

Office of the Provost Self-Study

April 2013

Executive Summary

Overview

The Office of the Provost Self-Study responds to the questions outlined in the University of Iowa *Operations Manual* [II.28.4\(f\)](#) (Reviews of Central Administration – Self-Study procedures) by describing the mission and responsibilities of the Office of the Provost, how the provost and his staff establish goals and priorities that promote the goals of the larger University, how staffing and resource allocation decisions support those goals, and how the office evaluates its effectiveness.

I. Scope

This evaluation focuses on the administrative component of the Office of the Provost (Org 02, departments 0100 and 0105 per the UI *Accounting Code Manual*).

II. Staff, Organization, and Budget

Section I includes links to Office of the Provost organizational charts (appendices [A/B/C/D](#)), a staff roster ([appendix E](#)), and tables illustrating 10-year staff FTE trends (appendices [F](#) and [G](#)). It also describes the Office's budget (internal operations, institution-wide costs, and pooled resources distributed to colleges and other units). Appendices [H](#) and [I](#) highlight the Office's most recent 10-year expenditure trend.

III. Responsibilities and Mission

Section II describes the Office's mission and the responsibilities of its staff members, which broadly include the provost's leadership as chief academic officer; communication with internal and external constituencies regarding the university's academic mission; management of resources in support of the academic mission; faculty appointment, review, and development; academic program review and assessment and university accreditation; and information management. This section also describes the close relationship between the priorities of the Office of the Provost and the strategic plans of the university and the Board of Regents, State of Iowa.

IV. Selected Organization and Management Changes

Over the past several years, the Office of the Provost has made a number of substantive organizational and administrative changes in response to changes in the environment (*e.g.*, financial stresses), to increase efficiency and to advance more effectively the developing strategic priorities of the university and the Board of Regents. Several of these changes are summarized in section III, with a brief description of the rationale for each decision.

V. Selected Recent Activities and Accomplishments

Section IV highlights some of the Office of the Provost's recent activities and major accomplishments over approximately the past two years, grouped in broad categories including student success, faculty administration and development, statewide engagement, communication, efficiency and process improvements, and hiring.

VI. Setting Priorities and Evaluating Effectiveness

Section V describes how the Office assesses its effectiveness and sets priorities annually, and notes the oversight role of the Board of Regents. This section addresses some key areas the Office has identified for improvement (briefly: communication, transparency, and efficiency), and lists several specific strategic initiatives that are currently under way (or are planned for the near future) in order to strengthen those areas and continue to advance the goals of the strategic plan.

Office of the Provost Self-Study

April 2013

I. Scope

This self-study focuses on the operations of the central administrative component of the Office of the Provost (Org 02, departments 0100 and 0105 per the UI [Accounting Code Manual](#)). These functions include the responsibilities of the provost; the associate provost for undergraduate education; the associate provost for faculty and his staff, the Faculty Human Resources (HR) and Development Team; and the associate vice president and director of administration and his staff, the Information and Resource Management group.

Within this document, “subordinate administrative units” (sub-units) of the Office of the Provost are defined as the Faculty HR and Development Team and the Information and Resource Management group.

The scope of this evaluation does not include the several large, distinct organizations that report to the Office of the Provost, as described in Section I and illustrated by the Office of the Provost organizational charts (appendices [A](#) and [B](#)). These units have their own budgets and most are subject to separate review as outlined in section [II.28.2](#) of the Operations Manual.

II. Staff, Organization, and Budget

Office Staff

Appendices [A/B/C/D](#) are the Office of the Provost organizational chart, an org chart for the associate provost for undergraduate education, and org charts for the Office's two (for purposes of this review) "subordinate administrative units" (Faculty HR and Development and Information and Resource Management).

[Appendix E](#) lists Office of the Provost (Org 02, departments 0100 and 0105) staff members and their current salaries, as requested in the *Operations Manual* [II.28.4\(f\)](#).

Appendices [F](#) and [G](#) highlight the most recent 10-year staff FTE trend in the Office of the Provost by all sources of support (F) and by the General Education Fund (G). These two tables show that the number of staff FTE in the Office of the Provost has declined over the past decade. This decline may reflect efficiency efforts but is also likely due to changes in administrative responsibilities over time (some of which are described in section III). Section II of this document provides a description of current office and staff responsibilities.

Office Budget

Appendices [H](#) and [I](#) highlight the most recent 10-year expenditure trend in Office of the Provost accounts 0100 and 0105 by all sources of support (H) and within the General Education Fund (I). [Appendix J](#) highlights the FY 2013 Office of the Provost General Education Fund budget by budget category in accounts 0100 and 0105.

As is the case with staffing trends, expenditure trends are influenced by many factors, including changes in administrative responsibilities, changes in accounting philosophies (*e.g.* where expenses are posted), changes in staffing levels, the impact of university-wide salary policies, the impact of university-wide fringe benefit changes, and the impact of cyclical equipment purchases (the majority of which are now posted under the General Expense/Other column in the appendices).

A review of the Office of the Provost's budget categories illustrates that some of the funds managed by the Office of the Provost support internal operations, some support institution-wide costs (association dues), and some are pooled resources that the Office of the Provost distributes to colleges and other units (Enrollment Management & Student Success). Within Org 02 (Office of the Provost), internal operations are budgeted in department 0105 and institution-wide and pooled resources in department 0100.

III. Responsibilities and Mission

Mission Statement

The Office of the Provost provides academic leadership to the University. Its fundamental mission is to champion innovation and excellence in teaching, research, creative production, and service.

Responsibilities Overview

Chief Academic Officer

The [executive vice president and provost](#) is the chief academic officer of the University of Iowa. Reporting directly to the president, the provost is responsible for the supervision of all academic programs; academic promotion and tenure decisions; strategic academic planning; and supervision of student academic affairs. The provost advocates for the faculty in pursuing their teaching, research, and service missions, and works with the colleges to recruit, retain, and provide development opportunities for a distinguished, research-active community of faculty. The provost works with the president, the vice presidents, collegiate deans, faculty, and student leadership to maintain and improve the quality of undergraduate, graduate, and professional education programs.

The deans of the University's eleven colleges report to the provost, as do the deans of [University College](#), [Continuing Education](#), and [International Programs](#), along with the [university librarian](#) and the director of the [Museum of Art](#). The [chief information officer](#) reports jointly to the provost and senior vice president for finance and operations, and the [chief diversity officer](#) reports jointly to the provost and the president. The director of the [Institute for Clinical and Translational Science](#), like the dean of the Carver College of Medicine, reports jointly to the provost and vice president for medical affairs.

The provost is a principal participant in collaborative decision-making involving university-wide strategic planning and budget development, management of auxiliary enterprises, health care services, and the conduct of research and scholarship.

Communication

The provost must effectively communicate the University's priorities and direction and charge those who reside in or report to the Office of the Provost with their responsibilities for advancing the university's mission and achieving its aspirations. He keeps faculty apprised of university priorities, initiatives, and accomplishments through regular meetings with faculty groups and representatives, including a monthly meeting with Faculty Senate Officers; meets twice monthly with the Council of Deans and shares additional information with them through a monthly e-mail communication; meets twice monthly with the President's Cabinet and with the associate provosts, and monthly with the Health Sciences Policy Council, the Staff Council Executive Committee, the Joint Development Council, the Legislative Group, and student leaders; and holds monthly one-on-one meetings with deans and other direct reports.

The associate provosts and associate vice president and director of administration and planning also hold regular meetings with various campus constituencies, and Office of the Provost staff sit on campus-wide committees and work directly with departmental administrators. The associate provost for faculty, for example, convenes meetings of several stakeholder groups, including the associate deans for faculty, the Faculty HR Representatives Council, and the Academic and Professional Record Leadership Council. On a quarterly basis,

members of the Faculty HR and Development Team meet with staff from the Office of the Vice President for Human Resources to coordinate HR-related projects and functions for staff and faculty. The associate provost for faculty or his staff serve on more than 50 campus-wide committees.

The provost represents the University of Iowa’s academic enterprise to audiences across the state and beyond, including alumni and donors as well as state and federal governmental leaders. He joins or represents the president at numerous UI Foundation-sponsored outreach events throughout the academic year, and has a central role in developing case statements for the university’s academic priorities. The provost works with national higher education leaders to develop issues and policies pertaining to higher education in general and research institutions specifically. When requested to do so by the president, the provost serves as an advocate for the university with the Governor, state legislators, and with Iowa’s congressional delegation. He meets annually with national counterparts, assuming leadership roles in organizations including the Committee on Institutional Cooperation, the National Association of State Universities and Land-Grant Colleges’ Council on Academic Affairs, the Association of American Universities, and others.

[Appendix K](#) is an example of a presentation the provost has given to civic groups throughout Iowa. The provost’s message to these groups in 2012-13 focuses on the fourth “pillar” of the strategic plan, Better Futures for Iowans.

Board of Regents, State of Iowa

The provost assumes primary responsibility for communicating with the [Board of Regents, State of Iowa](#) regarding all academic matters. He advocates for the University’s academic requests to the Board, including requests to create, eliminate, or modify departments, degree programs, and centers; enact administrative reorganizations; and appoint deans and directors. The Office of the Provost collects, analyzes, and reports to the Board a wide range of institutional data, having to do with financial matters, faculty appointments, faculty activities, enrollment management, peer comparisons, etc. The provost and the senior vice president for finance and operations share primary responsibility for preparing and communicating with the Board about tuition and academic fee requests, and the provost shares with the president and other vice presidents responsibility for advocating for the University’s other administrative requests. Provost Butler currently chairs the [Council of Provosts](#).

Regularly scheduled governance reports that the Office of the Provost is responsible for (or shares primary responsibility for) submitting to the Board on an annual or biennial basis include:

Students	Faculty
<ul style="list-style-type: none"> ▪ Enrollment ▪ Graduation and retention ▪ Student financial aid ▪ Tuition and fees ▪ Distance education ▪ Diversity ▪ Residence system 	<ul style="list-style-type: none"> ▪ Faculty activities ▪ Tenure, promotions, and tenure actions ▪ Comprehensive human resources report (salaries and benefits, salary comparisons, resignation and retirement) ▪ Professional development assignments ▪ Diversity

Programs	Planning
<ul style="list-style-type: none"> ▪ Academic program review ▪ Student outcomes assessment ▪ Accreditation ▪ Establishment/termination/changes to programs 	<ul style="list-style-type: none"> ▪ University strategic plan approval ▪ Annual progress reports ▪ Tuition and academic fee requests ▪ Capital planning

[Appendix L](#) is a table of reports (scheduled governance reports and *ad hoc* items) considered by the Board of Regents, State of Iowa, since 2000 (it does not include items specific only to one of the other Regent institutions, for example the approval of a new degree program at Iowa State University).

Resource Management

As a partner with the vice president for finance and operations in developing the university's annual budget request to the Board of Regents, the provost advocates for the needs of the academic enterprise throughout the budget process, and ensures that budget requests align with the priorities of the strategic plan. The Office of the Provost is guided by strategic planning priorities when allocating funds to academic units. The table below highlights the connection between resource allocations and strategic priorities.

[Appendix M](#) is an example of a recent presentation by President Sally Mason to the Governor regarding the university's FY 2014 appropriations request. The provost prepared the initial drafts of this presentation for President Mason's review. This is one example of the provost's integral involvement in efforts to communicate the university's academic priorities to state and other agencies.

FY 2013 Application of Revenue Changes and Reallocation General Education Fund (GEF) University of Iowa

STRATEGIC INITIATIVES	Incremental Revenue Applied	Reallocations	Revenues and Reallocations
Access and Enrollment Growth	\$3,354,000	\$0	\$3,354,000
Undergraduate Student Success	\$7,499,000	\$1,009,000	\$8,508,000
Graduate and Professional Student Success	\$2,228,000	\$280,000	\$2,508,000
Scholarly Inquiry and Creative Work	\$1,068,000	\$0	\$1,068,000
Arts Synergies	\$800,000	\$0	\$800,000
Internationalization and Diversity	\$180,000	\$0	\$180,000
Total Strategic Initiatives	\$15,129,000	\$1,289,000	\$16,418,000

OTHER COST INCREASES	Incremental Revenue Applied	Reallocations	Revenues and Reallocations
Support for Strategic Priorities	\$9,098,000	\$1,379,000	\$10,477,000

TOTAL STRATEGIC AND SUPPORT COST INCREASES	\$24,227,000	\$2,668,000	\$26,895,000
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In FY13, in addition to GEF allocations the Office of the Provost utilized \$1 million in the Division of Continuing Education fund balances to support or expand efforts in outreach and engagement.

In leading the effort to identify academic budget priorities, the provost holds numerous meetings throughout the year with central administrators; collegiate and organizational leaders; faculty and staff governance leaders; student government leaders; the faculty and staff budget committee; individual faculty, staff, and students; alumni; legislators; and interested citizens of the state of Iowa. The final budget allocation and reallocation decisions shown in the table above reflect the priorities that surface as a result of these interactions. [Appendix N](#) summarizes the outcomes of the university's budget process for fiscal years 2006 through 2012.

The Office of the Provost is integrally involved in helping to secure an appropriate physical infrastructure for the academic enterprise. The Office works closely with academic units to understand and prioritize space and equipment needs, and represents these needs to the university's administration, the Board of Regents, and state government. The provost is a key partner in the development of strategic plans for investment in facilities, such as the university's five-year capital plan ([appendix O](#)). He ensures that teaching, research, and service priorities are taken into account in all discussions about new or renovated facilities. The associate provost for faculty serves on the Capital Projects Review Committee.

[Appendix P](#) is a list of capital projects that are currently under way or in the planning stages. [Appendix Q](#) lists recently completed and ongoing projects with an estimated construction cost greater than \$100,000, many of which are academic facilities supported by the General Education Fund.

The associate provost for undergraduate education has a significant responsibility for the effort to ensure efficient use of general assignment classrooms. She also oversees the university's strategic effort to create more effective learning spaces, such as [TILE](#) (Transform. Interact. Learn. Engage.) classrooms and [learning commons](#) spaces. She sits on the Learning Spaces Executive and Advisory Committees, the Classroom Scheduling Committee, and the Learning Commons Committee.

Delegation of Responsibilities

The provost delegates some responsibilities of the Office of the Provost to the associate provosts for faculty, graduate education, undergraduate education, continuing education, and international programs; the chief diversity officer and associate vice president; and the associate vice president and director of administration and planning. The Office of the Provost organizational chart ([appendix A](#)) illustrates the staff organization of the Office.

As noted above, **this self-study focuses on the functions that are contained entirely within the Office of the Provost budget**, which includes the responsibilities of the provost; selected responsibilities of the associate provost for undergraduate education; the associate provost for faculty and his staff, the Faculty HR and Development Team; and the associate vice president and director of administration and planning and his staff, the Information and Resource Management group. Org charts are appended for the two sub-units (Faculty HR and Development and Information and Resource Management) as well as for the AP for undergraduate education (appendices [B/C/D](#)).

Additional information: List of units that report to the Office of the Provost ([appendix R](#)); contacts by area of responsibility ([appendix S](#)).

Selected Responsibilities by Individual

Provost	Associate Provost for Undergraduate Education
<ul style="list-style-type: none"> ▪ Chief academic officer ▪ Presidential advisor on all academic matters ▪ Strategic planning ▪ Tenure and promotion ▪ Diversity efforts ▪ University administrative and budget policies ▪ Communication with faculty ▪ Appoint and provide leadership to collegiate deans, university librarian, Museum of Art director, chief information officer (in conjunction with the senior VP for finance and operations), chief diversity officer (in conjunction with the president), director of Institute for Clinical and Translational Science, and associate provosts 	<ul style="list-style-type: none"> ▪ Statewide & university committees ▪ Program review, assessment, and university accreditation ▪ Facilities (classrooms and learning spaces) ▪ Executive sponsor of MAUI ▪ <i>[not part of the scope of this review]</i> <ul style="list-style-type: none"> ○ Enrollment management <ul style="list-style-type: none"> ▪ Admissions ▪ Career Center ▪ Evaluation and Examination Service ▪ Financial Aid ▪ Registrar ○ Academics <ul style="list-style-type: none"> ▪ Academic Advising Center ▪ Center for Teaching ▪ Department reviews ▪ Honors ▪ First-year programs ▪ University College ▪ Athletic Academic Services
Associate Provost for Faculty	Associate Vice President and Director of Administration and Planning
<ul style="list-style-type: none"> ▪ Faculty recruitment and appointments; faculty retention ▪ Faculty reviews (annual, tenure and promotion, post-tenure) ▪ Faculty policies ▪ Faculty education and development programs ▪ Dean and collegiate reviews ▪ Cluster hire initiative ▪ Administrative leadership programs ▪ Faculty grievances ▪ Faculty resignations and retirements ▪ Direct the Faculty HR and Development Team. For information about unit responsibilities see <ul style="list-style-type: none"> ○ “Who Does What” (appendix T) ○ Faculty HR and Development accomplishments, March 2011 (appendix U) 	<ul style="list-style-type: none"> ▪ Budget development ▪ Budget and financial analyses ▪ Account management ▪ Data management and analyses ▪ Administrative systems development ▪ Strategic planning ▪ Report writing ▪ Space planning (serve on the Space Committee) ▪ Direct the Information and Resource Management (IRM). ▪ For information about unit responsibilities see <ul style="list-style-type: none"> ○ IRM overview, December 2010 (appendix V)

Relationship of Office of the Provost Responsibilities to University and State Priorities

The provost provides leadership for strategic academic planning at the University of Iowa, and has a primary responsibility for implementing the strategies for advancement that are identified in the university’s strategic

plan. In its capacity as steward of the University's academic mission, the Office of the Provost supports the activities of the colleges and other academic and student service units, evaluates progress in achieving the university's strategic planning goals, and allocates resources to in support of those goals. The university's plan effectively is the strategic plan for the Office of the Provost.

In 2009, then-UI provost Wallace D. Loh appointed six task forces—composed of faculty and staff—with the overarching charge to offer ideas and recommendations to shape the academic direction of the University, bearing in mind changing economic, demographic, and technological realities. The task forces submitted their final reports ([appendix W](#)) in February 2010. These reports, along with the campus feedback received during and after the task forces finished their work, informed the development of the UI strategic plan for 2010 to 2016, *Renewing The Iowa Promise* ([appendix X](#)). Faculty and staff therefore played a significant role in establishing academic priorities for the university (and thus for the Office of the Provost).

University strategic plans must be approved by the Board of Regents (BoR), State of Iowa, and must be appropriately aligned with the Board's strategic plan ([appendix Y](#)). The University reports to the Board annually ([appendix Z](#), October 2012 Board of Regents agenda, see item number 16) on progress toward the goals outlined in its plans, and also on a series of common academic indicators ([appendix AA](#)) established by the Board for all three Regent universities.

IV. Selected Organization and Management Changes

Over the past several years, the Office of the Provost has made a number of substantive organizational and administrative changes in response to changes in the environment (*e.g.*, financial stresses), to increase efficiency and/or more effectively advance the developing strategic priorities of the university and the Board of Regents. Several of these changes are summarized below, with a brief description of the rationale for each decision.

Associate Provost for Academic Administration

The position of associate provost for academic administration was eliminated in 2009, and the associated responsibilities were reassigned to other associate provosts. This decision was made in the interest of efficiency.

Career Center

In 2010 administrative oversight of the Pomerantz Career Center moved from the Tippie College of Business to the Office of the Provost. In accordance with the university's strategic plan and ongoing student success initiatives, the Office aimed to broaden the Center's scope and enable all University of Iowa undergraduates to take advantage of the excellent career exploration, preparation, and placement services the Center offers.

Center for Human Rights

The UI Center for Human Rights, currently housed in International Programs in the Office of the Provost, will move to a new administrative home in the College of Law effective July 1, 2013. The new reporting structure will give the center a strong administrative support system, anchored in a college with a long history of scholarly work in human rights. The center had faced an uncertain future over the past several years due to funding constraints. The new administrative model is the results of many months of productive collaboration.

Chicago Center

After a three-year pilot program that began in December 2006, the Office of the Provost closed the Chicago Center, which had provided a physical presence for the University in the Chicago area. While the center had accomplished much of what had been hoped, evaluation of the pilot program suggested that maintenance of a physical presence in the area had not added enough value to justify continuing in the face of budget constraints. The university invested instead in a regional coordinator for recruitment and admissions.

Community-Based Learning Program

In 2009 the Community-Based Learning Program (then the Civic Engagement Program), jointly administered by the Office of the Provost and the Office of the Vice President for Student Services and previously housed in the Iowa Memorial Union, was moved to the Pomerantz Career Center as a way to incorporate volunteerism into the career development progress of UI students. The partnership with the Career Center gives the program more visibility on campus, and encourages students to think about engagement as a way to further their academic and career goals.

Dean Searches

In 2006 a new procedure for conducting dean searches was implemented, calling for a sitting dean to chair the search committee. Each search since has benefitted from being led by someone who is intimately familiar with the kinds of skills, qualities, and experience needed for success in a UI deanship.

Debate

The A. Craig Debate Forum was moved from the Division of Continuing Education to the associate provost for undergraduate education. This move more closely aligned the program with the university's undergraduate mission.

Dual Career Network

Earlier this year the Dual Career Network (DCN), which assists the accompanying partners of new, permanent faculty/staff in seeking employment, transitioned to a new reporting relationship with the Pomerantz Career Center. The DCN previously reported to the associate provost for faculty. The purpose of the move was to allow the DCN and its clients to take better advantage of the rich resources the Career Center has developed over the past ten years. In turn, the DCN staff will bring to the Career Center their expertise as career coaches for individuals older than traditional college age, enhancing the Center's ability to serve alumni, veterans, and other non-traditional students.

Graduate Tuition Support

In Fiscal Year 2013, the Office of the Provost allocated General Fund COGS scholarship funding on a recurring basis to colleges and other org units. Prior to 2013, the Graduate College paid for qualifying scholarships from a central budget pool. This decision reflected that a) the scholarship had grown to cover 100% of tuition costs (the university reached its goal in growing its support for this important initiative) and b) the Graduate College COGS scholarship budget pool was in deficit each year as org units appointed a growing number of graduate assistants. Making recurring budget allocations to the org units allowed the Office of the Provost to enlist their support in managing General Fund scholarship costs.

International Programs

As part of a comprehensive reorganization, a new reporting structure was developed for International Programs (IP). Effective February 1st, 2012, the former associate dean in the Division of Continuing Education stepped into the new position of assistant provost of IP, reporting to the dean and associate provost of IP. This position has strategic and operational responsibility for all areas of IP, including study abroad programs, international student and scholar services, financial and HR functions, and communications and outreach. Previously, these areas were overseen by individuals in two separate assistant dean positions. The purpose of the reorganization was to strengthen lines of communication and leadership within the organization and between IP and other units, in order to recognize the increased priority of UI's global footprint and strengthen the university's ability to support the international activities of UI faculty, staff and students.

University College

In 2005, University College was created as a new organizational unit in the University's accounting system to house the credit-generating units and programs managed by the associate provost for undergraduate education (first-year transition courses, Career Center programs, study abroad, etc.). Shortly thereafter, administration of the Honors Program and the aerospace military studies and military science programs shifted from the College of Liberal Arts and Sciences to the University College. The new organizational unit allowed for separation of the administrative and academic functions of units within the Office of the Provost and provided an academic location for cross-collegiate programs and certificates. University College now also provides a home for the Bachelor of Applied Science degree, a degree-completion program available to students who have completed an A.A. or A.A.S degree at a community college.

V. Selected Recent Activities and Accomplishments

Highlighted below are some of the Office of the Provost's recent activities and major accomplishments over approximately the past two years, grouped within several categories. (See also [appendix Z](#), the latest strategic plan progress report.) Details about these activities and accomplishments are available upon request.

Student Success

- Access and Enrollment Growth
 - Recruitment efforts focused on Iowans: Iowa Scholars Award, territory management system, increase in face-to-face activities
 - Admissions enhancements—including centralization of international recruiting, two-day turnaround on admissions decisions, MAUI management of event planning and student contacts
- Improved Retention
 - Early intervention through MAP-works and care team approach
 - Major investments in On Iowa! immersion program
 - Expanding no cost tutoring for students in critical “gateway courses” and academic skills workshops
 - Expanded supplemental instruction for at-risk students
 - Full implementation of ALEKs to ensure appropriate placement of students in math coursework
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- Increased Students' Academic Engagement / Improved Graduation Rates
 - Enhanced academic components to living-learning communities
 - TILE (Transform. Interact. Learn. Engage.) classrooms/learning commons spaces
 - Increased funding over past three years to Iowa Center for Research by Undergraduates (ICRU)
 - Eliminated barriers to timely graduation, including better final exam schedule, electronic add/drops, reduced use of registration holds
 - 4- and 6-year graduation rates remain close to record levels
- Student Success Initiative Funding
 - Competitive proposal process, \$1M allocated to support student success initiatives
 - All proposals have assessment plans; results of assessment will be used to expand or contract programs as appropriate

Faculty Administration and Development

- Worked collaboratively with Shared Governance to develop/revise faculty-related policies, including: Extra Compensation for Teaching Academic Courses, Fixed-term Faculty, Lecturers, Named Visiting Faculty, Conflicts of Commitment and Interest, Extensions, Review of Tenured Faculty Members, Faculty Grievance Procedures
- Implementation of the Academic & Professional Record (APR) project to establish an online database of faculty activities
- Associate Provost for Faculty and Chief Diversity Office co-sponsored an Institutional Membership in the [National Center for Faculty Development and Diversity](#), to facilitate enhanced faculty development offerings to faculty at all career stages
- Implemented new Post-Tenure Review policy
- Redesigned and implemented survey for biennial Faculty Activity Report to the Board of Regents

Statewide Engagement

- Degree completion programs with 13/15 Iowa community colleges
- New online BBA, BA in social work in Des Moines
- STEM engagement – participation in Iowa Governor’s STEM Advisory Council, partnership with Kirkwood Community College
- Engaged scholarship: three years of start-up funding for the Digital Studio for the Public Humanities (a campus-wide initiative to encourage and support public digital humanities research and scholarship by faculty, staff, and students—including but not limited to those involved in the Digital Public Humanities interdisciplinary faculty cluster)
- Pollock mural exhibition at the Des Moines Art Center: 34,000 visitors
- Carnegie Foundation “Community Engagement” classification: individual identified to lead the process of preparing the university’s application, due 2015

Communication

- Initiated monthly e-mail communication to deans
- Provost launched series of Rotary talks across the state
 - 2011-12 message: UI Cluster Hire Initiative (Meeting Grand Challenges)
 - 2012-13 message: Engagement (Better Futures for Iowans)
- Associate Provost for Faculty convened multiple stakeholder groups to facilitate communication and collaboration, including: Associate Deans for Faculty, Faculty HR Representatives, Provost Office/VP Human Resources Quarterly Planning meetings
- Worked with ITS to update University College web site
- Launched effort with ITS to update Office of the provost web site

Efficiency and Process Improvements

- Four degree programs closed; additional programs realigned for efficiency and synergies
- Reorganized Faculty HR functions within the Office of the Provost
- Developed online applications for several faculty processes including: Faculty Reviews, Career Development Awards, electronic submission of promotion/tenure records
- Increased communication and coordination among the Associate Provosts for Faculty within the three Regents institutions. Recent coordinated projects include: revised Faculty Activities Survey, coordination among Conflicts of Commitment/Interest policies, possible implementation of APR on each campus

Hiring

- Since 2011: new deans appointed in the Colleges of Business, Education, Engineering, Liberal Arts and Sciences, and Medicine
- Cluster Hiring Initiative: 5 active clusters, 50 lines allocated, 30 hired

VI. Setting Priorities and Evaluating Effectiveness

Each year, the provost reviews the university's progress toward its strategic academic goals, assesses changes in the environment, and prioritizes specific initiatives to help move the strategic plan forward in the year to come. This annual planning process involves input from the associate provosts, collegiate deans, and others. [Appendix BB](#) is an example of the provost's three-page summary of this annual assessment and planning effort.

In addition to reporting to the Board of Regents each fall ([appendix Z](#)), the provost shares an update on progress toward strategic goals ([appendix CC](#)) with the university community.

Evaluation of Sub-Units and Programs

Both of the Office's "subordinate administrative units" as defined above have been reviewed within the past two years, using a streamlined process facilitated by a dedicated staff member assigned at the time to the Office of the Provost. Both reviews were very positive with regard to the quality of service provided by staff in these units.

The staff member also oversaw a streamlined review of the Honors Program, which reports to the Office of the Provost through the associate provost for undergraduate education (see [appendix B](#)). Additional reviews were planned but did not proceed following the departure of the staff member who had been heading the effort. In FY 2014 the Office plans to review the University College and the Bachelor of Applied Studies (B.A.S.) degree program.

Oversight by the Board of Regents

The provost assumes primary responsibility for communicating with the Board of Regents regarding all academic matters. This responsibility requires coordinating the submission of annual governance reports to the Board of Regents, State of Iowa on topics such as strategic planning progress, academic program review and student outcomes assessment, faculty activity and workload, promotion and tenure actions, faculty consulting activities, faculty salaries, phased and early retirements, faculty resignations, operation of tenure policies, requests for and reports on professional developmental assignments, international linkages, course changes, diversity programs, and student enrollment. The provost shares with the vice presidents the responsibility for preparing and submitting many other annual reports to the Board of Regents, including budget requests and adjustments. The provost advocates for all of the University's academic requests to the Board of Regents, including requests to create, eliminate, or modify departments, degree programs, or centers; enact administrative reorganizations; and appoint deans and directors.

The Board's acceptance or approval of these reports (or lack thereof) constitutes a de facto review of the university's academic activities under the provost's leadership. (See [appendix L](#), table of Regents reports.)

Evaluation of Provost and Associate Provosts

The provost undergoes annual performance evaluation with the president, and in turn annually evaluates the associate provosts as well as the deans and directors that report to him.

Commitment to Strengthen Key Areas

The Office has identified the following as key areas that we are committed to strengthen, across the broad range of our activities:

- Clear and concise communication regarding strategic direction of the Office
- Transparency in allocation of resources
- Sharing of institutional data and information
- Continued improvement in efficiency of faculty administration processes

As we look toward the future and continue to identify strategic initiatives that will advance the goals of the Office and of the strategic plan, we will also be guided by that commitment.

Strategies for Improvement: Selected Current or Near-Term Initiatives

Below is a list of selected initiatives that are already under way or are planned for the near future.

- Participate in the capital campaign (note: indicators of progress toward the goals of the strategic plan include: As part of the University's current comprehensive campaign, through July 1, 2016, raise
 - \$200 million in private gifts in support of student success [scholarships, graduate fellowships, study abroad scholarships, etc.]
 - \$200 million in private gifts in support of faculty excellence [chairs, professorships, visiting fellows, professional development].)
- Public engagement:
 - Develop an Office of Public Engagement
 - Apply for the Carnegie Community Engagement Classification
 - Integrate public engagement fields into the Academic and Professional Record (APR) database
- Develop vision and implementation guidelines for online education, including MOOCs
- Establish a leadership training program for deans
- Complete the rollout of MAUI and begin on version 2
- Enhance centralized leadership of the APR project
- Enhance faculty development program offerings, including the development of an "orientation" session for newly promoted associate professors and additional programming made possible through the National Center for Faculty Development and Diversity institutional membership
- Work with Information Technology Services (ITS) to enhance staff capacity to develop IT solutions for various academic functions, including APR
- Update the Office of the Provost web site to enhance communication and transparency
- Review the current budget model
- Reorganize Saturday/evening and summer session to give colleges more flexibility
- Provide assistance to units regarding process improvement, staffing, and resource management
- Enhance access to budget management reports via ProView (Office of the Provost views of institutional data)
- Provide training to Collegiate Budget Officers related to business processes / policies
- Undertake reviews of University College and Bachelor of Applied Studies (B.A.S.) degree program

Conclusion

The Office of the Provost strives to represent and to advocate for the academic mission of the University of Iowa to external stakeholders, while serving as a catalyst for the creation and promotion of the University's academic vision. As noted in this self-study, much of the activity of the Office of the Provost involves creating pathways for effective communication among the university's many programs, departments, and units. The Office's effectiveness depends upon its ability to create opportunities for faculty, staff, and students to achieve excellence.

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