 2007-08 to 2010-11

Academic Preparation	2007-08			2008-09			2009-10			2010-11		
	F	M	Subtotal	F	M	Subtotal	F	M	Subtotal	F	M	Subtotal
Doctor’s Degree	18	12	30	23	20	43	24	17	41	25	18	43
Master’s Degree	41	40	81	34	49	83	35	42	77	35	30	65
Juris Doctor	0	4	4	0	4	4	0	3	3	0	2	2
Bachelor’s Degree	0	0	0	0	0	0	0	0	0	1	0	1
TOTAL			115			130			121			111

Source: Office of Planning and Institutional Research

Not only is the UPR-Utuado concerned in maximizing its resources; but also, in fulfilling its administrative procedures with excellence. The unit has been constantly audited by various internal/external auditing offices: The Comptroller’s Office of Puerto Rico, the Governmental Ethics Office, The Board of Trustees’ Internal Auditing Office, and the Ernst & Young Firm. During the past five years, the audit’s recommendations have been few and were implemented promptly ([Available during MSCHE Visit](#)).

Table 15
UPR-Utuado’s Energy/Water/Gas Expense Reduction (2007-08 to 2010-11)

Academic year	Expense		
	Energy	Water	Gasoline
2007-2008	\$ 546,319.10	\$ 83,338.08	\$ 50,413.91
2008-2009	\$ 592,200.27	\$ 116,105.23	\$ 56,917.97
2009-2010	\$ 539,919.75	\$ 116,405.60	\$ 46,539.39
2010-2011*	\$ 488,142.33	\$ 77,720.90	\$ 28,722.84

* In progress

Source: Budget Office UPR-Utuado

Other mechanisms that are also being implemented are: 1) the increase of student capacity within classrooms to maximize the use of campus facilities, 2) the reinforcement of an early-repair/maintenance plan for vehicles, equipment, and facilities, and 3) the implementation of an aggressive plan for reducing energy expenses among the campus community (see [Budget Measures](#)). These recommendations are viable, and serve to maximize the current budget while fulfilling the institutional mission, vision, and goals of the institution.

Not only is UPR-Utuado concerned in maximizing its resources; but also, in fulfilling its administrative procedures with excellence. The unit has been constantly audited by various internal/external auditing offices: The Comptroller’s Office of Puerto Rico, the Governmental Ethics Office’, The Board of Trustees’ Internal Auditing Office, and the Ernst & Young Firm. During the past five years, the audit’s recommendations have been few and were implemented promptly (see [UPR-Utuado’s 2005-2010 Self-Study Report](#) pages 104-105).

Overall, to ensure institutional operation beyond the current economical constraints, the UPR-Utuado performed the following activities:

1. The UPR President and Board of Trustees' Certifications (2009-10, #81 and #135) have been known to the campus community to inform on budget crisis and require compliance with budget reductions.
2. The UPR-Utuado's Budget Crisis has been implemented to reinforce academic services, reduce administrative costs, and comply with internal/external auditing. The implemented measures are:
 - Maximize traditional course student capacity (in progress)
 - Maximize photocopying machines usage
 - Institutionalize electronic mailing for paper cost reduction
 - Purchase of equipment/services fulfilled to suit institutional priorities
 - Reduce institutional travel, gasoline/electricity usage
 - Obtain economies with the retirement of 30-year employees.

The Acting Chancellor continues to meet with the community to announce any changes/updates on these issues and their implementation.

Maintain and Nurture Additional Sources for Funding to Continue Advancing Institutional Education and Research Priorities

■ *Procedures for External Resources Procurement and Management at the UPR-Utuado*

All UPR units have personnel that help with different stages of the development and management of additional funding and sponsored projects. The External Resources Coordinator at the UPR-Utuado is in charge of promoting the chancellors initiatives for additional funding. The coordinator also provides support and guidance to all university community members who wish to submit a formal grant proposal to any private or public agency. Several new projects were submitted and approved for the 2010-11 fiscal year. Other funded projects at UPR-Utuado are: Fiesta Project (\$24,328.00) and Talent Search Program (US Department of Education), which has granted \$1,452,822 in a five-year period. At present, external funding proposals are being developed at the UPR-Utuado ([Also available during MSCHE Visit](#)).

Table 16
New Sponsored Projects Operating at the UPR-Utuado during Fiscal Year 2010–2011

Proposal	Submitted to	Submitted by	Period	Total Amount Awarded	Comments
Integration of Interdisciplinary Techniques: Agricultural Biotechnology	US Forest Service	Professor Carlos Semidei			Interdisciplinary courses offered between UPR-Ponce and UPR-Utuado
Weed management alternatives for organic coffee agroforestry systems of Puerto Rico	USDA – Southern Sustainable Agriculture Research and Education	Dr. Mariangie Ramos	3 years/ July, 2010- June 2013	\$150,000.00	It is expected that all account set-up and fund transfer transactions will be completed during the beginning of the 1 st semester
Effects of a long-term elevated CO ₂ on earthworm populations, bioturbation and carbon sequestration in soils, Submitted on May 10, 2010, Funds transferred from University of Illinois to UPR-Utuado on August, 2010	National Science Foundation	Dr. Yaniria Sánchez	2 years August, 2010-July, 2012	\$140,000.00	It is expected that all account set-up and fund transfer transactions will be completed during the beginning of the 1 st semester
Reducing Non-Renewable Energy Consumption at the University of Puerto Rico – Utuado	Commonwealth of Puerto Rico ARRA State Energy Program	Dr. Ángel Custodio	1 year	\$100,000.00	Award transactions are being finalized.

Source: External Resources Office

The USDA and NSF budgets have funds allocated for Principal Investigator/Project Director (PI/PD) salaries. The NSF budget will be covering six credit hours per semester of Dr. Sánchez de León's basic teaching load. The USDA budget covers credit hours (time buying) for three professors. Six credit hours per semester for Dr. Ramos and three credit hours per semester for Drs. Marisol Dávila and Yaniria Sánchez de León. For the USDA project, the UPR-Utuado is a sub recipient of the University of Georgia. Funds for the SSARE awards have not been transferred to the University of Georgia as of early August 2010. The table only includes new projects.

Conclusion

According to the MSCHE Characteristics of Excellence in Higher Education (*CEHEM*), established by the Middle States Commission of Higher Education: “An effective institution is one in which growth, development, and change are the results of a thoughtful and rational process of self-examination and planning...” (*CEHEM*, p. 4). We are pleased with the progress made in Standard 3 of Institutional Resources; we also feel that we are in compliance with Standard 4 of Leadership and Governance. The University of Puerto Rico at Utuado acknowledges that its current process of self-analysis has made it become a stronger institution.

First, as an institution of higher education it has *grown*. Together it has matured and discovered the power of governance. The UPR-Utuado understands that governance’s main goal is “to enable an educational entity to realize fully its stated mission and goals to achieve these in the most effective and efficient manner that benefits the institution and its students” (*CEHEM*, p. 12). The crisis, transitions, and financial hurdles the institution has undergone have made it stronger in decision-making, response, and action.

Second, the UPR-Utuado has *developed* its daily endeavors for mission fulfillment. Not only has the institution unified its constituents in dynamics of dialogue that offer current solutions; but also its auto-examination has become a powerful roundtable for institutional analysis, evaluation, and assessment. In addition, the UPR-Utuado is more conscious that the Open University belongs to all, and all campuses are directly responsible of its access, development, and transitions. All governance structures in place will work together to restore the public’s confidence and the quality of both academic and administrative structures.

Finally, the UPR-Utuado has *been transformed*. The implementation of systemic/ institutional policies and procedures demonstrate commitment to quality and compliance with the Characteristics of Excellence. There is a strong leadership from the Chancellor through all governance structures that will assure and maintain the institution functioning during challenging times. Overall, this current stage has given us the opportunity of introspection and the development of a new vision: the UPR-Utuado will continue to increase the academic progress of this Region with a vibrant vision. In the midst of the times, we have become ONE.