

MONITORING REPORT TO THE  
MIDDLE STATES COMMISSION ON HIGHER EDUCATION

From

UNIVERSITY OF PUERTO RICO - ARECIBO CAMPUS

Submitted by

Prof. Juan Ramírez Silva, Chancellor

March 1, 2012

*Prepared by:*

Prof. Soriel Santiago  
Accreditation Coordinator  
Director, Office of Planning and Institutional Research

Prof. Mercedes Pérez de Vives  
Director, External Resources Office

Mrs. Katherine Meléndez  
Director, Budget Office

*Task Force for UPRA's Monitoring Report*

Dr. Brenda Laboy  
Prof. Soriel Santiago  
Prof. María Muñiz  
Mrs. Katherine Meléndez  
Prof. Maritza Rosa  
Prof. Ana J. Gómez  
Prof. Mercedes Pérez  
Mr. Ramón Hernández  
Mrs. Genoveva Rivera  
Mrs. Sonia Vélez  
Prof. Cynthia V. Cardona

## TABLE OF CONTENTS

---

I. INSTITUTIONAL OVERVIEW.....	1
II. INSTITUTIONAL CONTEXT.....	2
STANDARD 3 - INSTITUTIONAL RESOURCES.....	3
COMMISSION’S REQUIREMENT NO: 1 .....	3
COMMISSION’S REQUIREMENT NO: 2 .....	14
STANDARD 4 - LEADERSHIP AND GOVERNANCE .....	15
COMMISSION’S REQUIREMENT NO: 3 .....	15
COMMISSION’S REQUIREMENT NO: 4 .....	18
COMMISSION’S REQUIREMENT NO: 5 .....	24
COMMISSION’S REQUIREMENT NO: 6 .....	25
COMMISSION’S REQUIREMENT NO: 7 .....	26
III. CONCLUSION.....	27

**LIST OF TABLES**

Table 1 Three Year Comparison of Budget Allocations  
Fiscal Years 2009-10 to 2011-12 ..... 4

Table 2 Analysis of Cautionary Measures Implemented for  
Fiscal Years 2010-11 to 2011-12 ..... 6

Table 3 External Resources Approved for  
Fiscal Year 2011-12 ..... 7

Table 4 General and External Funds Projections  
Academic Years 2011-12 to 2014-15 ..... 9

Table 5 External Resource Funds Received and Projected  
Academic Years 2011-12 to 2014-15 ..... 10

Table 6 External Resources Received  
Academic Years 2009-10 to 2011-12 ..... 11

Table 7 Budget Distribution and Projections by Program  
for Four Fiscal Years 2011-12 to 2014-15 ..... 12

Table 8 Budget Distribution and Projections by Category Expenses  
for Four Fiscal Years from 2011-12 to 2014-15 ..... 13

Table 9 Academic Resources and Enrollment Projections  
Academic Years 2010-11 to 2014-15 ..... 14

Table 10 UPR Revenues and Expenses FY 2008-2011 ..... 15

**LIST OF GRAPHS**

Graph 1 General Funds Projection  
Academic Years 2011-12 to 2014-15 ..... 9

Graph 2 External Funds Projection  
Academic Years 2011-12 to 2014-15 ..... 9

Graph 3 Comparison of General and External Funds Projected ..... 10

Graph 4 Budget Distribution and Projections by Program  
for Four Fiscal Years 2011-12 to 2014-15 ..... 12

Graph 5 Salaries and Fringe Benefits versus Operating Expenses ..... 13

## LIST OF APPENDIXES

- Appendix I      UPRA's Organizational Chart  
Certification No. 2011-12-34 of the Administrative Board
- Appendix II     UPRA's Catalog 2008-2011
- Appendix III    Certifications
- Certification No.103 (1999-2000) of the Board of Trustees  
                    Certification No. 44 (2006-2007) of the Board of Trustees  
                    Certification Nos. 136 and 138 (2003-2004) of the Board of Trustees  
                    Certification No.11 (2010-2011) of the Board of Trustees  
                    Certification No. 100 (2005-2006) of the Board of Trustees  
                    Certification No. 2010-11-53 of the Administrative Board  
                    Certification No. 141 (2010-2011) of the Board of Trustees  
                    Certification No.2011-2012-02 of the Administrative Board  
                    Certification No. 60 (2006-2007) of the Board of Trustees  
                    Certification No. 7 (2011-2012) of the Board of Trustees  
                    Certification No. 18 (2011-2012) of the Board of Trustees  
                    Certification No. 128 (2009-2010) of the Board of Trustees  
                    Certification No. 50 (2011-2012) of the Board of Trustees  
                    Certification No. 17 (2010-2011) of the Board of Trustees  
                    Certification No. 154 (2010-2011) of the Board of Trustees  
                    Certification No. 2010-11-54 of the Administrative Board  
                    Certification No. 2011-12-10 of the Administrative Board  
                    Certification Nos. 2011-12-6, 7 and 8 of the Academic Senate  
                    Certification No.2010-11-18 of the Academic Senate  
                    Certification Nos. 124, 125 and 126 (2010-2011) of the Board of Trustees
- Appendix IV    UPR's Action Plan
- Appendix V     UPR's Assessment Report
- Appendix VI    UPRA's Action Plan

## I. INSTITUTIONAL OVERVIEW

The University of Puerto Rico at Arecibo (UPRA) is a branch campus of the University of Puerto Rico (UPR), the state-supported system of higher education consisting of eleven campuses. The UPRA was founded in 1967 as the Arecibo Regional College responding to the needs for providing the citizens of the North-Central area of Puerto Rico with access to higher education opportunities. In 1974, its current permanent facilities, located on a 49 acre lot on Route 129, Highway 653, kilometer 8 in Arecibo, were inaugurated. The Council on Higher Education by virtue of its Certification No. 323 (1980-1981) authorized the institution to expand its offerings to include four-year baccalaureate degree programs. The UPR Board of Trustees authorized the change of the institution's name to the University of Puerto Rico at Arecibo by virtue of its Certification No. 103 (1999-2000).

Through its mission, the institution strives to be a community dedicated to the pursuit and dissemination of knowledge, to the study and clarification of values, and to the advancement of the society it serves. UPRA's administrative structure consists of a Chancellor, who is the Chief Executive Officer, supported by the Deans of Academic, Student and Administrative Affairs, the Administrative Board, Academic Senate, Departmental Chairpersons and Student Council. The President is responsible for overall coordination of the UPR System, but the Chancellor is directly responsible for operations at the campus level. The Institutional Organizational Chart presented in Appendix I illustrates the lines of responsibility and flow of official communication.

Student enrollment at UPRA for the Fall Semester of academic year 2011-2012 was 3,577 with a full- and part-time faculty of 261 and 294 non-teaching administrative personnel. UPRA offers 14 bachelor degree programs, three associate degree programs, and 44 articulated transfer programs. Of these, the following six programs are unique in the UPR System: Bachelor's degree in Science with a concentration in Microbiology which includes three areas of emphasis: Industrial Microbiology, Environmental Microbiology and Medical Microbiology; two Bachelor's in Social Sciences (Industrial Organizational Psychology and Iberian-American Studies); Bachelor's degree in Technology in Industrial Chemical Processes; and Associate Degrees in Chemical Engineering Technology and Veterinary Technology. In the area of curricular renovation, a new Associate Degree in Biotechnological Operations will be offered through the Division of Continuing Education and Professional Studies (DCEPS). (See Appendix II: UPRA Catalog 2008-2011 and Appendix III: Certification No. 44 (2006-2007) of the Board of Trustees.)

As articulated in the University Law and the UPR General Bylaws, the Board of Trustees is responsible for the direction, quality and integrity of the institution, the approval and update of its development plan and the oversight of its implementation and progress. Through Certifications No. 136 and 138 (2003-2004) respectively, the Board set out to establish an institutional effectiveness and programmatic evaluation culture mandating the systematic internal assessment as well as external assessment through professional accreditation of all academic programs and services. At UPRA, the following programs were accredited: Elementary Education and Physical Education for the Elementary Level Programs by the National Council for Accreditation of Teacher Education (NCATE); Office Systems by the Association of Collegiate Business Schools and Programs (ACBSP); Computer Sciences by the Accreditation Board of Engineering and Technology - Computing Accreditation Commission (ABET-CAC); the Nursing Department by the National League for Nursing Accrediting Commission (NLNAC), which received its re-accreditation visit on February 13-15, 2012 for its baccalaureate degree in nursing, and was re-accredited for eight years; the Business Administration Department by the Association of Collegiate Business Schools and Programs (ACBSP), and the library by the Library Association of College and Research Libraries (ACRL). The Education Department is also accredited by the Association for Children Education International (ACEI) and the Physical Education Program is accredited by the National Association for Sports and Physical Education (NASPE). The latter accreditations are granted through NCATE.

Currently, the following academic departments are in the process of coordinating their respective accreditation processes: Physics-Chemistry Department and Tele-radial Communications. The Accreditation Board for Engineering and Technology, Technology Accreditation Commission (ABET-TAC) visited the Physics-Chemistry Department in October 2011 and is expected to notify the Physics-Chemistry Department, regarding the official program accreditation decision in August 2012. The Accrediting Council on Education Journalism and Mass Communications (ACEJMC) is also expected to be visiting the Tele-Radial Communications Department in 2012.

## II. INSTITUTIONAL CONTEXT

Professor Juan Ramírez-Silva, has been occupying the position of Chancellor since his designation on May 20, 2010. He was officially appointed Chancellor on September 8, 2010 as evidenced in Certification No.11 (2010-2011) of the Board of Trustees (see Appendix III). The Deans of Academic, Administrative and Student Affairs were officially appointed on April 26, 2011 through Certifications Nos. 124, 125 and 126 (2010-2011) also included in Appendix III.

UPRA has revisited MSCHE's *Characteristics of Excellence in Higher Education* in the process of realistically assessing its strengths and challenges for the purpose of complying with Standards 3 and 4. The institution strongly believes that it is in compliance with all other standards and that, based on the evidence provided in this Monitoring Report, significant progress has been made in addressing those under scrutiny. The process of introspection and self-renewal UPRA has undergone during the past year has led it to embrace more fully its mission, goals and objectives.

On June 23, 2011, the Middle States Commission on Higher Education (MSCHE) acted to accept the Monitoring Report submitted on March 1, 2011, to note that a small team visit took place on April 4, 2011, to remove probation, and reaffirm accreditation. This Monitoring Report is in response to MSCHE's request that UPRA document further progress in (1) strengthening institutional resources and developing alternative forms of income, including institutional pro-forma budgets that demonstrate the institution's ability to generate a balanced budget for fiscal years 2012 through 2014, including the personnel, compensation, and other assumptions on which these budgets are based; (2) steps taken to ensure timely production of audited financial statements for FY 2011 and subsequent years (Standard 3); (3) further steps taken to improve communication and shared governance, especially in documenting how campus input is solicited and considered in decision making at the System level; (4) evidence of further implementation of the UPR Action Plan, including evidence that the action plan is being assessed and data is used for improvements; (5) evidence that steps have been taken to assure continuity and stability of institutional leadership, particularly in times of governmental transitions; (6) evidence that communication between the Central Administration and the institution, is clear, timely, accurate, and made available to all constituents; and (7) evidence of further progress in implementing a procedure for the periodic objective assessment of the Board of Trustees (Standard 4). The University of Puerto Rico at Arecibo submits this report to document evidence that the Institution has achieved and can sustain ongoing compliance with accreditation Standards 3 (Institutional Resources) and 4 (Leadership and Governance).

### STANDARD 3 – INSTITUTIONAL RESOURCES

**COMMISSION'S REQUIREMENT NO. 1:**

Strengthening institutional resources and developing alternative forms of income, including institutional pro-forma budgets that demonstrate the institution's ability to generate a balanced budget for fiscal years 2012 through 2014, including the personnel, compensation, and other assumptions on which these budgets are based.

Within the roles and responsibility of the President of the UPR is the development of the UPR Budget Project with allocations for the system in consultation with the Chancellors, within the processes and regulations contained in Certification No. 100 (2005-2006) of the Board of Trustees. Chancellors align unit budgets to their respective strategic plans and assessment results in consultation with the Central Administration's Budget Director. Central Administration's Budget Committee also advises the President on the development of the Budget Project. Once formulated, the President presents the proposal to the University Board for further review. The revised Budget Project is then presented to the Board of Trustees for final approval.

At the campus level, UPRA's Administrative Board approved Certification No. 2010-11-53 (see Appendix III) for the restructuring of the budgetary distribution and allocation process which brings together planning, institutional assessment and budgeting. The process presented in the Certification has served to direct institutional resources toward the areas in most need. At the institutional level, drawing the budget is the collective task of two committees that work together in the process of aligning planning and budget as mandated by the Administrative Board: the Strategic Planning Committee ascribed to the Office of Planning and Institutional Research (OPIR); and the Committee for Budget Analysis, Allocation and Distribution of Resources (Budget Committee). The Strategic Planning Committee is responsible for the identification of institutional priorities based on UPR's and UPRA's Strategic Plans, and an analysis of institutional research reports and assessment data results on institutional effectiveness. Relying on the institutional priorities identified by the Strategic Planning Committee as a framework, the Budget Committee is responsible for the budget analysis, and recommends allocations and distribution of resources for each fiscal year. For the 2011-2012 budget formulation process, the Budget Committee used the general guidelines for the design and formulation of a consolidated and functional budget, for its distribution by identified priorities.

Through Certification No. 141 (2010-2011) of the Board of Trustees (Appendix III), the approved budget of the UPR System for fiscal year 2011-2012 was disclosed. The budget assigned to UPRA was \$30,740,794 which was approved by the Administrative Board through Certification 2011-2012-02. When compared to previous fiscal year's budget, this represents a slight positive increase for the first time in three years in funds allocated as shown in Table 1 below.



**Table 1**  
**Three Year Comparison of Budget Allocations**  
**Fiscal Years 2009-10 to 2011-12**

Fiscal Year	Budget Allocated	Difference	
		Amount	Percent
2009-2010	\$34,464,415	(\$402,229)	-4.10%
2010-2011	\$30,388,984	(\$4,075,431)	-13.20%
2011-2012	\$30,740,794	\$351,810	0.01%

The UPR System receives the majority of its funds from legislative appropriations as stipulated in UPR’s Law Num. 1 of January 20, 1966, as amended. Each year, approximately 9.66% of the average total government tax revenues of the two previous years are assigned to the University System. The UPR budget has been confronting a decline proportional to a loss in total government revenues of approximately 14% since the previous two fiscal years, which has affected the current and will continue to have repercussions in upcoming fiscal years. To offset this decline in funds, the units of the UPR System have continued to implement the Board of Trustees’ recommendations regarding cautionary measures as a viable alternative to confront the reduction in operational expenses.

**Balanced Budget**

The following distribution elements were considered in developing FY 2011-2012 UPR Consolidated Budget approved by Certification No. 141 (2010-2011) of the Board of Trustees: 1) a critical analysis of the mapping lines of the group of accounts was included in the overall allocations, payroll and operational expenses; 2) a thorough analysis of institutional commitments and requests from the units as presented in the budget process, in light of available resources. The following general guidelines were also followed: 1) Available revenues in the UPR General Fund for the FY according to the 9.6% formula. 2) UPR’s own revenues, updated with the assistance of the Office of Management and Budget. 3) Continuity and integrity of academic offerings, research, and other institutional commitments linked to academia.

The effectiveness of the cost control measures implemented thus far and the strategic reallocation of funds have allowed an increase in unit budget allocations for FY 2011-2012, with no obligations left pending from previous FY 2010-2011. Other indicators include evidence that during the current fiscal year the institution was able to: (1) grant 14 pending faculty promotions<sup>1</sup>, which were paused as part of the cost control measures implemented since 2009, and; 2) through collective bargaining with The Maintenance Workers Union, non-recurrent special bonuses were granted. These concessions were possible without impacting UPRA’s assigned budget.

---

<sup>1</sup> Promotions were granted to those in the first registry of faculty eligible for promotions certified by the Board of Trustees in 2009

## Cost Control Measures

Central Administration's Budget Office has taken a strong lead communicating, monitoring and assuring cost control measures and guidelines for distribution of resources and verifying that these are being followed for the effective deployment of financial resources for mission success. When warranted, it also individually assists units in thoroughly reviewing budget processes and implementing timely corrective measures. In continuous communication with unit Budget Directors, the Central Administration's Budget Office has enforced compliance with institutional directives regarding strategic planning, budget allocation, and cost control measures at the central and unit levels.

In past fiscal years, the allocation of the units' assigned budgets was based on the previous year's adjusted budgets, plus recurrent additions to finance salaries and benefits increases. Due to the difficult fiscal situation the UPR System has been facing since FY 2009-10, salary increases, sick-leave reimbursements, promotions and summer session allocations, among others had been eliminated. Both the current fiscal year budget, as well as the 2012-2013 Budget period, remain within the framework of the cost control measures established by the Board of Trustees and the President in areas which do not materially affect the quality and continuity of academic offerings. Many of the measures have been institutionalized through Certifications by the Board of Trustees<sup>2</sup>, such as:

- 1) Reductions in general expenses driven by a 5% adjustment in service contracts, additional compensations, materials and others.
- 2) Partial replacement of retired employees (only 33% are being replaced).
- 3) A pause in benefits not required by law, namely, faculty allowances, financial aid for faculty studies, sick-leave reimbursements, special bonuses, and perquisites.
- 4) Revision of tuition exemption policies within the framework of Certification No. 131 (2009-2010) of the Board of Trustees.
- 5) Establishment of a minimum carrying capacity of 30 students in traditional undergraduate courses.
- 6) Energy saving measures.
- 7) Reduction in release time associated with faculty administrative duties.
- 8) Reduction in travel expenses.
- 9) Units are expected to finance activities not contemplated in the Budget by generating the necessary external revenues to cover associated costs.
- 10) As part of the ongoing evaluation of educational offerings mandated by institutional policies to promote informed decisions regarding the continuation of academic programs:
  - Since 2009-2010, Deans for Academic Affairs evaluated the 321 active articulated transfer programs between units throughout the system based on their effectiveness in student demand, retention, transfer and graduation rates, among others. Articulated transfer programs, established by signed agreements between Chancellors and the President, allows a unit of origin to offer the first two years of an academic program from another unit, to which the student will transfer to complete the degree. Based on the findings, none of UPRA's transfer programs were inactivated in Academic Year 2010-11.
  - In September 2011, the Vice Presidency for Academic Affairs issued revised Guidelines for the Discontinuation and Reactivation of Academic Offerings, following the April 2011 agreement with the University Board of formally incorporating the alternative of pausing programs in the original 2006 Guidelines. Effective 2010-2011, seven degree granting academic programs were closed (moratorium), and 10 were declared on pause at the System level. At UPRA, the Associate Degree in Nursing was put on pause until Spring Semester 2012-13.

---

<sup>2</sup> These certifications can be found at UPR's Board of Trustees website, <http://www.certifica.upr.edu>

- The institutional directive to Chancellors and Academic Deans is to establish a freshman admission carrying capacity aligned with the available resources to safeguard institutional commitment with both freshman and active students. To this end, for the present academic year, 672 freshmen were matriculated versus 821 in the previous year; and total enrollment was 3,577 compared to 4,025 in the 2010-11 academic year.
- 11) To address budgetary deficit issues, on June 30th, 2010 the Board of Trustees established a Stabilization Fee in addition to tuition charges and other fees already in place amounting to \$400 per student per semester. For FY 2010–2011, the Fee represents approximately \$45 M. UPRA students received a total of \$1,957,219 from the State Legislature to cover this fee.

Table 2 below presents the control measures taken that have been effective at the campus level, and demonstrates the impact of these reductions on this current year’s budget. As evidenced by the reductions in this table, the distribution of funds was made possible without significantly impacting academic and support services to students.

**Table 2**  
**Analysis of Cautionary Measures Implemented for Fiscal Years 2010-11 to 2011-12**

Measures	FY 2010-2011	FY 2011-2012		
	Amount <sup>1</sup>	Amount Spent 1 <sup>st</sup> semester <sup>2</sup>	Amount Projected FY <sup>3</sup>	Difference
Reduction in Faculty Overload and Compensations for administrative tasks	\$ 1,011,081	\$ 486,972	\$ 973,944	\$ (37,137)
Reduction in Service Contracts	1,113,965	548,442	1,096,884	(17,081)
Reduction in equipment purchasing and substitution	180,961	50,769	101,538	(79,423)
Reduction in travel expenses	66,268	21,200	42,400	(23,868)
<b>Total Reductions</b>				\$ (204,142)

<sup>1</sup>Source: UPRA Available Funds Report, June 30, 2010 and June 30, 2011.

<sup>2</sup>Source: UPRA Available Funds Report, December 2011.

<sup>3</sup>Amount projected to June 2012 by duplicating expenses.

Reductions in freezing vacant non-teaching positions resulted in savings of an additional \$ 17,080 in fiscal year 2011-12 after over an initial half million had already been reduced, which served to bring faculty to staff ratios to more appropriate levels. In addition to the reduction of \$37,137 in faculty overload and compensations for administrative tasks, the following senior-level positions were frozen: Associate Dean of Student Affairs, Executive Aid to the Dean of Student Affairs, Executive Secretary of Academic Affairs, including faculty release time for public relations and legal affairs. The reduction of \$79,422 in equipment purchasing and substitution practically doubled the amount from the previous fiscal year. Travel expenses, which had risen in the previous FY, are expected to be reduced by at least \$23,868. It should also be pointed out that additional savings may be anticipated as the projected amount for FY 2012 is duplicated for some of the measures for purposes of comparison, but these may vary as the institution continues to proceed with extreme caution in its expenditures. It is expected that the costs of electricity will be reduced substantially as a result of the renegotiation of charges for kilowatt hours from 2,700 to 1,700 with the local Electric and Energy Authority, resulting in a new contract as of November 2011. Resource allocation strategies to improve efficiency in the use of human and fiscal resources have included: redistribution of the tasks of administrative personnel; restructuring institutional processes; making more effective use of available technologies; and, merging offices and programs with similar functions.

It is noteworthy that one control measure alone, elimination of sick-leave reimbursements in excess of 90 days which has continued to be implemented during the past two fiscal years, has generated savings of almost \$2 M. Payment for overtime hours has practically been eliminated as have other perks and bonuses. Moratoriums on faculty promotions, sabbatical leaves, and new hiring in tenure-track positions, have also been implemented so as to deal more effectively with the decline in institutional resources. Additionally, a 5% reduction in bonuses/extra-salary compensations for all faculty in administrative positions, including the Chancellor, deans, and department chairpersons has been implemented.

An example of redistributing tasks and revising existing positions as a means to improve effectiveness of the use of resources and produce economies, can be found in UPRA’s Finance Office. To strengthen the Finance Office, an employee currently holding the position of Pre-intervention Officer was reclassified to the position of Finance Officer in an effort to improve strategic financial planning and budgeting at the campus level. It is expected that the efforts to reduce expenditures, specifically in salary and fringe benefits mentioned above, will move UPRA toward a more sustained fiscal stability.

**Diversification of Funding Sources**

In its continuous efforts of seeking to increase and diversify its sources of revenues by providing services to state and federal agencies, the University System negotiated and was granted three proposals by the Puerto Rico Department of Education to certify and recertify 5,000 teachers in Science, Mathematics, English and Spanish, which will result in an additional income of \$53 M during FY 2011-2012:

- \$24.5 M (CRECE 21 Project): Certification and Recertification of English and Spanish Teachers
- \$24.5 M (CRECE 21 Project): Certification and Recertification of Science and Mathematics Teachers
- \$4 M: Professional Improvement Programs for School Principals and Teachers

Of the total amount awarded, UPRA’s Division of Continuing Education and Professional Studies (DCEPS) received an injection of \$ 4,025,000 to undertake these endeavors.

Table 3 below presents the external resources received to date, including those of the CRECE 21 Project, for the present academic year 2011-12.

**Table 3  
External Resources Approved for Fiscal Year 2011-2012**

Grant	Funds Approved (\$)
Ismul 2011-2012 NASA Grant	41,115
Student Support Services Program	307,616
MSEIP 2011-12	249,922
Child Care Network 10-11	50,000
University Articulation	498,819
Women Abuse Prevention Program	15,436
CRECE 21	2,450,000
CRECE 21	1,575,000
<b>Total</b>	<b>\$5,187,908</b>

## Financial and Enrollment Projections

In order to continue and improve Central Administration's ability to generate balanced budgets for fiscal years 2012-2015, the original five-year financial projections presented in its Consolidated Monitoring Report have been revisited with updated external and internal parameters and assumptions, while simultaneously developing the 2012-2013 Budget. The revised financial projections on expected revenues for the five year period ending June 30, 2016 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 9.66% formula; 3) the stabilization of student population; and, 4) \$45 M/FY revenue from the Stabilization Fee.

Though conservative projections were originally made regarding state funding, a recently implemented significant tax reform plus additional revenue measures have positively impacted the local economy and future FY government revenues. Therefore, the formula has generated more funds than projected during the current year and this trend is expected to continue for the following years. Appendix V contains the revised five year projections for the UPR System, which incorporate analysis of enrollment trends and alignment of resource allocations with individual campus strategic plans.

UPR System enrollment projections are based on the assumption that operating revenues are correlative with enrollment. As of the first semester of Academic Year (AY) 2011-2012, the UPR System had a total enrollment of 56,733 students. Based on institutional historical trends and other empirical data which accurately helped project AY 2011-2012 enrollment for appropriate planning and resource allocation, enrollment is projected to gradually increase and stabilize in approximately 60,000 students by FY 2012-2013. UPRA has projected its enrollment accordingly.

In response to MSCHE's requirement to document the development of its financial plans, UPRA revised its financial projections through Fiscal Year 2014. Table 4 and Graph 1 present the general funds allocations based on the budget assignments identified by the Central Administration for the next three-year period. The figures contained therein take into consideration the thorough analysis of the economic trends for Puerto Rico made by the UPR Central Administration's Finance Office. An economic recovery is expected to favorably impact UPR finances beginning next fiscal year, such that increases on an annual basis at the conservative rates of 2.75% in FY 2013, 2.12% in FY 2014 and 2.07% in the last FY 2015 have been projected. It is evident from these projections that UPRA's budget will not reach levels comparable to fiscal year 2008; therefore, the institution will have to continue intensifying its efforts to seek alternative funding from external sources.

During the current fiscal year, as shown in Table 4 and Graph 2, over \$4.5 M in external state funds was generated by the Division of Continuing Education and Professional Studies. However, projections for the next three year period have been tempered by a modest 5% annual increase, due to increased competition for external funds and cuts in state and federal programs. Graph 3 demonstrates that external funds represent approximately 15% of UPRA's general budget funds. The projected increases over the three years on the average basically maintain this percentage.

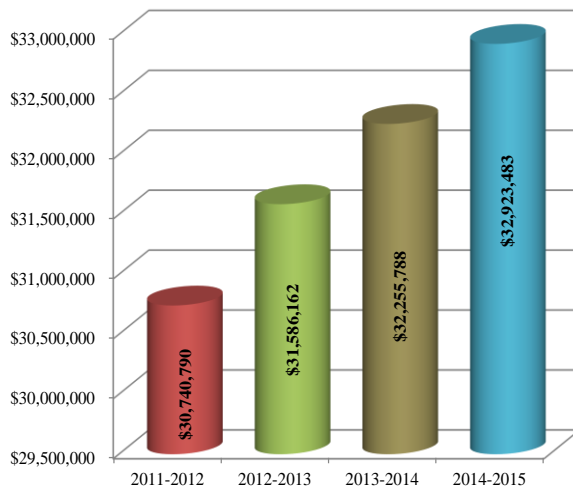
**Table 4  
General and External Funds Projections  
Academic Years 2011-2012 to 2014-2015**

Description	Actual Budget	Budget Projections		
	2011-2012	2012-2013	2013-2014	2014-2015
Budget General Funds *	\$ 30,740,790	\$ 31,586,162	\$ 32,255,788	\$ 32,923,483
Budget External Funds **	\$ 5,343,021	\$ 5,610,172	\$ 5,890,681	\$ 6,185,215

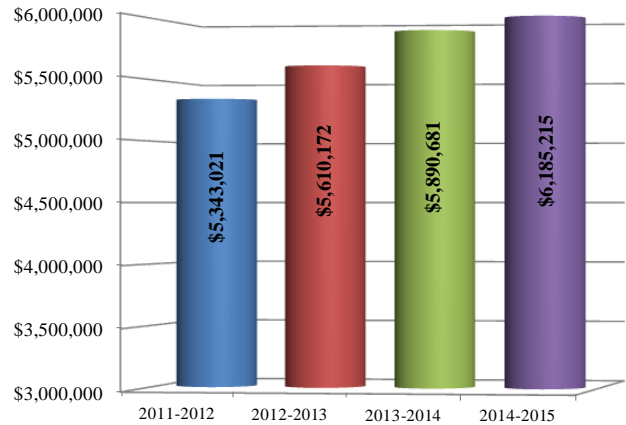
\*Actual Budget: Budget approved by the Board of Trustees for Fiscal Year 2011-12 (Operating Fund 110 - Certification 141, 2010-11), Budget Projections follow the institutional policy established for the period.

\*\* Includes State Funds, Private Funds, Federal Funds and Other Funds approved

**Graph 1  
General Funds Projection  
Academic Years 2011-12 to 2014-15**



**Graph 2  
External Funds Projection  
Academic Years 2011-12 to 2014-15**



**Graph 3  
Comparison of General and External Funds Projected**

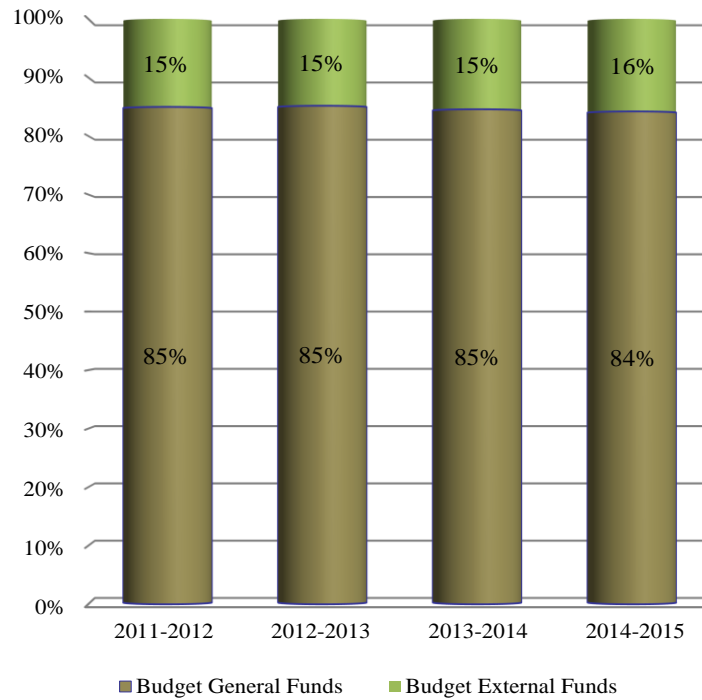


Table 5 below presents a breakdown of external resources received by source of funds during the current fiscal year and projected for fiscal years 2013 to 2015. The largest amount received is from state funds, which includes monies from the Puerto Rico Legislative Scholarship and Continuing Education projects financed by the local Department of Education. Federal funds received from the US Department of Education’s Minority Science and Engineering Improvement Program (MSEIP) and Student Support Services programs represent over half a million (\$.5 M). Table 6 illustrates the trends in external funding during the past three-year period, which demonstrates that there has been a sustained effort on the part of the institution to maintain and nurture additional sources of funding. A proposal for a new Title V project requesting \$650,000/year for a total \$3.25 M for a five-year period will be submitted to the US Department of Education in mid March.

**Table 5  
External Resource Funds Received and Projected  
Academic Years 2011-12 to 2014-15**

Sources	Funds Received and Projected			
	2011-2012	2012-2013	2013-2014	2014-2015
State Funds	\$ 4,630,370	\$ 4,861,889	\$ 5,104,983	\$ 5,360,232
Private Funds	90,978	95,527	100,303	105,318
Federal Funds	557,538	585,415	614,686	645,420
Other Funds	64,135	67,342	70,709	74,244
<b>Total</b>	<b>\$ 5,343,021</b>	<b>\$ 5,610,172</b>	<b>\$ 5,890,681</b>	<b>\$ 6,185,215</b>

**Table 6**  
**External Resources Received**  
**Academic Years 2009-10 to 2011-12**

Sources	Funds Received		
	2009-2010	2010-2011	2011-12
State Funds	\$ 2,922,343	\$ 3,621,210	\$ 4,630,370
	70%	76%	87%
Private Funds	\$ 70,977	\$ 49,444	\$ 90,978
	2%	1%	2%
Federal Funds	\$ 1,166,757	\$ 1,040,438	\$ 557,538
	28%	22%	10%
Other Funds	\$ 10,030	\$ 27,175	\$ 64,135
	0%	1%	1%
<b>Total</b>	<b>\$ 4,170,107</b>	<b>\$ 4,738,267</b>	<b>\$ 5,343,021</b>

The Chancellor has intensified efforts to increase and diversify external resources by developing new initiatives that will supplement revenues coming from state and federal sources. Among other endeavors in this direction, the Chancellor has strengthened alliances with community-based organizations, private and government entities; established collaborative agreements with the Arecibo, Camuy, Vega Baja and Orocovis municipalities; and appointed a person with extensive experience in grantsmanship to head the External Resources Office. To achieve more positive results in the search for external funds, two additional faculty members with expertise in research and grants writing have been given release time to assist in this process. A series of workshops on the grants writing process have been scheduled, two of which have already been offered during the fall semester. UPRA's Jaime Benítez Foundation has planned a fundraising activity, *Noche Flamenca*, scheduled for March 24, 2012 which expects to gross in approximately \$10,000. Other sources of funding with potential for growth include expanding and diversifying the Division of Continuing Education and Professional Studies' (DCEPS) academic and short course offerings through self-financing methods; and the implementation of the concept of the Extended University (UnEx) format through which degree-granting programs are made available and adapted to non-traditional students' needs.

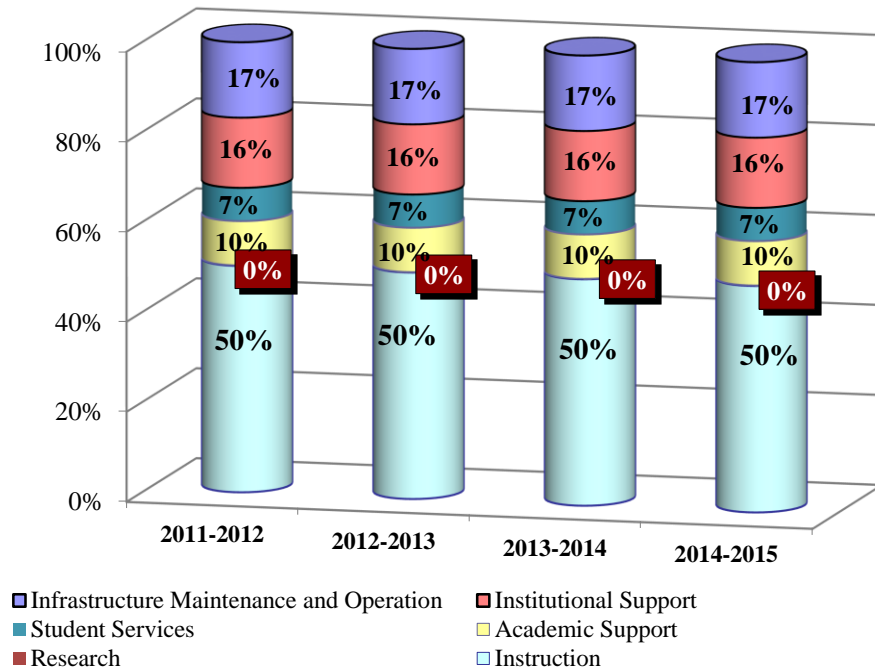
Table 7 and Graph 4 show the actual FY 2012 and forecasted budget distribution by General Ledger programs for fiscal years 2013-2015. Instruction, which includes funds allocated for academic semesters, summer and honors program offerings, represents half (50%) of the total budget distribution across the board, thus demonstrating the priority standing that is ascribed to it. Table 8 presents the budget distribution and projections until 2014-15 by category expenses. Graph 5 demonstrates a projected slight decline in salaries and fringe benefits versus operating expenses for FY 2015.



**Table 7**  
**Budget Distribution and Projections by Program**  
**for Four Fiscal Years from 2011-12 to 2014-15**

Program	Actual Budget	Budget Projections		
	2011-2012	2012-2013	2013-2014	2014-2015
Instruction	\$ 15,463,727	\$ 15,888,979	\$ 16,225,826	\$ 16,561,700
Research	28,565	29,351	29,973	30,593
Academic Support	3,037,388	3,120,916	3,187,080	3,253,052
Student Services	2,267,254	2,329,603	2,378,991	2,428,236
Institutional Support	4,791,710	4,923,482	5,027,860	5,131,937
Infrastructure Maintenance and Operation	5,152,150	5,293,834	5,406,063	5,517,969
<b>Totals</b>	<b>\$ 30,740,794</b>	<b>\$ 31,586,162</b>	<b>\$ 32,255,788</b>	<b>\$ 32,923,483</b>

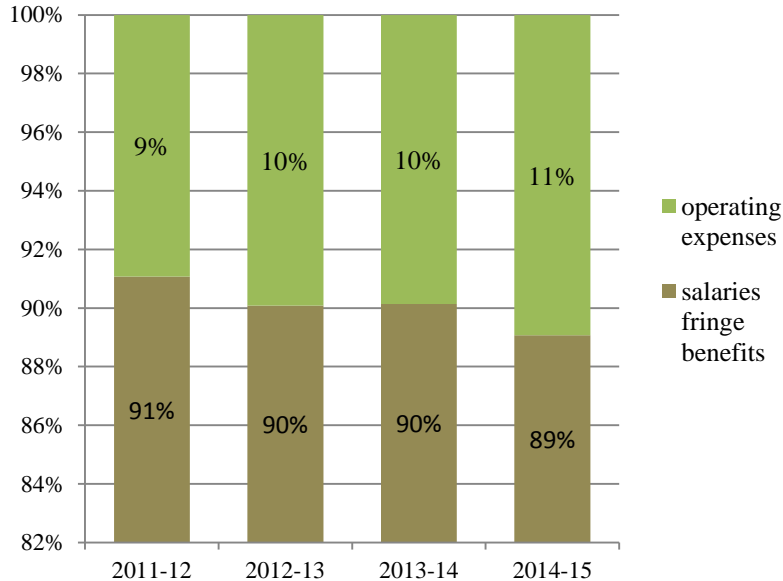
**Graph 4**  
**Budget Distribution and Projections by Program**  
**for Four Fiscal Years 2011-12 to 2014-15**



**Table 8**  
**Budget Distribution and Projections by Category Expenses**  
**for Four Fiscal Years from 2011-12 to 2014-15**

Budget Category	Actual Budget	Budget Projections		
	2011-2012	2012-2013	2013-2014	2014-2015
Salaries	\$ 20,589,035	\$ 20,663,223	\$ 21,163,223	\$ 21,363,223
Fringe Benefit	7,408,068	7,790,276	7,909,776	7,960,976
Teaching Assistantships- Materials, Services and Supplies	2,651,987	3,025,991	3,066,117	3,452,612
Travel Expenses	81,700	86,672	86,672	106,672
Equipment	10,000	20,000	30,000	40,000
<b>Totals</b>	<b>\$ 30,740,790</b>	<b>\$31,586,162</b>	<b>\$32,255,788</b>	<b>\$ 32,923,483</b>

**Graph 5**  
**Salaries and Fringe Benefits versus Operating Expenses**



Considering the financial situation described above, and making necessary adjustments to ensure academic excellence and quality support services, the institution has projected a slight increase in enrollment of approximately 1% annually for academic years 2012-13 to 2014-15. Table 9 presents the budget and enrollment projections for the next three-year period.

**Table 9**  
**Academic Resources and Enrollment Projections**  
**Academic Years 2011-12 to 2014-15**

Description	Actual	Projections		
	2011-2012	2012-2013	2013-2014	2014-2015
Academic Resources	\$ 20,768,369	\$ 21,268,369	\$ 20,596,944	\$ 21,505,497
Enrollment	3,577	4,065	4,105	4,145

As demonstrated in the previous tables and graphs, budget decisions at UPRA were made to minimize budget cuts at the academic level and absorb these reductions in the general accounts. The budgetary decisions taken by the Central Administration and UPRA’s administrators, which are outlined above, guarantee that the institution will continue to operate within the context of its characteristic academic excellence despite the fiscal challenges faced during the next fiscal years. The University of Puerto Rico at Arecibo is committed to strengthening its resources through enrollment management, strict financial planning strategies, aggressive search for external funding sources, and identification of innovative ways of achieving efficiency in its operations.

**COMMISSION’S REQUIREMENT NO. 2:**

Steps taken to ensure timely production of audited financial statements for FY 2011 and subsequent years.

Externally audited financial statements are prepared by the University of Puerto Rico as a system. Financial information is available for UPRA in its Finance Office and in the IPEDS Finance Reports completed by the Central Administration.

UPR System efforts and steady improvement towards assuring timely issuance of audited financial statements have been evidenced in all reports submitted to the MSCHE since September 2010 to the present. Among other measures, an external firm with expertise in government accounting processes has assisted the units and the UPR Central Administration in reconciling and verifying information for external auditors. The firm developed an implementation schedule which is part of the UPR Information System Renewal Plan in Board of Trustees’ Certification No. 7 (2011-2012). The Central Finance Office, in collaboration with the Vice Presidency of Research and Technology, organized a Task Force with key representatives from the System to address the findings and recommendations of the firms, expedite the necessary processes and implement the subsidiary modules to streamline the performance of the UFIS accounting system.

During the current fiscal year, UPR has made significant strides towards improving financial processes at the System and unit levels. Following the updating of the UFIS accounting system: (1) unit income and expense reports are now being produced to monitor their monthly and quarterly performance; (2) reports such as "Statement of Net assets", "Expenses vs. Budget", and "Statements of Revenues and Expenses" have been incorporated to UFIS to facilitate generating reports required by the Integrated Postsecondary Data System (IPEDS) and the Government Development Bank; (3) manuals were developed to guide units in accounting processes; and, (4) revision of the accounts receivable processes was approved by Board of Trustees Certification No. 18 (2011-2012), facilitating collection of accounts receivable from federal and private entities.

Table 10 compares FY 2011 unaudited revenues vs. expenses reported in the previous three years. Notice that an increase of \$46,210 in net assets is reported for FY 2011, resulting from a decrease in salaries and benefits, and economies from the cost control measures, the implementation of the stabilization fee and other additional sources of funding.

**Table 10**  
**UPR Revenues and Expenses FY 2008-2011<sup>1</sup>**

<b>Revenues and Expenses (\$ in thousands)</b>	<b>FY 2008</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>
Operating revenues	\$278,277	\$268,093	\$265,058	\$342,436
Operating expenses	1,351,283	1,411,309	1,422,811	1,397,073
Operating income (loss)	(\$1,073,006)	(\$1,143,216)	(\$1,157,753)	(\$1,054,637)
Net non-operating revenues	1,052,043	1,064,409	1,124,549	1,084,223
Other revenues	20,265	20,734	10,539	16,624
<b>Increase (decrease) in net assets</b>	<b>(\$698)</b>	<b>(\$58,073)</b>	<b>(\$22,665)</b>	<b>\$46,210</b>

<sup>1</sup>FY 2008-2010 as per audited financial statements. FY 2011 data is unaudited. Includes all UPR funding (General, Federal, Capital, Endowment, etc.)

As a result of the system and unit level concerted efforts above, a final draft of the FY 2011 Financial Statement has already been submitted to the auditors and the Audited Financial Statement is projected to be issued in March 2012. The Statement draft confirms the effectiveness of institutional measures to control costs, produce economies and generate additional sources of funding.

#### **STANDARD 4: LEADERSHIP AND GOVERNANCE**

**COMMISSION'S REQUIREMENT NO. 3:**

Further steps taken to improve communication and shared governance, especially in documenting how campus input is solicited and considered in decision making at the System level.

In this section, UPRA documents the follow-up given to its Action Plan (see Appendix VI) and that of the Central Administration (Appendix IV) which were included in the previous Monitoring Reports submitted on September 1, 2010 and March 1, 2011. Both the Systemic and UPRA's Action Plans evidence compliance with the following goals: foster an enhanced institutional climate and identity; cultivate an open university culture; and, revisit and empower leadership and governance at all levels. The President and senior staff have visited all units in the System for face to face dialogues with constituents on major institutional issues and concerns. UPRA's administration at all levels has demonstrated and reaffirms its commitment with actively promoting an open and transparent dialogue with the Campus community in order to reinforce an institutional climate of mutual trust and respect. Examples include:

- The President and Vice President for Academic Affairs participated in the Management Activity: Strengthening Government Structures, which took place at UPRA on October 7, 2011. In this activity, the President offered a Conference on Leadership and Governance of the University System (Structure of Government, Administration and Participative Leadership of the *UPR*) and actively participated in the activity through dialog with deans and chairpersons regarding issues of professional and specialized accreditation, budgeting and other institutional issues of concern.
- The Board of Trustees also conducted campus visits to hold listening sessions with Academic Senates, staff, faculty and students to gain firsthand knowledge of their planning and progress, main issues and needs, and the state of the physical facilities (Appendix IV). During the current academic year, several Board members visited the Arecibo Campus on October 14, 2011.

Extensive evidence is available of sustained systemic communication and coordination with the units. Specific activities have been developed and implemented to advise and enforce clear institutional policies in place at the UPR, specifying the respective authority, roles and responsibilities in shared governance of the governing, executive, and advisory entities at the campus and System levels:

- The President developed a Conference/Workshop to Chancellors offering a thorough review of the prevailing laws and regulations regarding the roles and responsibilities of all University officials, bodies, leaders and entities that constitute the Leadership and Governance of the University System, in alignment with applicable MSCHE Standards of Excellence, requirements, guidelines and expectations.
- Workshops on Parliamentary Processes have been offered to Chancellors and President's senior staff, students and faculty members of the University Board and Academic Senates in all units. At UPRA, the Academic Senate took this workshop on September 13, 2011. During the current semester this workshop was scheduled to be offered to the Chancellor and his staff.
- All Chancellors and one member of the Board of Trustees, attended the National Summit for College and University Presidents on Campus Safety, hosted by the United States Department of Justice Office on Violence Against Women in collaboration with the United States Department of Education, held on October 3-4, 2011 in Washington, DC. In the Summit, key issues concerning campus safety were addressed, including domestic violence, dating violence, sexual assault, and stalking, as well as how to develop a model Campus Safety Plan.
- The President, the Vice President for Academic Affairs and other senior staff meet with the Chancellors, Deans of Academic and Student Affairs, Registrars, Directors of the Divisions of Continuing Education and Professional Studies, Directors of Institutional Planning and Research, Directors of the Office of Quality of Life, institutional, professional and specialized Accreditation Coordinators; and other officers with common functions in the units, once or twice a month to advance institutional agendas; exchange updates on systemic and unit issues; enforce, review, develop, implement and assess procedures, policies and practices; and to carry out joint decision making.
- The Task Force appointed by the President in 2010, together with accreditation coordinators from all units, work in close communication with the Vice Presidency for Academic Affairs to guarantee systemic input throughout institutional evaluation processes, and to monitor full execution of the current UPR Action Plan providing feedback and recommendations for better accomplishment of its goals. To that end, drafts and final accreditation reports and assessment reports on the implementation of the Action Plan are posted and continuously updated at the System level to inform the University Community at large and receive their input. At UPRA, a blog with this same purpose was created at [www.upra.edu](http://www.upra.edu).

- UPRA's Physics-Chemistry Department coordinated with the staff of the Vice-Presidency of Academic Affairs a collaborative peer review evaluation of its bachelor's degree program and services, as it was seeking professional/specialized accreditation from ABET. A mock visit was carried out on September 2, 2011, which provided valuable feedback that ensured compliance in the formal evaluation process.
- Together with Budget and Finance Directors at system and unit levels, the President and Chancellors developed and periodically update the long term financial plan, and assess the effectiveness of structures and processes to integrate more efficient practices.
- University President and staff, Chancellors and Directors of the Divisions of Continuing Education and Professional Studies (DCEPS) develop systemic proposals for external funding to advance the institution's education and service strategic agenda at each unit.
- In collaboration with diverse governmental agencies, student orientations on the adequate use of information and communication technologies; including related risks and responsibilities, such as *Navegando Seguro por la Internet*, *Asecho Cibernético*, and *Hostigamiento Sexual*, among others, have been offered.
- Deans of Student Affairs collaborated with the Central Administration Office of Information System in the development of guidelines and procedures for the direct and secret (electronic) vote in student assemblies, in accordance with Law No. 28 of 2010. Full implementation is projected for March 2012.
- Deans of Student Affairs collaborated in the development and full implementation of the Students' Code of Conduct and are charged with its dissemination in their respective units.
- UPRA actively participated in the implementation of the new UPR System Communication and Recruitment Plan, under the slogan *La Universidad de Puerto Rico: ¡Acepta el reto! ¡Sé uno de los mejores!* (The University of Puerto Rico: Accept the Challenge! Be one of the Best!) established by the Vice Presidency for Academic and Student Affairs. The Plan was based on the evaluation and assessment of traditional practices, focal groups, surveys, analysis of data, trends and information.

Other evidence of sustained active participation of faculty and student representatives in institutional affairs within their respective roles and responsibilities in the formal University structure include:

- The President and the Board of Trustees have fully honored the institutional commitment in Board of Trustees Certification No. 128 (2009-2010) of promoting broad participation in the formulation of a new Tuition Exemption Policy. The Board embraced the recommendations and approved the Policy through Certification No. 50 (2011-12). (See Appendix III).
- The University Board approved the proposal for the 2011 Summer Offer Policy presented by its Academic Affairs and Budget committees, which entailed the self-financing of courses through one of the several scenarios considered, to warrant the viability of a summer offering (Certification No. 17 -2010-2011). At UPRA, a total of 32 credit courses and 4 non-credit courses were offered during the 2011 summer session.
- In keeping with the best academic practices and accomplishment of the institution's mission and goals, to promote student leadership and increase active participation, Certification No. 154 (2010-2011) of the Board of Trustees was issued which contains the eligibility criteria and

credentials expected of student leaders elected to their respective student councils. Compliance with this Certification was contemplated in the UPR Action Plan, such that all elected student leaders are required to maintain eligibility criteria, as established in the Student Bylaws, during the length of their terms.

- Faculty and student representatives are responsible for keeping their peers informed of proceedings as well as to relay their input to forums, to ensure back and forth flow of timely and accurate information within each unit as well as from Central Administration to campuses.

As established in the UPR Action Plan (Appendix IV), the Vice-president for Academic Affairs and her staff integrated the Institutional Researchers of the Offices of Planning and Institutional Research (OPIR) throughout the system, to coordinate the design and administration of studies and surveys relating to situations and issues that affect the University Community, and to use these results to improve the institution at the systemic and unit levels. An example of this collaborative work was the administration of a survey in several UPR feeder high schools that reflected a reduction of 17% or more in applicants in the 2011 freshman admissions process, so as to assess their priorities and perceptions (May, 2011). A similar survey was administered to public and private School Counselors for these purposes during a series of workshops offered in collaboration with the Puerto Rico Department of Education. Results of these surveys were crucial in the development and implementation of the UPR System Communication and Recruitment Plan (November, 2011). At UPRA, the Office of Planning and Institutional Research continues to administer on a systematic basis diverse studies to measure satisfaction and assess other needs. Among these are the: Freshmen Student Profile, Graduation Student Exit Survey, surveys to assess the Honors and Internship Programs, and assessment of administrative services by teaching and non-teaching personnel.

**COMMISSION’S REQUIREMENT NO. 4:**

Evidence of further implementation of the UPR Action Plan, including evidence that the action plan is being assessed and data is used for improvements.

Numerous periodic planning and working meetings of the Vice Presidency for Academic Affairs with the Central Administration Think Tank, composed of representatives of the Chancellors and President key staff, the UPR Task Force, composed of the Deans of Academic Affairs and accreditation coordinators of the UPR System, and institutional accreditation unit Committees, have been held in order to implement, monitor, gather outcomes evidence, evaluate and assess accomplishment of goals and objectives in the UPR Action Plan. As demonstrated throughout this Assessment Report (Appendix V), input from all levels and sources and formative evaluation findings have resulted in reviewing and improving actions and activities to better the institution.

The University Board and the Board of Trustees have been kept informed regarding the institutional evaluation process, updates to the UPR Action Plan and progress to date on its implementation and assessment, as well as University constituents at large through the Vice Presidency for Academic Affairs’ link in the UPR webpage. An email address was disseminated to receive feedback from the Community, [plande.accion@upr.edu](mailto:plande.accion@upr.edu).

**Assessment of the UPR Action Plan**

Assessment of the UPR Action Plan includes documenting evidence of the implementation of actions and activities, and indicators of compliance and success of stated goals. Progress reports, data and

supporting documentation have been systematically collected, reviewed and organized in the Second Assessment Report (see Appendix V). The level of progress of the 64 activities in the UPR Action Plan results from the analysis of this Report: 99% of the proposed activities are already in compliance (45) or in progress (18). Meaningful indicators of successful implementation of the UPR Action Plan include:

- 1) Documented progress in critical aspects of the institution, evidenced by reaffirmation of full compliance with the standards under review by the MSCHE within the first 15 months of the 24-month period prescribed for probationary actions (7 of 10 units within the first 10 months and the remaining 3 within the following 5 months).
- 2) No events impacting continuity of UPR's mission have been experienced since the deployment of the UPR Action Plan, which significantly contributed to MSCHE affirmation of compliance.
- 3) An increase in freshman applicants in the order of 32% (as of February 24, 2012, with the admission process still in progress), and a first to second session retention of the order of 94% (the highest rate since 1995-1996), validate an improved institutional climate and effectiveness of the Communication and Recruitment Plan.
- 4) Improved communication with constituents, including the President's meetings with student leadership and campus visits, campus visits by the Board of Trustees, the development of the 2011 Summer Policy and the Tuition Exemption Policy with broad unit participation, and the renewed webpage, among others informed throughout this report.
- 5) Strengthened stability, leadership and institutional climate following the appointment of Dr. Miguel Muñoz as President.
- 6) Ongoing self-assessment by the Board of Trustees that has resulted in: the drafting of an Action Plan for sustained compliance with applicable accreditation standards and expectations, and short and long term priority setting; reviewing their Internal Bylaws, and Conflict of Interest Policy and a strengthened orientation process for new members.
- 7) Effective implementation of measures in compliance with Standard 3 have resulted in the ability to grant faculty promotions; negotiate employee benefits; closing of FY 2010-2011 with zero deficits in all units; and in increased Budget allocations to the Units in FY 2011-2012.
- 8) The final draft of the FY 2011 Financial Statement has already been submitted to the auditors and the Audited Financial Statement is projected to be issued in March 2012.

To assess the activities of UPRA's Action Plan, the Chancellor appointed a Task Force, committed to the continuous improvement of these activities and institutional processes. UPRA's Task Force includes professors, non-teaching personnel, student representatives, members of the Academic Senate and Administrative Board, so as to assure representation of all sectors of the UPRA community. Among other duties, it has offered suggestions on the process of compiling, writing and effectively responding to this Monitoring Report. The implementation and assessment of UPRA's Action Plan (Appendix VI) consists of documenting compliance with the 47 specific activities distributed under six goals. The results of the analyses of the proposed activities demonstrate that 89.4% are already in compliance or in progress. The following lists additional documented institutional outcomes for goals within each standard of excellence, as evidence of the updating of UPRA's Action Plan from September 2010 to February 2012.

#### **Action Plan A. Foster an Enhanced Institutional Climate and Identity**

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



## INSTITUTIONAL IMPROVEMENTS:

Among the actions taken, as part of UPRA's Action Plan, to develop and strengthen the institutional climate and identity, which includes maintaining effective open communication channels with personnel in leadership and governance positions and the university community, are the following:

- Broadened communication delivery channels including, but not limited to, updates of UPRA's web page and other outlets.
- Sustained periodic meetings of the Chancellor and staff with elected leaders to the Student Council and student representative to the University Board.
- The spring and fall faculty meetings were held on March 24, 2011 and October 18, 2011, respectively. The Chancellor reported on the various control measures that the Institution had implemented in an effort to maintain a balanced budget, proposals approved by the federal and state governments, collaborative agreements concerted with various public and private agencies, and special assignation of funds to improve the physical facilities of the Institution, among others.
- Conducted periodic surveys to assess the efficiency of academic, student and administrative services; for example, a survey was administered to non-teaching employees. The data from these surveys are analyzed on a semester basis, and recommendations resulting from these reports are disseminated to the deans, academic chairpersons and advisory boards. An example is the presentation to the Academic Senate of the Freshmen Profile on September 15, 2011. During the present semester, the following are scheduled to be presented to the Senate: UPRA's Graduating Students and Alumni: Effectiveness of the Educational Process; and, Satisfaction and Student Retention, among others.
- The official electronic mail, known as *Cartero el Lobo*, has posted more than 181 communications from September 2010 to the present. From this total, 40 were related to community affairs, and others pertained to administrative and academic issues. Examples of these communications are: academic calendars, letters convoking faculty members to meetings, dates for final examinations and the state of affairs of the current University situation, among others.
- Currently, the re-launching of the Ciber Radio Station, known as UPRAWEB RADIO, is being coordinated by the Tele-radial Communications Department.
- The Institution has also offered training on effective dialogue, and conflict mediation and resolution, among other related topics, to administrators at all levels and staff. The following conference/workshops were offered to all of UPRA's supervisory academic and administrative personnel:
  - ✓ Stress and Conflict Management in Organizations (February 25, 2011)
  - ✓ Sexual Harassment in the Workplace (June 3, 2011)
  - ✓ Psycho-social Aspects of Domestic Violence, Sexual Aggression and Stalking (February 1, 2011)
  - ✓ A Coordinated Response to Gender Violence on Campus (June 10, 2011).
  - ✓ I am With You (October 10, 2011)
  - ✓ Healthy Management of Emotions in the Workplace (November 4, 2011)

- ✓ Videoconference on the Rights of Victims of Gender Violence and Aggressors (November 8, 2011)
- ✓ Coordinated Response Against Violence (November 18, 2011)

### **Action Plan B. Cultivate an Open University Culture**

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

The most recent actions taken by the Institution in this respect include:

- As established in Certification (2010-11-54), all communications were sent and disseminated to the university community through the official website, *Cartero el Lobo*. The communications are classified by topics covered in order to monitor the dissemination of the various issues emitted to the internal and external community.
- Orientations regarding the accreditation processes are part of the topics discussed in the Academic Senate and the Administrative Board meetings. These deliberative bodies have been advised on the need for ongoing and sustainable compliance with accreditation and licensing standards and criteria regarding continuity of academic offerings to maintain eligibility for funding from the Higher Education Opportunity Act (HEOA) and to receive other external funds to advance the institution's mission.
- A mechanism in UPRA's web page, available through the link *Exprésate*, meaning express yourself, has continued to be implemented in which the university community can expose any matters or concerns relating to institutional effectiveness.
- Activities that integrate the internal and external community were offered, such as:
  - ✓ March for a Cause: Breast Cancer and the 6th Pink Knot at UPRA (October 25, 2011)
  - ✓ XXVII Communications Week from March 29 to 31, 2011.
- As part of the measures taken by the Access and Communication Committee, which has met on several occasions (Dec. 3, 2010, January 18 and 26, and February 3, 2011), the priority has been the restructuring of UPRA's Web Page ([www.upra.edu](http://www.upra.edu)). This semester a committee was appointed to assess the Web Page and initiate changes to make it more attractive, accessible, agile, and assure that it responds to the tendencies of the new generation.
- Continued offering short courses through the Division of Continuing Education and Professional Studies (DCEPS), such as, The College Board and EXADEP reviews, among others. These actions are part of Goal 5 of UPRA's Strategic Plan which entails commitment with the sustained continuity of the institutional mission and educational offerings.
- UPRA has also offered socio-cultural activities, such as the Voice Festival which took place on November 16, 2011 (with the participation of over 450 spectators).
- The First Congress on *Retinopatía Diabética* was organized by the Nursing Department and offered to the internal and external community on October 21, 2011.

- The Chancellor issued a Circular Letter through *Cartero El Lobo* guaranteeing both teaching/non-teaching personnel and students of their rights to public expression and assigning a designated area for carrying out their respective activities in accordance with the General Regulations of the UPR and General Student Regulations (September 29, 2011).
- UPRA has continued to build partnerships with state and city governments to improve security on campus and the surrounding community. To ensure integration of the University with its external constituents, the following projects that have a direct impact and/or benefit the surrounding community have been carried out: asphalted the campus road, removed asbestos from affected buildings and improved the Medical Services Office, among others.
- All emergency and security plans were activated to comply with accreditation agencies (for example, the waste disposal management program). Additionally, the Security Protocol (2008) was placed on UPRA's Web page, as were other security alerts, in compliance with established policies.
- The following conference/workshops on security were offered to mid-level management personnel:
  - ✓ Risks Associated to the Handling of Combustible Powders (February 9, 2011)
  - ✓ Security in Handling Explosives (February 11, 2011)
  - ✓ Security Alert Fair (March 29, 2011)
  - ✓ Domestic Violence in the Workplace (March 4, 2011)
  - ✓ Training of First Responder (March 7 – 11, 2011)
  - ✓ Safely Navigating the Internet (March 9, 2011)
  - ✓ Training Guides on Responses to Emergency, 911 Emergency Number and Regulations of the Public Service Commission (March 30, 2011)
  - ✓ Fingerprints (April 15, 2011)
  - ✓ Evaluation of Unit Risks (August 31, 2011)
  - ✓ Training on Protocols to Manage Domestic Violence in the Workplace (December 6, 2011)

Other workshops, offered to students through the Quality of Life Program, include:

- ✓ Kajukembo Security Workshop (August 29, 2011 and April 14, 2011)
- ✓ Workshop on Ciber Stalking (October 14, 2011)
- ✓ Assertiveness for a Better Quality of Life (February 16, 2011)

### **Action Plan C. Revisit and Empower Leadership and Governance at all Levels**

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

## INSTITUTIONAL IMPROVEMENTS:

- Central Administration advised the Chancellor on the roles and responsibilities, the scope and functions of the governance and advisory bodies to solicit and consider relevant input on decision making at the system level.
- The Chancellor attended a Conference/Workshop presented by the President offering a thorough review of the prevailing laws and regulations regarding the roles and responsibilities of all University officials, bodies, leaders and entities that constitute the Leadership and Governance of the University System, in alignment with applicable MSCHE Standards of Excellence, requirements, guidelines and expectations.
- To promote the discussion of relevant topics in the advisory bodies, a culture of assessment has been implemented at UPRA since 2005-06 and an agenda of topics pertaining to institutional issues has been offered to both the Administrative and Academic Boards annually up to the present.
- There is evidence that affirms that the advisory bodies carried out their duties, assigned tasks and responsibilities, thus demonstrating their leadership and achieving continuity of operations. During 2011, the Administrative Board, considered to be the Chancellor's advisory organism, has held ten (10) ordinary and five (5) extraordinary meetings. Examples of agreements reached include:
  - ✓ A new Action Plan for the period 2011-2014 that provides continuity to the Strategic Plan: 2008-2014 was approved by Certification 2011-12-10.
  - ✓ The protocol for the secret electronic voting mechanism for students was discussed and published in *Cartero El Lobo* on October 6, 2011.
  - ✓ To ensure that individuals are more closely aligned with appropriate offices and responsibilities, the revision of the organizational structure was issued in January (Certification 2011-12-34 )
- From January to the present, the Academic Senate has held 13 ordinary and two (2) extraordinary meetings. Examples of certifications that result from a process of assessments and deliberation, support the contention that the Academic Senate complies with the duties and responsibilities inherent to this governing body:
  - ✓ Approve a document for the evaluation of faculty in administrative positions (Certification No. 6-2011-12)
  - ✓ Approve the mission of the Tele-Radial Communications Department (Certification No. 7-2011-12)
  - ✓ Approve the curricular sequence of the Special Education, Pre-School Education and Adapted Physical Education programs (Certification No. 8-2011-12).
  - ✓ The guidelines for evaluating deans and department chairpersons were approved by Certification No. (2010-2011-18) and implemented during the current 2011-12 academic year.
- The following regulations were disseminated on UPRA's Web Page:
  - ✓ UPRA's General Student Council Regulation (2009-10)
  - ✓ UPR General Regulations (2006)
  - ✓ UPR General Student Regulation (2010-11)

- ✓ UPR Law #1 (1966)
- ✓ UPR Code of Student Conduct (February 2010)

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

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

**INSTITUTIONAL IMPROVEMENTS:**

- Obtained financing for priority projects.
- Continued implementation of Control Measures established in Policy Statements.
- Continued developing and implementing cost effective measures in academic offerings while safeguarding the institution’s commitments with students.
- Developed five-year financial projections through updates of Pro-forma budgets provided to demonstrate an ability to generate balanced budgets for FY 2012 through 2016.
- Provided feedback on the effectiveness of the Financial Information Systems Software (UFIS) in providing necessary financial information for budget development.
- Complied with institutional directives regarding strategic planning and budget allocation.

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

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

**INSTITUTIONAL IMPROVEMENTS:**

- Implementation of the Stabilization Fee to secure alternative funding sources.
- Identification and implementation of additional student aid funding and expansion of existing programs to tackle the Stabilization Fee.
- Continued implementing measures for stimulating submission of proposals for external funding.
- Organized fundraising activities to generate additional resources and nurture the Endowment Fund.

**COMMISSION’S REQUIREMENT NO. 5:**  
 Evidence that steps have been taken to assure continuity and stability of institutional leadership, particularly in times of governmental transitions.

Informal transition processes have traditionally existed in the UPR System. Nonetheless, the Board of Trustees is committed to developing a formal systemic transition or succession policy, based on the evaluation of the effectiveness of the search, consulting and transition processes in the University and best practices in other institutions (UPR Action Plan I.C.8).

Chancellor Juan Ramírez-Silva and his staff, continue occupying the positions for which they were designated since May 20, 2010, as evidenced in Certification No. 11 (2010-2011). The Deans of Academic, Administrative and Student Affairs were officially appointed on April 26, 2011 through Certifications Nos. 124, 125 and 126 (2010-2011) also included in Appendix III. The necessary level of continuity and stability in key areas has been maintained so as to assure that the institution can carry out its mission. In compliance with University Law and the Academic Senate Regulations, the composition of

this body continues to be represented by fifteen (15) senators elected by their respective academic departments and four student representatives. During the present academic year, there are three senators that have served in the past as Chancellor and Deans of Academic Affairs. Others have served for more than one term or have been reelected to form part of this deliberative body. The Administrative Board, which is composed of 12 members, also has members with vast administrative experience. It is noteworthy that beginning in July 2011, a professor from this Campus has been named to participate as faculty representative on the Board of Trustees to serve for one year.

**COMMISSION'S REQUIREMENT NO. 6:**

Evidence that communication between the Central Administration and the institution, is clear, timely, accurate, and made available to all constituents.

Articulated system-wide efforts have been developed, implemented and continuously evaluated with campus participation to optimize the flow and exchange of timely and accurate information, broaden opportunities for productive communication and input to all sectors of the University Community, to stimulate a climate of trust, collaboration, commitment and identification with the institution's mission, goals, and challenges. In the framework of this goal, the Vice Presidency for Academic and Student Affairs, in consultation with unit Deans for Academic and Student Affairs developed and implemented a new UPR System Communication and Recruitment Plan. The primary objectives of this Plan include: (1) reaffirm UPR as the leading institution of higher education in Puerto Rico and the Caribbean; and, (2) maintain and strengthen UPR's traditional volume of potential applicants to optimize the selection process. Activities and outcomes indicators are based on data-driven analysis and findings of focal groups with Deans of Academic and Student Affairs, validated surveys administered to high school students, school directors and counselors of feeder schools, institutional data and trends, and the evaluation and assessment of traditional institutional practices. Under the leadership of the Vice Presidency for Academic Affairs, embedded strategies assured active participation of the UPR President and staff, the Central Administration Office of Development and Alumni, Chancellors, Deans for Students Affairs, unit Offices of Planning and Institutional Research, the Admissions Office and Student Financial Assistance Office of the Vice Presidency, as well as unit Admissions and Student Financial Offices, the Puerto Rico Department of Education and the College Access Challenge Grant Program (CACGP). Among activities developed and in progress are the following:

- An Open House held at UPRA for potential applicants was offered on December 6, 2011 in which over 700 students representing 50 schools participated.
- Revamping of the 2012 Freshman Admissions and Academic Offerings Manual, and of the Freshman Admission webpage, including the electronic application and the corresponding tutorial.
- A series of ads and articles in major circulation newspapers, including postcards mailed to high school students that took the College Entrance Examination Board, and Billboard ads strategically located throughout the Island main roads that the AC sponsors.
- Participation of UPRA in the *Encounter of High School Counselors* on November 14, 2011 in which counselors from 36 schools participated.
- Constant updates through email to the Sub Secretary and the Director of Orientation and Counseling of the Department of Education, and School Counselors from public and private schools, about the freshman admissions process, deadlines and related services.

- Workshops offered to school Directors, teachers and counselors on the new electronic transcript migration system between the UPR and the Department of Education, and the electronic freshman application.
- Participation in the organization and training of the UPR System-wide Recruitment Network, which included the training of students who participated in the Orientation offered at the major commercial centers on December 9, 2011. UPRA's Dean of Student Affairs, Associate Dean of Academic Affairs and the Director of Counseling also actively participated in this systemic endeavor.
- Service Booths at Plaza Las Américas Mall in San Juan and Plaza del Caribe Mall in Ponce on December 19 – 23, 2011 and January 16 – 22, 2012, where UPR students assisted high school students in submitting their freshman applications and applying for student aid were cosponsored by owners of the malls, and the College Access Challenge Grant Program, in collaboration with the UPR Central Administration Development and Alumni Office. The number of schools and geographic regions visited was increased. From August to December, 53 schools were visited and those demonstrating greater potential were revisited in January 2012. These efforts resulted in an increase in the number of applicants to UPRA consisting of 1,039 as of February 2012, which represents an increase of 37.8% from the applicants of the past year for the same date.
- Strategies for timely and accurate delivery of institutional information to the internal and external community have also been developed and implemented, including broadening communication delivery channels capitalizing on the diversity of outlets available throughout the UPR system, newspapers, web pages and radio stations.
- Increased UPR / UPRA presence in social networks, such as LinkedIn, Facebook, and Twitter.
- Periodic postings by *Cartero El Lobo and AC* (Central Administration's Electronic Mailman) through the UPR System network, with communications, announcements, press releases, TV, radio and press interventions, to maintain the University Community continuously informed and updated on relevant institutional announcements, events and issues.

**COMMISSION'S REQUIREMENT NO. 7:**

Evidence of further progress in implementing a procedure for the periodic objective assessment of the Board of Trustees.

In order to support an objective periodic assessment of the Board of Trustees in meeting stated objectives and responsibilities, on February 10, 2011 the Vice Presidency for Academic Affairs developed and submitted to the President of the Board a rubric draft based on expectations contained in Characteristics of Excellence in Higher Education Standard 4, Leadership and Governance, and the MSCHE publication, Governing Boards.

On February 25, 2011 an External Consultant with extensive expertise in accreditation and experience as a Governing Board member met with the Board to assist them on refining the assessment rubric according to their particular profile, needs and priorities, and on launching the self-assessment process. Based on the statistical data and critical analysis of the findings with Board members, the External Consultant designed and offered workshops to assist the body in identifying areas of strength and areas in need for improvement. On June, 2011, a working document of the Board's Action Plan 2011-2014 was

produced for sustained compliance with applicable accreditation standards and expectations (Appendix IV).

As a result of this process, among others, the Internal Bylaws of the Board were updated and approved, and its orientation process for new members strengthened. In addition, its Conflict Interest Policy is currently under review, including validating its compliance with recently established public policy applicable to governmental corporations and public entities. On November 23, 2011 further analysis of assessment findings and discussion of areas contemplated in the plan were performed in order to define short and long term priorities.

In September 2011 the previous President of the Board, Ygrí Rivera, Squire, and three appointed members of the Board completed their terms as established by Law. New members were appointed by the Governor, and a new President, Luis Berríos Amadeo, Esquire, who has been serving as Board member since June 2010, was elected by his peers. The new President is fully committed with the continuity of the self-assessment and planning process in progress and with actively involving the newly appointed reagents. To support the institutional commitment with an Open University Culture, strengthening communication and evidencing transparency in the assessment process embedded in the UPR Action Plan, President Berríos has led visits to the units to listen and consider ideas and concerns from the University Community.

On November 2, 2011, the Board of Trustees, after a very detailed consideration of its current Internal Regulations, approved in principle all articles in its new Internal Regulations. That same day, the Board charged its Committee on Law and Regulations to further review the provisions dealing with its policy on conflict of interest in light of the amendments being made to the Government Ethics Law by the PR Legislative Assembly.

As result of this process, among others, the Internal Bylaws of the Board were updated and approved, and its orientation process for new members strengthened. In addition, its Conflict of Interest Policy is currently under review, including validating its compliance with recently established public policy applicable to governmental corporations and public entities. On November 23, 2011 further analysis of assessment findings and discussion of areas contemplated in the plan were performed in order to define short and long term priorities.

### **III. CONCLUSION**

Since 1975, the University of Puerto Rico at Arecibo has embraced accreditation as its leading credential to validate and strengthen the quality and integrity of its endeavors relative to internationally recognized standards of excellence, and to prove itself worthy of public confidence and support.

The Monitoring Report presents a series of actions and activities that the Institution undertook to sustain compliance with standards 3 and 4. As regards Standard 4, to strengthen governance and leadership, the guidelines for evaluating the chancellor, deans and department chairs were completed; the orientations offered to personnel in governance and leadership positions were restructured so as to ensure that all issues pertaining to their respective functions are covered; and, assessment instruments were developed and implemented to evaluate the effectiveness of key personnel exercising leadership and governance roles. The Institution also worked towards developing a policy to deal effectively with changes in leadership and establishing a plan to achieve a seamless transition. Finally, it dealt with the issue of clarifying the roles, functions, and responsibilities of the General Student Council and promoting diverse student participation. It is expected that the completion of the UPRA's Student Manual will serve this purpose.



In addressing Standard 3, UPRA reiterates its commitment to securing economic stability for the continuity and effective accomplishment of institutional mission and goals, including maintaining excellence in all academic activities. UPRA has made great strides in maximizing the available resources, while at the same time meeting the goals and objectives of the strategic plan for the benefit of our institution and the community it serves. It has made extraordinary efforts to achieve reductions in areas not affecting academia, specifically by analyzing and redistributing existing funds in alignment with institutional and academic planning. All measures and policies proposed will undergo strict scrutiny and continuous assessment. They will be subject to modifications as their efficacy is evaluated during the implementation stages. Furthermore, the external resources and fundraising infrastructure will continue to be monitored to better articulate and generate revenue production in addition to diversifying and broadening funding. Concerted efforts will be made by the institution to diversify and broaden sources of additional funding.

UPRA continuously promotes an institutional climate of mutual respect and collaboration among all constituents. At the executive level, the chancellor continually holds meetings with deans to discuss issues concerning the Institution and the System. The main issues are taken up to the deliberative bodies that serve an advisory function in the decision-making process. This opens up opportunities to promote the participation of faculty and student representatives. The main decisions approved by certifications are discussed in departmental meetings and advisory committees. The Academic Senate informs students about its decisions and activities through the General Student Council (GSC). In other cases, official and internal communications are channeled through publications on the web, radio, newspapers, surveys, and electronic mail.

The Institution is dedicated to maintaining its academic offerings, sustaining its current enrollment rates and increasing its graduation rates. The actions proposed in the Monitoring Report are sustainable because demand and enrollment in most of the institution's academic program offerings are growing. The institution's excellence is widely recognized as evidenced by the increasing number of high school graduates that apply to study on our campus. To further strengthen the institution, ongoing assessment initiatives to address and evidence student learning outcomes will continue as planned.

Evidence to sustain assertions contained in this Monitoring Report, including all certifications / communications issued, documents prepared and meetings held, will be made available to the MSCHE upon request.