

UNIVERSITY OF PUERTO RICO ACTION PLAN FOR SUSTAINED COMPLIANCE WITH THE LEADERSHIP AND GOVERNANCE, EDUCATIONAL OFFERINGS, AND INSTITUTIONAL RESOURCES STANDARDS OF EXCELLENCE OF THE MIDDLE STATES COMMISSION ON HIGHER EDUCATION

Aligned with MSCHE Visiting Team Requirements, Recommendations and Suggestions

As a result of a critical self-assessment of the events and circumstances that surrounded the student conflict in context with the concerns and expectations contained in the Middle States Commission on Higher Education Action and corresponding standards, the related action by the US Department of Education, and the internal and external relevant environmental factors, the Institutional Action Plan to achieve and sustain compliance with Standards 4 and 11 and to evidence compliance with Standard 3 is structured as follows along each Standard.

I. Standard 4, Leadership and Governance: The institution system of governance clearly defines the roles of institutional constituencies in policy development and decision-making. The governance structure includes an active governing body with sufficient autonomy to assure institutional integrity and to fulfill its responsibilities of policy and resource development, consistent with the mission of the institution.

The Institutional Action Plan along Standard 4 is organized in three prongs: **Foster an Enhanced Institutional Climate and Identity, Open University Culture, and Strengthening of Governance**

I. 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.

| ACTIONS | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | CURRENT AND EXPECTED OUTCOMES |
|--|---|--------------------------------|------------|--|
| 1. Develop strategies for clear, timely and accurate delivery of institutional information to the internal and external community, with sources of communication clearly defined and available to all constituents <i>*Standard 4, Team Requirement 5 (page 10 of Report)</i> | Broaden communication delivery channels including but not limited to, updates of institutional and unit's web pages, and other outlets throughout the system, like <i>Diálogo</i> Newspaper and Radio Universidad among others. | Communications Office Director | Continuous | Official information delivered through multiple outlets. |

| ACTIONS | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | CURRENT AND EXPECTED OUTCOMES |
|---------|---|---|------------------------|---|
| | Inform the units about the progress of implementation and assessment of the UPR Action Plan. <i>*Standard 4, Team Requirement 3 (page 10 of Report)</i> | VPAA and Chancellors | Continuous | Constituents informed. Assessment data collected and used for continuous improvement of UPR processes. |
| | Charge a Focal Group of experts in communication to assess the effectiveness of internal and external communication during the past year and make recommendations for improvement. | President and Chancellors | September-October 2010 | Define the charge for the Communications Focal Group. <i>*Standard 4, Recommendation 1 (page 10 of Report)</i> |
| | Publish an open invitation to convoke potential candidates from the internal and external community. Appoint Focal Group Members. <i>*Standard 4, Recommendation 1 (page10 of Report)</i> | Communications Office Director President | October-November 2010 | Open invitation and appointment of members. |
| | Inform member selection and Focal Group progress to the University Community. <i>*Standard 4, Recommendation 1 (page10 of Report)</i> | President | Continuous | Sustained communication |
| | Submit Communications Focal Group Final Report to the President with assessment and recommendations. <i>*Standard 4, Recommendation 1 (page10 of Report)</i> | Communications Focal Group | December 2010 | Communications Focal Group Final Report submitted. |
| | Presentation of Final Report to the University Board and the Board of Trustees. <i>*Standard 4, Recommendation 1 (page10 of Report)</i> | President | December 2010 | Sustained communication and dialog regarding Communications Focal Group recommendations. |

| ACTIONS | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | CURRENT AND EXPECTED OUTCOMES |
|--|--|---|----------------------------|---|
| | | Communications Office Director | December 2010-January 2011 | Implementation of recommendations |
| 2. Broaden and strengthen the opportunities for effective communication between the administration and the university community to receive input about their concerns and situations that affect the institution, as well as to share developments and achievements. <i>*Standard 4, Team Requirement 5 (page 10 of Report)</i> | Carry out periodic forums of the President and staff with elected leaders to the Student Councils of all units and student representatives to the University Board. | Vice President for Students Affairs | Semiannually | Sustained communication and initiatives that result from the forums. |
| | Carry out periodic meetings of Chancellors and staff with elected leaders to the Student Councils and the Academic Senate. | Chancellors, Deans of Student Affairs | Semiannually | Sustained communication and initiatives that result from the meetings. |
| | Conduct periodic on-line surveys about situations and issues that concern and affect the university community. | Vice President for Academic Affairs, Directors of the Office of Planning and Institutional Studies (OPEI), Information Systems Office (OSI) | Annual | On-line surveys developed. Findings of surveys relayed to the appropriate officer for action |
| | Conduct regular unit visits by senior leaders and hold informational and listening sessions open to all constituents. <i>*Standard 4, Suggestion 1 (page 10 of Report)</i> | President, Vice-presidents | Semiannually | Sustained communication. |
| 3. Ensure opportunities for students to freely participate and provide input in decisions that directly affect them. | Implement the electronic vote mechanism for students' elections and assemblies as mandated by Law No. 128, approved August 11, 2010, (to amend Articles 6-11 from Public Law No. 1, known as University Law which was approved on January 20, 1966). | Vice President for Student Affairs, Chancellor | September – October 2010 | Implementation plan adapted to the particularities of each unit established. |

| ACTIONS | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | CURRENT AND EXPECTED OUTCOMES |
|---------|------------|---|--------------|---|
| | | Vice President for Student Affairs, Deans for Students Affairs Information Systems Office | October 2010 | Electronic vote implemented in compliance with the Law. |

I.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.

| ACTIONS | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | CURRENT AND EXPECTED OUTCOMES |
|--|---|-------------------------------------|--------------|--|
| <ol style="list-style-type: none"> 1. Encourage commitment with an Open University Culture in all sectors of the University Community to guarantee the continuity of the education, research and service mission. 2. Develop strategies for ongoing and sustainable compliance with related accreditation and licensing requirements and Certification 90 (2004-2005) of the Board of Trustees and dispositions in the General and Students Bylaws, which mandate continuity of the institutional education, research and service mission. | Advise 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 Act and other external funds to advance the institution's mission. | Vice President for Academic Affairs | Ongoing | All sectors of the University Community informed. |
| | Charge an Open University Committee with: (a) drafting an Institutional Open University Statement; (b) recommending strategies, measures and protocols conducive to sustained compliance with | President and Chancellors | October 2010 | Define the charge for the Open University Committee. <i>*Standard 4, Recommendation 1 (page 10)</i> |

| ACTIONS | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | CURRENT AND EXPECTED OUTCOMES |
|---------|--|---|--------------------------|--|
| | policies that support continuity of the institutional mission. | | | of Report) |
| | Publish an open invitation to convoke potential candidates from the internal and external community. Appoint committee members. *Standard 4, Recommendation 1 (page 10 of Report) | Communications Office Director President | October-November 2010 | Open invitation and appointment of members. |
| | Inform member selection and committee progress to the University Community. *Standard 4, Recommendation 1 (page 10 of Report) | President | Continuous | Sustained communication. |
| | Submission of the proposed Open University Statement to the President for its presentation to the University Board and the Board of Trustees. *Standard 4, Recommendation 1 (page 10 of Report) | Open University Committee University Board and Board of Trustees | November 2010 | Dialog regarding Proposed Open University Statement |
| | | Board of Trustees | November-December, 2010 | Open University Statement issued. |
| | Submit Report to the President with recommended strategies, measures, protocols, and plan. *Standard 4, Recommendation 1 (page 10 of Report) | Open University Committee | November – December 2010 | Report of the Open University Committee. |
| | Presentation of Report recommendations to the University Board and Board of Trustees. *Standard 4, Recommendation 1 (page 10 of Report) | President | January 2011 | Presentations and input of recommendations received. |
| | | President, | February 2011 | Recommendations |

| ACTIONS | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | CURRENT AND EXPECTED OUTCOMES |
|---------|---|--|--------------------------|--|
| | | Chancellors | | implemented at the appropriate authority level |
| | Disseminate the Code of Conduct contained in the Student's General Regulations and its relevance to maintain eligibility for funding from the Higher Education Act and other external funds to advance the institution's mission. | Vice President for Student Affairs, Deans for Students Affairs | September - October 2010 | Student's Code of Conduct published electronically and posted in multiples visible locations across campuses. |
| | Require administrators at all levels to participate in trainings on conflict management strategies. | President | October 2010 | Policy statement issued. |
| | Coordinate conflict management trainings at all levels of the institution | Special Assistant to the President, Chancellors | Beginning November 2010 | Trainings offered at the central and unit levels. |
| | Require from all administrators at all levels a written commitment with an Open University Culture. | President, Chancellors | January 2011 | Governance explicitly committed with the Open University Culture and with supporting sustained compliance with Certification No. 90. |
| | Require from all users of the University net to accept commitment with an Open University Culture as a condition to log in. | Vice President for Research and Technology, Information Systems Office | January 2011 | Protocol implemented |
| | Require from all students upon registration on each academic session a written commitment with the Open University Culture and the Students' Code of Conduct. | Vice President for Student Affairs, Deans for Students Affairs, Information Systems Office | From January 2011 | Protocol implemented. |

| ACTIONS | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | CURRENT AND EXPECTED OUTCOMES |
|--|--|---|-------------------------------------|--|
| 3. Culminate the incorporation of campuses to their surrounding communities in accordance with the goals of the UPR Planning Agenda Ten for the Decade and the Open University Culture to ensure uninterrupted fulfillment of institutional mission and commitments with its internal and external stakeholders. *Standard 11, Recommendation 2 (page 13 of Report) | Implement the Architectural Plan for the integration of campuses to their communities in accordance with their respective master plans. | Chancellors, Design and Construction Director | Phase I beginning on September 2010 | Complete the conditions for the integration of campuses to their respective communities. |
| | Develop and implement a Security Plan in partnership with state and/or city governments to improve security in campuses and surrounding communities. Extend the UPR Identification Cards Project in Policy Statement Num. R-0708-03 (2009-2010) to all members of the University Community as a key element for the success of the Security Plan. | President, Chancellors | November 2010 December 2010 | A cost-effective Security Plan implemented at each campus with short and long term positive impact in neighboring communities. |

I.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.

| ACTIONS | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | CURRENT AND EXPECTED OUTCOMES |
|---|--|-----------------------------|-------------------------------|-------------------------------------|
| 1. Honor the agreements with students in Certification Num. 131 (2009-2010) of the Board of Trustees. | Do not apply summary sanctions in connection with the past student conflict. | Chancellors | August 1 2010 – April 30 2011 | Summary sanctions were not applied. |
| | Expedite appealing processes. | Board of Trustees | When submitted | Students appeals expedited |

| ACTIONS | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | CURRENT AND EXPECTED OUTCOMES |
|--|--|--------------------------------|-----------------------------|---|
| | | | | by the Board of Trustees. |
| | Appoint ex judges as Examining Officers to evaluate administrative actions. | Chancellors | Ongoing | All Examining Officers appointed by Chancellors are ex judges. |
| | Postpone implementation of Stabilization Fee to the second academic session of year 2010-2011. | Board of Trustees | June 30, 2010 | Implementation of Stabilization Fee on the second academic session of year 2010 in accordance with Certification Num. 146 (2009-2010) of the Board of Trustees. |
| | Comply with the Calendar of Activities set in Certification 131 for the establishment of the new Tuition Exemption Policy. | President Board of Trustees | August 2010 – April 2011 | New Tuition Exemptions Policy issued. |
| | Draft a proposal for a new Summer Offering Policy to support continuity of Summer offerings with the available resources, taking into account the related recommendations in Certification 131 and feedback from the Academic Senates. | University Board | No later than December 2010 | Proposal for a new Summer Offering Policy submitted to the Board of Trustees. |
| | Consider the proposal of the University Board for the establishment of a new Summer Offering Policy. | Board of Trustees | January - March 2010 | New Summer Offering Policy issued. |
| <p>2. Enforce compliance with the Code of Conduct contained in the Student's General Regulations.</p> <p>3. Promote active participation in leadership of students that model best academic practices and accomplishment of the institution's mission and goals toward its</p> | Continue administrative actions in the units in connection with the past student conflict. | Chancellors | In progress | Implementation of actions recommended by Examining Officers. |

| ACTIONS | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | CURRENT AND EXPECTED OUTCOMES |
|---|--|--|-----------------------|--|
| student body. | | | | |
| | Require all elected student leaders to maintain eligibility criteria established in Student Bylaws during the length of their terms. | Board of Trustees | October 2010 | Policy issued. |
| 4. Clarify the scope and reach of the state of law regarding what is a legal and valid exercise of freedom of speech within a public higher education institution. | Continue with the ongoing judicial proceedings in connection with the past student conflict. | Associate Director of Legal Affairs Office | Ongoing | State of law clarified to encourage appropriate exercise of freedom of speech. |
| 5. Define the scope and reach of what is legal and valid exercise of University Autonomy in alignment with University Law, rules and regulations, and applicable accreditation standards regarding institutional integrity, leadership and governance. <i>*Standard 4, Requirement 4 (page 10 of Report)</i> | Identify and analyze the contexts in which the concept of University Autonomy appears in the University Law, rules and regulations. | Vice President for Academic Affairs, Chancellors, Deans for Academic Affairs | October-November 2010 | Research documentation. |
| | Draft a proposed definition of University Autonomy as applicable to the University as a whole in relation with the external community and to the respective units in relation with the system. | President, Chancellors, Vice Presidency for Academic Affairs | November 2010 | Proposal submitted to the President for its presentation to the Board of Trustees. |
| | Consider the proposed definition of University Autonomy. | Board of Trustees | December 2010 | Institutional definition of University Autonomy issued. |
| 6. Revise governance structures' composition, roles and responsibilities to ensure their effective participation in carrying out the institution mission and goals in compliance with the applicable law and regulations and accreditation standards regarding institutional integrity, leadership and governance, and best practices. <i>*Standard 4, Requirement 4 (page 10 of Report)</i> | Charge an Ad Hoc Committee to: (1) evaluate the composition, roles and responsibilities of the advisory bodies to the President and Chancellors, in alignment with the applicable laws, regulations and standards, including benchmarking, to sustain the necessary balance for effective shared collegial governance; (2) develop guidelines for the review of internal regulations | President and Chancellors | Immediately | Define the charge for the Ad Hoc Committee. |

| ACTIONS | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | CURRENT AND EXPECTED OUTCOMES |
|---------|---|---|-------------------------|---|
| | governing and advisory bodies as well as recognized students organizations. | | | |
| | Publish an open invitation to convoke potential candidates from the internal and external community. Appoint committee members <i>*Standard 4, Recommendation 1 (page 10 of Report)</i> | Communications Office Director President | October- November 2010 | Open invitation and appointment of members. |
| | Inform member selection and committee progress to the University Community. <i>*Standard 4, Recommendation 1 (page 10 of Report)</i> | President | Ongoing | Sustained communication. |
| | Submit to the President Report with assessment, recommendations and guidelines. | Ad-Hoc Committee | November 2010 | Ad-Hoc Committee Report. |
| | Presentation of Report recommendations to the University Board and Board of Trustees. <i>*Standard 4, Recommendation 1 (page 10 of Report)</i> | President | December 2010 | Presentations and input of recommendations. |
| | Review internal regulations following the guidelines approved by the President and Board of Trustees. <i>*Standard 4, Recommendation 1 (page 10 of Report)</i> | Board of Trustees, University Board, Academic Senates, Administrative Boards General Student Councils | January – February 2011 | Revised and aligned internal regulations of governance bodies and main student leadership organizations. Improved shared governance; documentation of how campus input is solicited and considered in decision making at the |

| ACTIONS | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | CURRENT AND EXPECTED OUTCOMES |
|---|---|---|--------------------------------|--|
| | | | | System level. <i>*Standard 4, Requirement 4 (page 10 of Report)</i> |
| | | President, Board of Trustees | January – June, 2011 | Recommendations approved and implemented at the appropriate authority level. |
| 7. Ensure that all participants in leadership and governance are empowered and committed with their roles and responsibilities and best practices to effectively contribute in carrying out the institution mission and goals within the applicable law and regulations and in compliance with accreditation standards regarding institutional integrity, leadership and governance. <i>*Standard 4, Requirement 4 (page 10 of Report)</i> | Receive reports from the Consultation Committees and interview candidates. | President | In progress | Select candidates for each unit to be recommended to the Board of Trustees. |
| | Appoint Chancellors. | President, Board of Trustees | October 2010 | Chancellors appointed. |
| | Coordinate workshops and trainings for the appointed Chancellors regarding their roles and responsibilities, the scope and functions of the governance and advisory bodies, as well as recognized students, faculty and employees organizations and committees that are not part of the governance structure. | Special Assistant to the President | September 2010 – December 2010 | Series of workshops offered. |
| | Coordinate workshops for the Board of Trustees regarding their roles and responsibilities in alignment with the University Law, bylaws and related expectations in MSCHE standards including the publication Governing | Vice President for Academic Affairs, Executive Secretary to the Board | October – December 2010 | Series of workshops offered. |

| ACTIONS | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | CURRENT AND EXPECTED OUTCOMES |
|--|---|---|------------------------|--|
| | Boards. | | | |
| | Develop and implement a procedure for the periodic assessment of the Board of Trustees objectives. <i>*Standard 4, Requirement 1.b (page 10 of Report)</i> | Board of Trustees | March 2011 | Stated objectives for the governing body. Assessment procedure implemented. |
| 8. Foster gradual, harmonious, and organized transitions of leadership and governance at all levels, with the adequate overlap for the substantive transfer of information critical for a seamless continuity of the University agenda. <i>*Standard 4, Requirement 2 (page 10 of Report)</i> | Charge an Ad Hoc Committee to evaluate (1) the effectiveness of consulting and transition processes in the University, and, (2) to consider fixed terms for the UPR President, Chancellors, and other senior leaders. <i>*Standard 4, Suggestion 2 (page 10 of Report).</i> | President and Chancellors | December 2010 | Define the charge for the Ad Hoc Committee. |
| | Publish an open invitation to convoke potential candidates from the internal and external community. Appoint committee members. <i>*Standard 4, Recommendation 1 (page 10 of Report)</i> | Communications Office Director President | October- November 2010 | Open invitation and appointment of members. |
| | Inform member selection and committee progress to the University Community. <i>*Standard 4, Recommendation 1 (page 10 of Report)</i> | President | Ongoing | Sustained communication. |
| | Draft a proposal for the review and update of all aspects of consultation and transition processes in accordance to University Law and regulations, applicable accreditation standards regarding institutional integrity, leadership and governance, and best practices in higher education institutions. | Ad Hoc Committee | March 2011 | Proposal submitted to the President for its presentation to the Board of Trustees. |

| ACTIONS | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | CURRENT AND EXPECTED OUTCOMES |
|---------|----------------------------|-----------------------------|-----------|---|
| | Consideration of proposal. | Board of Trustees | June 2011 | Corresponding amendments to University rules and regulations and transition processes approved. |

II. Standard 11, Educational Offerings: The institution's educational offerings display academic content, rigor, and coherence that are appropriate to its higher education mission. The institution identifies student learning goals and objectives, including knowledge and skills, for its educational offerings.

The Institutional Action Plan along Standard 11 focuses in one main strategy: **Guarantee sustained length, rigor and depth of academic offerings.**

II. A. GUARANTEE SUSTAINED LENGTH, RIGOR AND DEPTH OF ACADEMIC OFFERINGS

GOAL: Guarantee the continuity and the appropriate content, rigor, coherence and length of the institution's academic and research endeavors at all times, to support an effective and seamless student learning process and advancement toward their degrees in harmony with the Open University Culture.

| ACTIONS | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | EVIDENCE OF ACTUAL AND EXPECTED RESULTS |
|--|--|---|------------|--|
| 1. Continue monitoring long term impact of student learning. | Complete analysis of the distribution of grades, incompletes, withdrawals, attrition, and other indicators of the impact of the interruption on students. <i>*Standard 11, Recommendation 1 (page 12 of Report)</i> | Chancellors, Deans for Academic Affairs | Continuous | Systemic and unit assessment reports; decisions to improve academic processes. |
| | Incorporate collected outcomes assessment data into assessment plans and follow up to understand the impact of student learning, and meld into its overall assessment data. <i>*Standard 11, Recommendation 1 (page 12 of Report)</i> | Deans for Academic Affairs, Directors of Institutional Assessment and Studies Offices | Continuous | Decisions at the unit and program level to improve assessment plans. |

| | | | | |
|---|--|--|------------------------|--|
| | Continue to review the progress of individual students to see if there is additional analysis needed in order to determine if there is a long-term impact. <i>*Standard 11, Recommendation 1 (page 12 of Report)</i> | Deans for Academic Affairs and Program Directors | Continuous | Decisions at the unit and program level to improve academic processes. |
| | Continue to monitor the effects of the financial situation on the quality and rigor of the academic programs. <i>*Standard 11, Recommendation 3 (page 13 of Report)</i> | VP for Academic Affairs, Chancellors and Deans of Academic Affairs | Continuous | Decisions at the system and unit level to ensure program quality. |
| 2. Establish contingency plans and policy guidelines to ensure the effective accomplishment of student learning goals with the appropriate content, rigor and coherence in case of fortuitous interruptions of the academic process. <i>*Standard 11, Recommendation 2 (page 13 of Report)</i> | Establish contingency plans, including a crisis communication plan, for continuation of academic programs in the event of fortuitous interruptions. | Chancellors | November-December 2010 | Contingency Plans established at each unit. |
| | Develop guidelines to accurately assess the degree of accomplishment of knowledge and skills development goals and objectives in order to prescribe the appropriate activities and length of time necessary to assure a coherent continuation of the learning process, in the event of a fortuitous interruption of an academic session. | Vice President for Academic Affairs, Deans for Academic Affairs | March 2011 | Systemic guidelines issued at the appropriate administrative level. |

III. Standard 3, Institutional Resources: The human, financial, technical, facilities, and other resources necessary to achieve an institution's mission and goals are available and accessible. In the context of the institution's mission, the effective and efficient uses of the institution's resources are analyzed as part of ongoing outcomes assessment.

The Institutional Action Plan to preserve compliance with Standard 3 has two main dimensions: **Secure continuity and institutional effectiveness with available resources** and **Maintain and nurture additional sources of funding to continue advancing institutional education, research and service priorities.**

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.

| ACTIONS | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | CURRENT AND EXPECTED OUTCOMES |
|---|---|---|-----------------------|--|
| 1. Implement the necessary changes in the institutional structure, policies and practices to support an effective, fair and efficient finance and budget planning and allocation of resources, and a timely disclosure of financial information to university constituents. <i>*Standard 3, Requirement 2 (page 7 of Report)</i> | Charge an Ad Hoc Budget and Finance Committee with: (1) evaluating the effectiveness of Certification Num. 100 (2005-2006) of the Board of Trustees as the instrument for budget development at the central and unit levels in the context of the University Law and regulations; (2) identifying best practices in the budgeting process, at the central and unit levels, and in comparable public universities; (3) making the corresponding recommendations for improvement. | President and Chancellors | August 2010 | Define the charge for the Ad Hoc Budget and Finance Committee. <i>*Standard 4, Recommendation 1 (page 10 of Report)</i> |
| | Publish an open invitation to convoke potential candidates from the internal and external community. Appoint committee members. <i>*Standard 4, Recommendation 1 (page 10 of Report)</i> | Communications Office Director President | October-November 2010 | Open invitation and appointment of members. |
| | Inform member selection and committee progress to the University Community. <i>*Standard 4, Recommendation 1 (page 10 of Report)</i> | President | Ongoing | Sustained communication. |
| | Submit Final Report to the President with assessment and recommendations. | Ad Hoc Budget and Finance Committee | November 2010 | Report with recommendations submitted to the President. |

| ACTIONS | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | CURRENT AND EXPECTED OUTCOMES |
|---------|---|---|-------------------------|---|
| | *Standard 4, Recommendation 1 (page 10 of Report) | | | |
| | Presentation of Report recommendations to the University Board and Board of Trustees. *Standard 4, Recommendation 1 (page10 of Report) | President | January 2011 | Presentations and input of recommendations. |
| | | President, Chancellors, Finance Director, Budget Director | January – March 2011 | Recommendations implemented at the appropriate authority level. |
| | Appoint a Chief Financial Officer (CFO) to overview Budget, Finance, Physical Plant and other areas related to the institution's Administrative and Management affairs to ensure appropriate guidance and monitoring of institutional operations at all levels. | Finance Director, Budget Director | October 2010 | Proposal to create the position submitted to the President for its presentation to the Board of Trustees. |
| | | President, Board of Trustees | July 2011 | Appoint CFO |
| | Assign temporarily a group of internal Financial Monitors at the appropriate level of authority to command compliance with institutional directives regarding strategic planning and budget allocation at the central and unit levels. | President, Budget Director, Finance Director | October 2010 | Appropriate monitoring of planning and budget allocation at all levels in accordance with institutional directives. |
| | Evaluate the effectiveness of the Financial Information Systems Software (UFIS) in providing necessary financial information for budget development with feedback from affected parties throughout the system. | Finance Director Unit Finance Directors, Information Systems Office | In progress | Identification of programming features to be modified. |

| ACTIONS | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | CURRENT AND EXPECTED OUTCOMES |
|--|---|---|--------------------------------------|--|
| | | Unit Finance Directors, Information Systems Office | December 2010 | Modifications to UFIS implemented. |
| 2. Provide timely and accurate system and campus financial data for decision making to support the institution's mission and goals. <i>*Standard 3, Requirements and Recommendations (page 7 of Report)</i> | Provide Audited Financial Statement FY2010, no later than January 2011. Distribute widely with open forums held to discuss results on each campus within one month of issue. <i>*Standard 3, Requirement 1 (page 7 of Report)</i> | Finance Office Directors | No later than January 2011 | Timely delivery of financial data for decision making. |
| | Provide each campus with a quarterly budget update for December 2010, March 2011, and June 2011; share the update in an open forum on each campus, demonstrating the linkages between plans and budgets. <i>*Standard 3, Recommendation 1 (page 7 of Report)</i> | Budget Office Directors | December 2010; March 2011; June 2011 | Timely delivery of financial data for decision making. |
| | Provide pro-forma budgets that demonstrate an ability to generate balanced budgets for each campus for FY 2012 through 2015. Include a specific set of assumptions, including personnel counts and compensation planning. <i>*Standard 3, Requirement 3 (page 7 of Report)</i> | Budget Office Directors | January-June, 2011 | Timely delivery of financial data for decision making. |
| | Provide detailed financial information that includes balance sheets and cash flow statements for each campus and the central office. | Finance Office Directors | June 2011 | Timely delivery of financial data for decision making. |

| ACTIONS | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | CURRENT AND EXPECTED OUTCOMES |
|--|--|---|--------------------------------------|---|
| | Share this information openly by June 2011. <i>*Standard 3, Recommendation 2 (page 7 of Report)</i> | | | |
| 3. Revisit the current strategic planning agenda to set priorities in alignment with institutional assessment results, current and projected resources, and the development and implementation process of a long-term financial plan for the University of Puerto Rico to assure financial viability and sustainability. <i>*Standard 3, Requirement 2; and Recommendation 1 (page 7 of Report)</i> | Reorganize the Capital Improvement Program (CIP) according to available and projected resources to continue with priority projects. | Board of Trustees | 2007-2008 | Reorganized CIP by Certification No. 80 (2007-2008) of the Board of Trustees. |
| | Seek interim financing for priority projects. | President, Finance Director | First Half of fiscal years 2010-2011 | Interim financing for priority projects obtained. |
| | Establish general guidelines to support the development of a long-term financial plan at the central and unit level. | Finance Director, Budget Director | Annually | Implementation of guidelines at the unit level. |
| | Charge an Ad Hoc Institutional Strategic Planning Committee with the identification of priorities and the development of guidelines for the reorganization of the institutional planning agenda based on the assessment of its outcomes and available resources. | President, Chancellors, Finance Director, Budget Director | Immediately | Define the charge for the Ad Hoc Institutional Planning Committee. |
| | Publish an open invitation to convoke potential candidates from the internal and external community. Appoint committee members. | Communications Office Director President | October-November 2010 | Open invitation and appointment of members. |

| ACTIONS | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | CURRENT AND EXPECTED OUTCOMES |
|---------|--|---|--|--|
| | *Standard 4, Recommendation 1 (page 10 of Report) | | | |
| | Inform member selection and committee progress to the University Community. *Standard 4, Recommendation 1 (page 10 of Report) | President | Ongoing | Sustained communication. |
| | Submit Final Report to the President with assessment and recommendations. *Standard 4, Recommendation 1 (page 10 of Report) | Ad Hoc Institutional Planning Committee | November 2010 | Ad Hoc Institutional Strategic Planning Committee Final Report. |
| | Presentation of Report recommendations to the University Board and Board of Trustees. *Standard 4, Recommendation 1 (page 10 of Report) | President | January 2011 | Presentations and input of recommendations. |
| | | Ad Hoc Institutional Planning Committee | October- November 2010 | Guidelines issued and approved by the President and Chancellors. |
| | Reorganize unit strategic plans based on the systemic planning guidelines. | Chancellors | November 2010 –February 2011 | Unit strategic plans reorganized. |
| | Implement Stabilization Fee on the second academic session of year 2010 in accordance with Certification Num. 146 (2009-2010) of the Board of Trustees, to secure alternative funding sources. | Finance Director | November 2010 | Short-term financial stability. |
| | Obtain \$100 M loan from the Government Development Bank. | President Finance Director | Second session academic year 2010-2011 | Short-term fiscal economies. |
| | Continue implementation of <i>Control Measures</i> established in Policy | President Chancellors | Continuous | Estimated additional yearly income of not less than |

| ACTIONS | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | CURRENT AND EXPECTED OUTCOMES |
|--|---|--|----------------------------|--|
| | Statement # 0809: 13, 14, 16, 22, and 23. | | | \$40,000,000. |
| | Revisit the Advisory Committee on Institutional Finances' Report (CAFI, 2007) and submit recommendations of financial measures. | Chancellors, Deans for Administration | September to November 2010 | Recommendations submitted to the President. Recommendations implemented at the appropriate authority level. |
| 4. Continue evaluating the effectiveness of educational offerings in compliance with Certification Num. 43 (2006-2007) and Certification Num. 92 (2008-2009) of the Board of Trustees, which mandate periodic evaluation with emphasis on duplicated offerings to promote informed decision making regarding the continuation of academic programs. <i>*Standard 11, Recommendation 3 (page 13 of Report)</i> | Continue developing and implementing cost effective measures in academic offerings while safeguarding the institution's commitments with students. | Vice President for Academic Affairs, Deans for Academic Affairs | Continuous | Carrying capacity for Admission 2010 adjusted by 7.44% 131 ineffective transfer programs discontinued effective August 2010. 192 transfers programs Carrying capacity for traditional undergraduate courses set to a minimum of 30 students (Certification No. 135 (2009-2010) Board of Trustees). |
| | Identify possible pause/adjustments in admission, consolidation and/or closure of academic programs based on assessment. | Vice President for Academic Affairs, Chancellors, Deans for Academic Affairs | September - October 2010 | Monitored financial impact to assure resources for effective academic offerings. |
| 5. Evaluate administrative structures, processes and functions at all levels to promote an efficient, non redundant and cost-effective management. <i>*Standard 3, Requirement 2 (page 7 of the Report)</i> | Assign an Administrative Efficiency Committee supported by a process reengineering specialist to steer: (1) the evaluation of administrative structures processes and functions; (2) develop recommendation of measures to promote cost-effectiveness in management and | President, Finance Director | November 2010 | Define the charge for the Ad Hoc Administrative Efficiency Committee. <i>*Standard 4, Recommendation 1 (page 10 of Report)</i> Specialist identified |

| ACTIONS | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | CURRENT AND EXPECTED OUTCOMES |
|---|--|---|------------------------|--|
| | improved service at the Central Administration and unit levels. | | | |
| | Publish an open invitation to convoke potential candidates from the internal and external community. Appoint committee members. <i>*Standard 4, Recommendation 1 (page 10 of Report)</i> | Communications Office Director President | October- November 2010 | Open invitation and appointment of members. |
| | Inform member selection and committee progress to the University Community. <i>*Standard 4, Recommendation 1 (page 10 of Report)</i> | President | Ongoing | Sustained communication. |
| | Submit to the President a Proposal to promote cost-effective an efficient and cost-effective management organization. <i>*Standard 4, Recommendation 1 (page 10 of Report)</i> | Ad Hoc Institutional Planning Committee | December 2012 | Ad Hoc Administrative Efficiency Committee Proposal. |
| | Presentation of Proposal with recommendations to the University Board and Board of Trustees. <i>*Standard 4, Recommendation 1 (page 10 of Report)</i> | President | December 2012 | Presentations and input of recommendations. |
| | | President, Board of Trustees | January – June, 2013 | Recommendations approved and implemented at the appropriate authority level. |
| 6. Strengthen the institution's capacity to minimize accounts receivables for improved financial stability. <i>*Standard 3, Requirement 2 (page 7 of the Report)</i> | Continue efforts towards collecting debts to the University. | Finance Director | Continuous | Increased cash flow. |

| ACTIONS | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | CURRENT AND EXPECTED OUTCOMES |
|---|--|-----------------------------|-------------------------|--|
| | Evaluate effectiveness in debt collection practices at the unit level to identify best practices to disseminate throughout the system. | Finance Director | October - December 2010 | Recognize and disseminate best practices to better debt collection. |
| 7. Promote collaboration agreements with state and city governments in common areas of interest to promote short and long term economies. <i>*Standard 3, Requirement 2 (page 7 of the Report)</i> | Develop and implement a Security Plan in partnership with state and/or city governments to improve security in campuses and surrounding communities. | President, Chancellors | November 2010 | A cost-effective Security Plan implemented at each campus with short and long term positive impact in neighboring communities. |
| | Promote development of collaboration agreements with state and city governments that result in mutual economies. | Chancellors | Annually | Increased cost reductions. |

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.

| ACTIONS | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | PRESENT AND EXPECTED OUTCOMES |
|---|--|--|------------|---|
| 1. Comply with Certification Num. 146 (2009-2010) of the Board of Trustees, which establishes a Stabilization Fee to secure alternative funding sources. | Continue implementation of Stabilization Fee as warranted by the financial state of the institution. | Finance Director | Annually | Estimated additional yearly income of \$40,000,000. |
| 2. Continue stimulating the submission of proposals for external funding to advance the research and education strategic agenda of the University of Puerto Rico. <i>*Standard 4, Requirement 1.a (page 9 of Report)</i> | Maintain the current level of institutional matching funds allocation. | Board of Trustees | Continuous | Maintain the influx of external funding for research and education initiatives. |
| | Continue implementing measures for stimulating submission of proposals for external funding to advance research. | Vice President for Research and Technology | Continuous | |

| ACTIONS | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | PRESENT AND EXPECTED OUTCOMES |
|---|--|---|--------------------------|--|
| 3. Expand Division of Continuing Education and Professional Studies units (DCEPS) and other self-financing offerings in academic units to advance institutional service mission towards the community and increase revenues for the units. | Increase and diversify course offerings and expand the reach of academic programs through self financing. | Vice President for Academic Affairs, Chancellors, Deans for Academic Affairs, DECEP Directors | Continuous | Enhancement of the DECEP and other self-financing unit'' s outreach mission and increased revenues at the unit level. |
| | Increase the number of degree granting academic programs available in the self-financing Extended University (UnEx) format aimed at non-traditional students. | Vice President for Academic Affairs, Chancellors, Deans for Academic Affairs, DECEP Directors | Continuous | Enhancement of self-financing Extended University offerings and units outreach mission and increased revenues at the unit level. |
| 4. Increase revenues derived from the Intramural Practice in proportion with the support provided by the University of Puerto to this activity. <i>*Standard 4, Requirement 1.a (page 9 of Report)</i> | Evaluate the effectiveness of Certification Num. 123 (1996-1997) of the Board of Trustees, which establishes the policy for the Intramural Practice of faculty members, and make recommendations to help enhance institutional revenues. | Chancellors | October – November 2010 | Proposed changes in policy submitted to the President. |
| | | Board of Trustees | February 2011 | New Intramural Practice Policy issued with increased revenues for the supporting units. |
| 5. Strengthen institutional relationship with active students and faculty, alumni and retired faculty, community, private and government entities to attract funding at both central and unit levels. <i>*Standard 4, Requirement 1.a (page 9 of Report)</i> | Organize a series of fund-raising activities to nurture the Endowment Fund. | Board of Trustees | October 2010 – June 2011 | Increase influx of capital into the UPR Endowment Fund. |

| ACTIONS | ACTIVITIES | RESPONSIBLE SYSTEM AND UNIT | TIMEFRAME | PRESENT AND EXPECTED OUTCOMES |
|---------|--|---|------------|---|
| | Continue fostering alumni donations through annual activities of the Alumni Offices of central administration and the units. | Chancellors, Alumni Office Directors | Continuous | Increase influx of capital into the UPR Endowment Fund and the units. |
| | Strengthen alliances with community, private and government entities to develop additional funding sources. | President Director Development and Alumni Chancellors, Directors of External Resources | Continuous | Increased additional funding from private and government entities. |