

## **Section 6.1 and 6.2: Organization and Administration and Institutional Advancement**

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## Introduction

This chapter represents the Self-Study Administrative Processes Committee's study and evaluation of organization and administration at Angelo State University (ASU) using the criteria set forth by the Southern Association of Colleges and Schools (SACS).

The following methods were used to accomplish the Committee's evaluation:

- The Committee examined documents on administrative structure and responsibility to determine whether administrative processes are formalized and published.
- The Committee reviewed staff, faculty, administration, and alumni surveys to determine whether organizational structure and processes were understood by ASU personnel.

### 6.1 Organization and Administration

**The administration of an institution of higher education has the responsibility for bringing together its various resources and allocating them effectively to accomplish institutional goals.**

The University is in compliance.

As the following analysis demonstrates, ASU has an effective administrative system that provides the stability necessary for the University to accomplish its goals.

#### 6.1.1 Descriptive Titles and Terms

**The name of an institution, the titles of chief administrators, the designations of administrative and academic divisions, the terms used to describe academic offerings and programs, and the names of the degrees awarded must be accurate, descriptive and appropriate.**

The University is in compliance.

Angelo State University's history defines and clarifies its role in the community, the region, and the State. The University's location in San Angelo, Texas, and its function as a state-supported institution of higher education make the name Angelo State University appropriate. The history can be found on pp. 42-44 in the *2001-2003 Bulletin* and in the general introduction to this report.

The Board of Regents' *Rules and Regulations* defines the organizational structure and administrative processes at ASU. The document contains a detailed description of how the institution must be organized and how it must operate according to rules established by the Board of Regents. The structure incorporates typical educational designations and terms to describe academic offerings and

programs. All departmental offices and the Porter Henderson Library have copies of the *Rules and Regulations* readily available to any interested person.

Several ASU publications depict the organizational structure and administrative process at ASU. For example, the *Faculty-Staff Handbook* contains information about the duties and responsibilities of the president, vice-presidents, deans, department heads, and other administrative officers (I-1-8). The *Faculty-Staff Handbook* also lists various councils and committees of the University and describes their purposes and functions (I-8-11).

The ASU *2001-2003 Bulletin* provides accurate, up-to-date descriptions for all academic programs and courses. The descriptions include a definition of the scope of each course as well as any necessary prerequisites. The *2001-2003 Bulletin* also provides complete and precise information, by descriptive and appropriate titles, about various degrees awarded and associated programs.

The administration of ASU has recently made several changes in administrative and organizational structure:

- The title of the Vice President for University Relations was changed to Vice President for University Relations and Development to reflect operational changes within that office. Specifically, the office is responsible for fund raising efforts to promote the University.
- The title of the Dean of the College of Professional Studies was changed to the Dean of the College of Business and Professional Studies.
- The Department of Education was changed to the School of Education.
- A new position, the Associate Vice President for Academic Affairs, was created and filled to address the expanding role of the Office of the Vice President for Academic Affairs.

These changes exemplify ASU's efforts to ensure the appropriateness of administrative terminology.

### **6.1.2 Governing Board**

**Although titles and functions vary, the governing board is the legal body responsible for the institution and for policy making.**

**A military institution authorized and operated by the federal government to award degrees and prohibited by authorizing legislation from having a board with ultimate legal authority must have a public board which, in policy and practice, carries out the normal functions of a board as described in these criteria.**

**Except under clearly defined circumstances, board action must result from a decision of the whole, and no individual member or committee can take official action for the board unless authorized to do so.**

Angelo State University is in compliance with the first and last of the above criteria and is exempt from the second criterion because the University is not a military institution.

The Board of Regents of The Texas State University System (TSUS) is the policy-making body that governs ASU. The Office of the Board of Regents is in Austin, Texas, where the Chancellor of the Board coordinates the affairs of the Board for Angelo State University in San Angelo, Lamar University to include the Lamar University Institute of Technology in Beaumont, Lamar State College-Orange, Lamar State College-Port Arthur, Sam Houston State University in Huntsville, Southwest Texas State University in San Marcos, and Sul Ross State University in Alpine, including the Rio Grande College with components in Del Rio, Eagle Pass, and Uvalde.

The Committee reviewed *Minutes of Meetings for the Board of Regents* from 1992 (Volume 53) to 2000 (Volume 61, Book 1). These minutes of Board meetings, available in the Office of the President, demonstrate that decisions affecting the University are made by the entire Board and not by any one individual or any one committee.

**The duties and responsibilities of the governing board must be clearly defined in an official document.**

The University is in compliance.

The duties and responsibilities of the governing board are defined in the Board of Regents' *Rules and Regulations*. The responsibilities of the Chair and Vice Chair of the Board can be found in Chapter I, section 5.1. The Chair, for example, presides over all meetings, appoints the membership of the various committees, and in the name of the Board, formally executes all contracts and documents authorized by resolutions of the Board (Board of Regents' *Rules and Regulations*, pp. I-3–I-4).

Specific duties and responsibilities of the governing board are distributed to the various standing committees staffed by regents and, in some cases, the presidents of the component institutions. These committees include the Planning and Construction Committee, the Curriculum Committee, the Finance Committee, and Local Committees for each component under the Board's governance. In addition, the president of each component under the Board's governance establishes a Planning Committee whose members include the chairs of the several standing committees (Board of Regents' *Rules and Regulations*, pp. I-5–I-8). The following is a brief narrative of each committee's responsibilities:

- Planning and Construction Committee: This committee has the primary responsibility for submitting recommendations for the Board's consideration concerning the development of functions, procedures, and recommendations relating to the construction and use of buildings

- and other matters involving the physical expansion of each component (Board of Regents' *Rules and Regulations*, p. I-5).
- Curriculum Committee: This committee has the primary responsibility for submitting recommendations to the Board concerning all courses, programs, and degrees offered or proposed by each component (Board of Regents' *Rules and Regulations*, pp. I-5–I-6).
  - Finance Committee: This committee has the primary responsibility for submitting recommendations to the Board concerning financial matters for both the System Administrative Office and the components (Board of Regents' *Rules and Regulations*, p. I-6).
  - Local Committees: Each Local Committee is a standing committee whose primary responsibilities are to serve as local representative and primary advisor to the component to which it is assigned (Board of Regents' *Rules and Regulations*, p. I-7).
  - Planning Committees: The primary responsibility of each Planning Committee shall be to make recommendations regarding the development of a Campus Master Plan, but its authority shall be limited to making recommendations which will be presented by the Local Committee to the Board for its consideration (Board of Regents' *Rules and Regulations*, p. I-8).

The Board of Regents' *Rules and Regulations* constitute the final authority on all matters related to the operation and management of Angelo State University. The *Rules and Regulations* are on file in all administrative and departmental offices and in the Porter Henderson Library. Chapter V of the *Rules and Regulations*, covering the Regents' policies on "University Personnel," is reproduced in Chapter II of the *Faculty-Staff Handbook*.

**This document must also specify the following: the number of members, length of service, rotation policies, organization and committee structure, and frequency of meetings.**

The University is in compliance.

The organization, control, and management of Angelo State University are vested by the State of Texas in the Board of Regents, The TSUS. As specified in the *Rules and Regulations*, the Board is composed of nine members, appointed by the Governor of Texas with the advice and consent of the State Senate. Three members of the Board are appointed biennially to serve for terms of six years (Board of Regents' *Rules and Regulations*, p. I-2). The elected officers and appointed officers are listed on page I-3. The *Rules and Regulations* specify three specific standing committees and several Local Committees and Planning Committees for each component under the Board's governance. A more specific discussion of the duties and responsibilities of these committees was presented above.

The Board holds regular quarterly meetings for the transaction of business pertaining to the affairs of The TSUS. The meetings of the Board are normally held on the campuses of the component universities at such time as a majority of the board shall determine (Regents' *Rules and Regulations*, p. I-3).

**There must be appropriate continuity in the board membership, usually provided by staggered terms of an adequate length.**

The University is in compliance.

The Board of Regents' *Rules and Regulations* spells out statutory conditions for creating continuity in the board membership through prescribed rotation policies. Board members serve staggered terms. Specifically, as previously discussed, three members of the Board are appointed biennially to serve for terms of six years. These staggered terms provide appropriate continuity in the board membership.

**A board member may be dismissed only for cause and by procedures involving due process.**

The University is in compliance.

Regents enjoy the same protections as other State officials.

**The responsibilities of the governing board must include the following functions: establishing broad institutional policies, securing financial resources to support adequately the institutional goals, and selecting the chief executive officer.**

The University is in compliance.

The Board of Regents has numerous specified responsibilities that are enumerated in the *Rules and Regulations*, as specified by Texas Education Code, Chapter 95, Sub-chapter B, clause 95.21 (Appendix to the Regents' *Rules and Regulations*). These include establishing and reviewing policies and ensuring adequate financial support for member institutions.

The President of ASU is elected by the Board of Regents and is responsible to the Board for the operation and management of the University. The President is charged by the Board with developing and maintaining efficiency and excellence within the University. Specific authority, duties, and responsibilities of the President are designated in Chapter IV and other sections of the Regents' *Rules and Regulations*.

**In addition, the governing board must have in place proper procedures to ensure that it is adequately informed about the financial condition and stability for the institution.**

The University is in compliance.

The Regents' *Rules and Regulations* describes the procedures for overseeing institutional finances and staying informed about University affairs in general, including the financial condition of the

institution. A review of Board minutes showed that the Board has been aware of the financial conditions of member institutions. For example, the Finance Committee briefs the Board on requests to increase student fees, the necessity to make budget adjustments, and the status of planning and construction projects and costs. The results of Board votes were recorded in each case.

**The board must not be subject to undue pressure from political, religious or other external bodies.**

The University is in compliance.

The ethical policies of the Board prohibit actions resulting from pressure exerted by any individual or organization. Statements to combat conflicts of interest with external organizations exist in the Regents' *Rules and Regulations*. At the same time, the Board encourages legal and legitimate support from external bodies and establishes guidelines for receiving such support. The general statement, for example, reads as follows:

The Board of Regents recognizes that there are legally constituted private organizations whose role or primary purpose is to benefit The Texas State University System, its components, or teaching, research and other activities within those components. For the purposes of this chapter, such an organization shall be called a "private support organization." Examples of private support organizations include, but are not limited to, development foundations, alumni associations, parents' associations and athletics booster organizations. The rules herein shall govern the relationship between such organizations and the System and its components. (p. IX-1)

Enumerated provisions include the use of System equipment and facilities by these organizations and service by System officers or employees. The administration and investment of funds held by private support organizations and contracts with these organizations are also covered.

The Committee also reviewed Board minutes to detect any connection between Board and ASU activities and outside groups. Specifically, the Committee looked at the section dealing with gift acknowledgment. Volume 61, Book 1, p. 186, shows that ASU received numerous gifts from local health facilities and private individuals that were approved by the Board. These gifts, however, were not predicated on Board action.

As the Regents' *Rules and Regulations* and minutes demonstrate, the Board is not subject to undue pressure from external groups.

**There must be a clear distinction, in writing and in practice, between the policy-making functions of the governing board and the responsibility of the administration and faculty to administer and implement policy.**

The University is in compliance.

The Regents' *Rules and Regulations* defines the responsibility of the administration and faculty to administer and implement policy.

The ASU Faculty Senate provides University faculty a voice in policy-making, but its Constitution clearly defines its advisory role in reviewing and drafting University policies. In addition, several councils and committees such as the Administrative Council, the Council of Deans, the University Curriculum Committee, the College Curriculum Committees, the Graduate Council, and the Committee on Tenure and Promotion, are in place to assist in the administration and implementation of policy. For more on the responsibilities of these councils and committees, see 6.1.4 of this *Report*.

A review of the *Minutes of Meetings for the Board of Regents* from 1992 (Volume 53) to 2000 (Volume 61, Book 1) revealed that the Board has procedures in place to cover a variety of issues. For example, General Motions include tuition revenue, bond sales, retirement announcements, approval of minutes, and committee briefings. The Planning and Construction Committee briefs the Board on the adequacy of facilities, the status of construction projects, and discussions about contract awards. The Curriculum Committee briefs on academic changes, periodic class day reports, and new degree requirements. The Finance Committee briefs on the status of the budget, fee and rate changes, and bond sales. The Minutes also include discussions about holiday schedule approvals, the acknowledgment of gifts received by institutions, revised admission requirements, personnel decisions, and annual reports of Development and Support Foundations.

Based on the review of these minutes, the Committee believes that there is a clear distinction, in writing and in practice, between the policy-making functions of the governing board and the responsibility of the administration and faculty to administer and implement policy.

### **6.1.3 Advisory Committees**

**Whenever lay advisory committees are used by institutions, these committees should be active and their role and function clearly defined.**

The University is in compliance.

Several lay advisory committees have been established by ASU departments. In each case, the committees are active and function according to clearly-defined procedures. The following is a brief description of six lay advisory committees.

- **Department of Nursing Advisory Committee.** This advisory committee is composed of persons who broadly represent the demographics of the Nursing Department's service area,

- including representatives from health organizations and service providers. Specific functions include the evaluation of goals, advice on the selection and acquisition of department equipment, and assistance in the professional development of the faculty. The committee meets at a minimum of once a year.
- **ASU/SAISD “Up and Coming” Scholars Advisory Committee.** The role and function of this committee is to advise the President’s Office regarding the program in situations that include, but are not limited to: disciplinary actions, student qualifications, and questions that may arise and are not addressed in the agreement between ASU and the San Angelo Independent School District (SAISD). The Committee members include individuals from ASU and the SAISD. The Assistant to the President of Angelo State University is the current committee chair. The committee last met on Thursday, January 11, 2001.
  - **Management, Instruction, and Research (MIR) Center Advisory Board.** The Board of Regents established this advisory board in November, 1989 to advise the director of the MIR Center and the University administration about the mission and the overall management and operation of the Center. The Board also reviews and assesses the programs and activities conducted by the Center. Board members make recommendations to the Director of the Center for improvements, modifications, and/or additions to the programs and activities conducted by the Center. The Director of the MIR Center serves as the chair of this board as well as being the Head of ASU's Department of Agriculture. Other members include persons from the Texas A&M University Research and Extension Center, local members of livestock breeders associations, and Texas State Representative Robert Junell. The Board’s last meeting was held in March, 2001.
  - **Business Advisory Council.** The charge of this committee is to improve the opportunities for ASU to meet the needs of the West Texas business community served by the University by providing a link between business leaders within the community and the faculty in ASU's Department of Management and Marketing. The committee also serves as a forum for valuable dialogue between mutually interested parties and as a mechanism for objective assessment and constructive change in the University's business curriculum and research programs. The committee helps University faculty and administration to meet the needs of “users” and to hear what these “users” would like to say to the University. The committee is chaired by the Dean of the College of Business and Professional Studies. Members are appointed by the President upon recommendation from the Vice President for Academic Affairs with the advice of the College of Business and Professional Studies. Committee members come from the University and from the local business community.
  - **Dr. Ralph R. Chase Lectureship in the Humanities.** This lectureship is sponsored by the San Angelo Health Foundation and the San Angelo Community Medical Center. The purpose of the lectureship is to bring to ASU and San Angelo individuals who have distinguished themselves nationally and internationally and who by their efforts have made a contribution to the elevation of the human spirit and human consciousness. The goal of this lectureship is to provide a stimulating and intellectually challenging forum for the exchange of ideas with the students at ASU and area residents. The annual lectureship, presented during the late

winter, has become one of the most anticipated events of the year. The selection committee consisted of members of the San Angelo Health Foundation Board of Trustees and the ASU faculty. It is responsible for selecting the speaker and coordinating arrangements for the lectureship. Previous Dr. Ralph R. Chase lecturers have included authors Larry McMurtry and Shelby Foote, politicians Lloyd Bensen, Warren Rudman, and Margaret Thatcher, and academician Sergei Khrushchev. The committee meets periodically throughout the year to develop upcoming programs.

- **Physical Therapy Professional Advisory Board.** This board makes recommendations to the Department Head of Physical Therapy on matters concerning the developing Master of Physical Therapy (MPT) program and the community of San Angelo, Tom Green County, and West Texas. Board members serve as liaisons between the ASU MPT program and the external community. The board is not charged with executive or administrative responsibilities (Mission Statement, MPT, Department of Physical Therapy). Members are selected by virtue of the position they hold in the community and by the exposure they have to the community. Several Board members, for example, are directors or executive officers of community hospital facilities. The Board meets quarterly.

#### 6.1.4 Official Policies

**The institution must publish official documents which contain, but are not limited to the following information: the duties and responsibilities of administrative officers, the patterns of institutional organization, the role of the faculty in institutional governance, statements governing tenure or employment security, statements governing due process, and other institutional policies and procedures that affect the faculty and other personnel.**

The University is in compliance.

Chapter I of the *Faculty-Staff Handbook* describes the organization and management of Angelo State University. Included are concise statements about the duties and responsibilities of administrative officers and the patterns of institutional organization. The following discussion about the President of ASU exemplifies statements about the duties and responsibilities of administrative officers.

The President is the chief executive officer of the University. The President is elected by the Board of Regents and is responsible to the Board for the operation and management of the University. The President is charged by the Board with developing and maintaining efficiency and excellence within the University. Specific authority, duties, and responsibilities of the President are designated in Chapter IV and other sections of the Regents' *Rules and Regulations*. As chief executive officer of the University and the administrative arm of the Board of Regents, the President recommends policies for consideration by the Board and is responsible for the implementation of these policies once

they have been approved. The President has the final authority to (a) approve, reject, or modify recommendations of the faculty and administrative staff on matters which require explicit Board approval, and (b) make binding decisions on matters which do not require Board action. Except in cases where the Board of Regents chooses to assume this responsibility, the President is the official spokesperson for the University. (*Faculty-Staff Handbook*, pp I-1–I-2)

The Vice President for Academic Affairs (VPAA) has been designated by the President as second-in-command for emergency purposes in accordance with Chapter IV, Section 3, of the Regents' *Rules and Regulations*, and the VPAA coordinates the affairs of the Office of the President during the President's absence from the campus.

The administrative officers at ASU are the Assistant to the President, three vice presidents, six deans, several directors, a business manager, and the personnel manager, all of whom have been delegated specific executive authority by the President of the University as authorized by Chapter V, subsection 1.123, of the Regents' *Rules and Regulations*. In addition, a new administrative position, the Associate Vice President for Academic Affairs, now exists. The administrative officers are appointed under and are subject to Chapter V, Section 3, of the Regents' *Rules and Regulations*.

In carrying out their administrative duties and responsibilities and the authority delegated by the President, administrative officers must implement and administer to the best of their ability the provisions of the Regents' *Rules and Regulations* and the policies and procedures of the University published in this *Faculty-Staff Handbook* and to support the policy decisions made by the Board of Regents and the President on matters related to the management and operation of the University. Position descriptions for the administrative officers are available in the Personnel Office.

Under the provisions of Chapter IV, Section 2.(11), of the Regents' *Rules and Regulations*, the President shall appoint or establish procedures for the appointment of all faculty, staff, and student committees. Service on councils and/or committees constitutes an important part of a faculty member's responsibility at ASU. Faculty and staff members are normally expected to accept appointments to such councils and committees and are expected to serve effectively when appointed. The following is a list of the most important councils and committees formed under this directive:

- **The Administrative Council** is composed of selected administrative officers and staff and the president of the ASU Faculty Senate. The primary functions of the Council are to provide a forum for discussion of important issues and to make recommendations on policies and procedures related to the operation, management, and improvement of the University.
- **The Council of Deans** makes recommendations to the President through the VPAA on a wide range of academic affairs, including the development of faculty and the development, implementation, or discontinuation of academic programs.

- **The University Curriculum Committee** makes recommendations to the VPAA on the curriculum and academic programs of the University.
- **College Curriculum Committees** have been established within each college in order to provide a uniform system of curriculum development with broad faculty participation and an appropriate level of jurisdiction of the faculty within each of the three undergraduate colleges.
- **The Graduate Council**, working closely with the academic administration, is responsible for providing leadership to the University in the development and improvement of all phases of the graduate program.
- **The Committee on Tenure and Promotion** makes recommendations to the VPAA regarding faculty applications for tenure and promotion in accordance with the provisions of Chapter V, Subsection 4.2, of the Regents' *Rules and Regulations*.

In addition to the above councils and committees, a variety of other University councils and committees are appointed from time to time by the president, both on a standing and ad hoc basis. Under the provisions of Chapter IV, Subsection 2.(11) of the Regents' *Rules and Regulations*, the President shall appoint or establish procedures for the appointment of all faculty, staff, and student committees. A complete listing, description, and membership of all ASU committees can be found in the "Angelo State University Committees and Councils, 2000-2001" publication.

The role of faculty in institutional governance is provided through the Faculty Senate. According to the *Faculty-Staff Handbook*, the Faculty Organization, which is organized and functions under the provisions established by Chapter V, Subsection 4.10 (1), of the Regents' *Rules and Regulations*, includes all Angelo State University personnel with academic rank engaged in teaching, research, or administration. The Faculty Senate represents the Faculty Organization in all matters of general faculty interest and is empowered to act for and on behalf of the Faculty Organization. The Constitution of the Faculty Organization is available from the Office of the Vice President for Academic Affairs or the President of the Faculty Senate (*Faculty-Staff Handbook* IV-35).

Detailed statements governing tenure or employment security are contained in Chapter IV of the *Faculty-Staff Handbook*. The terms and provisions under which tenure may be granted to eligible faculty at ASU holding the academic title of Professor, Associate Professor, or Assistant Professor are also explained in Chapter V, Subsection 4.2, of the Regents' *Rules and Regulations*. The following is an excerpt from the Chapter:

Tenure must be viewed from the standpoint of the general good of the University. It should signify not only the entitlement to continuing appointment as a member of the faculty, but should also presume a reciprocal commitment by the faculty member to the goals and missions of the University and the acceptance of the responsibilities as set forth in the Regents' *Rules and Regulations* and the University's *Faculty-Staff Handbook*.

It is ASU's policy to receive, process, and resolve faculty and staff members' grievances, including allegations of discrimination, in a fair and prompt manner. In all interpretations, constructions, and applications of the provisions of this grievance procedure, the cardinal principles shall be equity and justice of the individual faculty/staff member and the achievement of efficiency and an exemplary quality of work by the University for the citizens of Texas. Specific grievance procedures are contained in the *Faculty-Staff Handbook* (IV-33).

### **6.1.5 Administrative Organization**

**The administrative organization must reflect the purpose and philosophy of the institution and enable each functional unit to perform its particular responsibilities as defined by the stated purpose of the institution.**

The University is in compliance.

Several master plans exist to provide direction for planning at ASU for the academic years 2000-2001 through 2004-2005. Each plan's development was motivated by the University's desire to seek new and more effective ways to fulfill its mission in higher education.

ASU's mission statement also reflects the purpose and philosophy of the institution as practiced by the University's administrative organization. For example, consider the following excerpt from the mission statement:

Long-range planning, evaluation, and program assessment are part of the decision-making process at all levels. The University's commitment to improving quality extends to its administrative services and provides support to maintain the infrastructure, expand information resources, develop technological equipment and programs for academic and administrative improvement, ensure fiscal responsibility, and promote public safety and institutional advancement ([http://www.angelo.edu/publications/legal/mission\\_statement.htm](http://www.angelo.edu/publications/legal/mission_statement.htm) and *2001-2003 Bulletin*, p. 45).

The University's mission statement was approved and deemed appropriate by the Board of Regents, of The TSUS and by the Texas Higher Education Coordinating Board.

Based on the narrative, the Committee is confident that the administrative organization reflects the purpose and philosophy of ASU. The Committee also believes that each functional unit is able to perform its particular responsibilities as defined by ASU's mission statement.

**Administrative responsibility and authority for all educational offerings and functions of the institution must be clearly defined.**

The University is in compliance.

Angelo State University's *2001-2003 Bulletin*, specifically lists all administrative responsibility and authority for all educational offerings and functions of the University. For example, page 160 specifies that the Dean of the College of Liberal and Fine Arts has authority for the following educational offerings in the College:

- Department of Art and Music
- Department of Communications, Drama, and Journalism
- Department of English
- Department of Government, including Criminal Justice and Philosophy
- Department of History (including Geography)
- Department of Modern Languages (French, German, Spanish, Linguistics, and Russian)
- Department of Psychology and Sociology

**Each institution must develop, publish and make available an organizational chart clearly delineating lines of responsibility and authority.**

The University is in compliance.

The preface of the *Faculty-Staff Handbook* contains an organization chart showing the lines of authority and responsibility among University administrative offices. The *Faculty-Staff Handbook* was revised in August 1998 and updates the previous version. A new edition is scheduled for the fall of 2001. The *Handbook* has been widely distributed throughout the campus. In addition, the organization chart can be found on p.15 of the *2001-2003 Bulletin*. For the most part, the chart makes clear the various academic divisions and administrative chains of command while accounting for the full complement of staff positions. The Committee, however, discovered some minor omissions in the chart, which have since been rectified. The Committee believes there is adequate publication and dissemination of an organizational chart that clearly delineates lines of responsibility and authority.

**The duties of the chief executive officer, and of the administrative officials directly responsible to the chief executive, must be clearly defined and made known to faculty and staff.**

The University is in compliance.

Chapter I of the *Faculty-Staff Handbook* describes ASU's organization and management. Included are concise statements about the duties and responsibilities of administrative officers and the patterns of institutional organization.

Table 6.1.5 depicts the familiarity ASU personnel have with the duties and responsibilities of ASU administrative officials. The results suggest that ASU personnel are familiar with the duties of the

chief executive officer, and of the administrative officials directly responsible to the chief executive. ASU personnel are also familiar with the ASU organizational chart, patterns of institutional organization, and statements governing employment security and due process. ASU personnel, however, are less familiar with the role of the staff in institutional governance.

**Table 6.1.5**

**Familiarity of Administrators, Staff, and Faculty with Selected Criteria**

| <i>How familiar are you with the</i>                           | <b>Median</b> | <b>Mode</b> |
|--|---------------|-------------|
| <i>Item</i>  |               |             |
| particular responsibilities of your department?                | 5             | 5           |
| ASU Organizational chart?                                      | 5             | 5           |
| duties and responsibilities of administrative officers at ASU? | 5             | 5           |
| purpose and philosophy of the institution?                     | 4             | 5           |
| patterns of institutional organization?                        | 4             | 5           |
| duties of the president?                                       | 4             | 4           |
| other institutional policies and procedures that effect you?   | 4             | 4           |
| role of the staff in institutional governance?                 | 3.5           | 3           |
| statements governing employment security?                      | 3.5           | 4           |
| statements governing due process?                              | 4             | 4           |
| particular responsibilities of your department?                | 5             | 5           |

(Scale: 1 – Very Unfamiliar, 3 – Not Sure, 5 – Strongly Familiar)

**Administrative officers must possess credentials, experience and/or demonstrated competence appropriate to their areas of responsibility.**

The University is in compliance.

Detailed information pertaining to the credentials and experience of ASU administrators is in Appendix 1. Their combined professional experience is extensive, averaging twelve years with the University. The President and the VPAA hold terminal degrees. In addition, all academic deans possess doctorates relevant to their areas of responsibility. The remaining administrators have either baccalaureate or master’s degrees that pertain to their particular areas of administrative responsibility. The combination of professional degrees and experience indicates an overall high level of credentials among the administrators. Their résumés are included with the documentation for Section 6.1.

**The effectiveness of all administrators, including the chief executive officer, must be evaluated periodically.**

The University is in compliance.

The formal evaluation of the University's President is the sole responsibility of the Board of Regents. At least once a biennium, the Board evaluates the general performance and effectiveness of the President. The evaluation takes place before a quorum of the full Board while in executive session, unless the President requests a public evaluation. Documents supplied by the President for past evaluations are on file as supporting material for Section 6.1.

The President periodically evaluates the effectiveness of all administrative officers who report directly to him. He also establishes procedures for the evaluation of the effectiveness of all other administrators. The President bases his evaluations on the ability of his staff to accomplish their stated goals for each academic year. He prepares written evaluations for each member followed by a one-to-one meeting, if necessary. Evaluations are filed in the Office of the President. The goals statements and self-evaluations are on file as the Vice Presidents' Institutional Effectiveness reports; those for 2000-2001 are included with the documentation for Section 6.1.

The VPAA evaluates the deans of the various colleges and the School of Education each year and bases his evaluations on personal observation and on the reports prepared by the department heads. Criteria considered in evaluations include the ability of the deans to communicate with department heads and to facilitate the tools and support for institutional, departmental, and personal advancement.

The deans of the various colleges and the School of Education evaluate department heads each year based on personal observation and on the evaluations written by faculty assigned to each head's department. Criteria considered in evaluations include the ability of the department heads to communicate with faculty and to facilitate the tools and support for institutional and personal advancement. The evaluation form is on file with the supporting documentation for Section 6.1.

Performance appraisals for all personnel are filed annually by their supervisors. Additionally, in a recent pilot evaluation project, administrators in the Academic Affairs area are evaluated with the IDEA Center evaluation form. Specifically, evaluations are completed for the VPAA and academic deans and directors who report to the VPAA. The project allows ASU personnel to evaluate the individuals in these positions.

## **6.2 Institutional Advancement**

**Each institution should have a program of institutional advancement, which may include development and fund raising, institutional relations and alumni affairs. If there is an advancement program, it must be directly related to the purpose of the institution. Qualified persons should be responsible for administration of the program.**

The University is in compliance.

The Committee evaluated programs in development and fund raising, institutional relations, and alumni affairs and their relationship to the purpose of ASU. Specifics dealing with development and fund raising, institutional relations and alumni affairs, are included below in Sections 6.2.1 on Alumni Affairs and in 6.2.2 on Fund Raising.

ASU's mission statement includes provisions for institutional advancement.

Partnerships with local, regional, and state agencies increase the University's role in public education, business, health, and information retrieval. . .

. . . The University's commitment to improving quality extends to its administrative services and provides support to maintain the infrastructure, expand information resources, develop technological equipment and programs for academic and administrative improvement, ensure fiscal responsibility, and promote public safety and institutional advancement.

Recognizing its responsibility to the community, the University offers many cultural opportunities and business, health, educational, and volunteer services to the region.

The Vice President for University Relations and Development is responsible for the administration of programs of institutional advancements. The Director of Development designs and implements these programs. Their résumés are on file with the documentation for Section 6.2.

### **6.2.1 Alumni Affairs**

**The relationship between the institution and its alumni should be one that encourages former students to continue to participate in the development of the institution. It should also assist in the evaluation of institutional effectiveness. Institutions are encouraged to maintain up-to-date records on the location of former students and to employ periodic surveys.**

The University is in compliance.

The Ex-Students Association, founded in 1978, strives to foster a sense of community spirit through fellowship with its members, and to promote and support ASU through personal and financial means. A concise description of the association's purpose can be found at [http://www.angelo.edu/org/ex\\_students/mission.htm](http://www.angelo.edu/org/ex_students/mission.htm).

Currently, the association has approximately 850 dues paying members out of approximately 16,000 addressable alumni. Dues are \$25.00 per year. Membership services include an alumni magazine,

ASU library privileges, ASU facilities use, career counseling, various alumni social functions, web page and e-mail services, parking tags, and event discounts.

The Director of Alumni Relations is working on ways to increase the accuracy of records and to enlarge membership.

As part of ASU's Institutional Effectiveness Program, an alumni survey is periodically conducted by the Office of Institutional Planning, Research, and Assessment as a follow-up measure of student success. The first such survey was conducted during the summer of 1999, the second during the summer of 2000, and the third during the summer of 2001.

The survey is designed to provide feedback valuable for the various academic departments. Questions pertaining to reasons for attending ASU, future plans, curriculum and ROTC involvement were posed to bachelor's and master's degree graduates.

Based on the preceding narrative, the Committee believes that effective efforts are in place to encourage former students to continue to participate in the development and affairs of the institution. In addition, records are maintained and periodic surveys are conducted to enhance assessment.

### **6.2.2 Fund Raising**

**All fund raising must be related to the purpose of the institution.**

The University is in compliance.

Angelo State University is a public institution of higher education, largely supported financially by the State of Texas. ASU, however, requires additional external funding to enhance its ability to offer diverse programs and services to fulfill its mission of teaching, research, and service.

While the Committee examined past and current fund raising efforts of ASU, a more complete analysis cannot be completed until publication of a Master Plan for University Relations and Development, scheduled for fall, 2001. What follows, however, are our preliminary findings.

The Office of University Relations and Development assists the University in securing needed external funds. While the office monitors and solicits external funding from a variety of sources, a major source is the President's Circle.

The purpose of the President's Circle, a non-profit association, and the Mission of the University are virtually the same. The ASU President's Circle is formed exclusively for the educational and charitable purposes of establishing a fund to be used for the development of a superior and outstanding faculty, administration, and student body. The President's Circle also seeks "to provide

funds to aid in the operation, maintenance, functions, activities, services, salary supplementation of administrative employees and faculty and in general to aid in all endeavors of the University” (*President’s Circle Bylaws*, Article I, Section 1). Additionally, the President’s Circle strives to enhance the opportunities of University students and to provide high school students with the opportunity to learn more about college assistance and ASU. The President’s Circle also attempts to identify donor prospects, assists prospects in establishing gifts to the University, and encourages donors to continue their support of ASU in order to further meet the mission of the University.

The annual membership of the ASU President’s Circle is made up of each person or organization that makes at least a \$50.00 contribution to the operating funds of the President’s Circle for the current year of membership. The Board of Directors is authorized to create such other types of memberships as it may deem appropriate. Memberships are for the fiscal year, designated July 1 through June 30 (*President’s Circle Bylaws*, Article V, Section 1).

President’s Circle membership dollars help to host recruiting activities in San Angelo and across Texas, make new students “feel at home” in San Angelo and at ASU, fund publications promoting San Angelo and ASU, advertise ASU’s academic and extracurricular programs, and support a variety of development activities, lectures and symposiums ("President’s Circle Pamphlet," July 2000).

The business and affairs of the President’s Circle are managed by the Vice President for University Relations and Development and a Board of Directors, which may exercise all powers of the President’s Circle and do all lawful acts and things as are permitted by statutes or the Bylaws of the President’s Circle. Membership on the board consists of the presidents of several banks in the surrounding area. Board membership qualifications and duties are specified in the Article VI of the *President’s Circle Bylaws*.

Since 1994 the President’s Circle has almost doubled its annual contributions and increased its membership from 176 to 232 active members. Contributions come from businesses and individuals.

Other sources of external funding include the following:

**The Ram Club:** All Ram Club fund raising activities support the athletic department of ASU as it relates to the overall mission of the University. The Ram Club conducts an annual fund drive, an annual golf tournament, and an annual Wild West Clay Bird Shoot. The Ram Club Board of Directors is responsible for overseeing all fund raisers conducted by the Ram Club.

**The ASU Alumni Association:** All University affiliated alumni fund-raising activities are approved and monitored by the ASU Vice President for University Relations and Development (VPURD). The fund-raising efforts and contributions of the Alumni Association are extensive. The association publishes the *Alumni Magazine* three times a year, provides student scholarships through the ASU Alumni Association Scholarship Fund, and sponsors the Student Alumni Association and the Alumni

Ambassador and Recruiting Program. The association also hosts “Senior Salute” receptions for graduating seniors, recognizes and provides funds honoring outstanding alumni and faculty members, and maintains alumni chapters and contacts throughout Texas, in U.S. cities outside of Texas, and in the Czech Republic, Germany, and the Middle East/Persian Gulf. The Association maintains communication with alumni through the alumni web page and alumni list server.

The ASU Alumni Association has expanded its efforts to increase membership and enlist participation in its programs and activities. Association memberships and revenues have increased dramatically the past two years. According to the Director of Alumni Relations, membership revenue is 17% above the same time last year and Century Club support has doubled during the past year.

**ASU FAME:** All fund raising activities support scholarships for deserving students within the Department of Art and Music. The ASU FAME Board of Directors sponsors two events: a Showcase Concert by the music performance groups and a silent auction ceramic plate sale with plates hand painted by celebrities, artists, and students from the community. The Board also solicits donations from the community which becomes the major source of income for the scholarships. The Board oversees all fund raising efforts.

According to the *President’s University Progress Report: January 1995 - January 1999*, the Division of University Relations and Development helped to secure a \$1,000,000 gift from the Harte family for use in developing the West Texas Collection (WTC) (*President’s University Progress Report*, p. 12). This is an example of a unique external fund raising effort to help the University meet its educational goals.

The WTC contains historical documents and artifacts for the West Texas region. The WTC participates in the Texas State Library Archives Commission’s Regional Historical Depository Program, serving twenty-two West Texas counties. The WTC also serves as the depository for the University Archives. The University Archives was established to collect and preserve the historical identity of ASU (“WTC Pamphlet,” October, 2000).

These organizations are analyzed in Section 6.6 of this self-study report, “Related Corporate Entities.”

**All aspects of fund raising must be incorporated into the planning process and evaluated regularly.**

The University is in compliance.

Under the supervision of the President of the University, the Office of University Relations and Development oversees and evaluates fund-raising activities and use of funds. All fund raising efforts conducted by the Development Office are approved by the President of the University and/or the

VPURD. The President's Circle fund raising efforts, for example, are initially evaluated by the President of the University and the VPURD. The plans are reviewed annually by the Board of Directors of the President's Circle. An audit is completed annually by the University auditor. The bylaws allow for an audit by a Certified Public Accountant when it is deemed feasible by the Board of Trustees (*President's Circle Bylaws*, Article VIII, Section 2). The Vice President of Fiscal Affairs, as Treasurer, reviews income and expenses on a regular basis.

Each fund raising campaign is evaluated by the VPURD and the administrative assistant and coordinator of special activities. The evaluation is reviewed with the director of development prior to the next campaign. Fund raising policies and procedures are handled by the VPURD. The Development office files annual Institutional Effectiveness reports.

The policies and practices that incorporate fund raising activities for the Ram Club are guided by the fiscal policies of ASU and by the National Collegiate Association of Athletics (NCAA) Bylaws that govern the role of support organizations for intercollegiate athletic departments. In addition, all Ram Club fund raising activities are controlled by the Ram Club Board of Directors, which conducts all activities in accordance with the Bylaws of the ASU Ram Club. The Ram Club is also audited by an outside auditor each year. All evaluations and recommendations are considered by the Ram Club Board and implemented as necessary.

The committees and offices that are responsible for developing the Ram Club fund raising policies and procedures include the Office of the VPURD, the Ram Club Board of Directors and the directors of athletics at ASU under the guidance of NCAA Bylaws that govern fund raising activities.

The ASU Alumni Association fund-raising activities are reported and evaluated monthly by the ASU Alumni Association Board of Directors. An external audit is annually conducted and reports submitted to the ASU President, VPURD, and Vice President for Fiscal Affairs.

The ASU Alumni Association and ASU Director of Alumni Relations examine fund-raising results and data following each activity. Prior to the adoption of each annual budget, all fund-raising activities are evaluated. Recommendations, based on this evaluation process, are submitted to the Board of Directors for approval. The proposed ASU Alumni Association annual budget is submitted to the VPURD for review. The ASU Alumni Association's adopted annual budget is submitted to the University President, the VPURD, and the Vice President for Fiscal Affairs.

Following the Showcase Concert and plate auction (within two weeks), The ASU FAME Board of Directors and representatives from the Department of Art and Music meet to evaluate all activities associated with fund raising efforts.

Based on the evaluations made by the Board and department representatives, decisions are made concerning:

- the selection and appropriateness of future concert and auction dates,
- advertising and promotions,
- plate making activities,
- meeting dates,
- responsibilities of individual Board members,
- changes needed to improve all activities associated with the fund-raising efforts,
- financial goals

The ASU FAME Board of Directors is governed by the policies and procedures given to the Board by the Office of University Relations and Development. The policies and procedures are incorporated within the by-laws. To insure that these guidelines and policies are followed, the Board has ex-officio members from the Office of University Relations and Development and the ASU President's Office. In addition, the Dean of Liberal and Fine Arts is an ex-officio member of the Board.

**An institution must develop policies and procedures for fund raising and ensure that such policies are appropriately disseminated and followed.**

The University is in compliance.

The Office of the VPURD handles the business and affairs of the President's Circle including the dissemination of policies. The policies and procedures for fund raising are disseminated to Ram Club members and the general public through committee meetings and regularly scheduled Ram Club luncheons.

All University-affiliated alumni fund-raising activities are approved and monitored by the VPURD. The Office of the VPURD also disseminates policies and procedures. The Director of Alumni Relations cooperates with the ASU Alumni Association Executive Committee to educate, direct, and advise the ASU Alumni Association Board of Directors on the fund-raising policies and procedures.

ASU has some impressive community support as evidenced by the size and numbers of unsolicited gifts and donations. All financial support gained through institutional advancement programs is used to promote and develop the University. While the Office of the VPURD evaluates and coordinates with the various fund raising entities discussed above, the Committee believes the sensitive nature of fund raising requires that written policies be in place and readily available throughout the campus. When the Office of University Relations and Development completes its Master Plan, this problem will be remedied.

Guidelines for fund raising and gift receipt by faculty and staff are clearly described in the ASU *Faculty-Staff Handbook*:

All fund raising efforts by University personnel must be coordinated with the Office of University Relations and Development. Requests for funding needs should be sent to the appropriate department head and/or dean and then to the appropriate Vice President for action. The Vice President then will forward the approved requests to the Vice President for University Relations and Development for final action (p. III-32).

The *Faculty-Staff Handbook* continues by stating that all gifts to the University, if practical, should be sent to and receipted in the Office of University Relations and Development: “If impractical to send the gift, complete and appropriate information and documentation for the gift should be sent. Gift receipting and acknowledgment will be handled expeditiously and exclusively by the Development Office” (*Faculty-Staff Handbook*, p. III-32).

Excellence in ASU’s advancement efforts is evidenced in the increasing numbers of top students choosing to attend the University. In addition, current alumni surveys provide sufficient data to compare alumni careers to institutional goals.

The Committee believes ASU meets or exceeds the criteria related to institutional advancement.

**Appendix A**

| <b>CHIEF EXECUTIVE OFFICER</b> |  |   |   |
|--------------------------------|--|---|---|
| <u>NAME</u>                    | <u>POSITION</u>  | <u>HIGHEST DEGREE</u>   | <u>MAJOR PROFESSIONAL EXPERIENCE AT ASU</u>   |
| Dr. E. James Hindman           | President  | Ph.D. (History)<br>Texas Tech, 1972   | President ..... 6 yrs.  |
| <b>VICE PRESIDENTS</b>         |  |   |   |
| <u>NAME</u>                    | <u>POSITION</u>  | <u>HIGHEST DEGREE</u>   | <u>MAJOR PROFESSIONAL EXPERIENCE AT ASU</u>   |
| Dr. Donald V. Coers            | Vice President for Academic Affairs                      | Ph.D. (English)<br>Texas A&M  | VPAA ..... 1 yr.  |
| Mr. Robert L. Krupala          | Vice President for Fiscal Affairs                        | B.B.A. (Accounting)<br>ASU, 1967  | Vice President..... 6 yrs.<br>Business Manger ..... 3 yrs.<br>Auditor ..... 1 yrs.<br>Assistant Auditor ..... 3 yrs.  |
| Mr. Michael P. Ryan            | Vice President for University Relations                  | M.A. (Journalism)<br>University of Oklahoma                                     | VPURD ..... 5 yrs.<br>VPUA/Exec. Asst<br>to Pres ..... 8 yrs.<br>Interim President ..... 5 mo.<br>Exec Asst to Pres ..... 5 yrs.<br>Asst to Pres ..... 6 yrs.<br>Asst to Pres/Dir.<br>of N&I ..... 5 yrs.<br>Dir. of N&I ..... 6 yrs. |
| <b>ACADEMIC DEANS</b>          |  |   |   |
| <u>NAME</u>                    | <u>POSITION</u>  | <u>HIGHEST DEGREE</u>   | <u>MAJOR PROFESSIONAL EXPERIENCE AT ASU</u>   |
| Dr. Michael Butler             | Dean of the College of Business and Professional Studies | Ph.D. (Economics)<br>Univ. of Arkansas<br>1974                                  | Academic Dean ..... 4 mo.   |
| Dr. E. James Holland           | Dean of the College of Liberal and Fine Arts             | Ph.D. (International Relations)<br>The American University,<br>1967             | Academic Dean ..... 25 yrs.<br>Interim VPAA ..... 1 yr.<br>Academic Department<br>Head (Government) .... 4 mo.<br>Associate Vice<br>President ..... 1 yr.   |
| Dr. David H. Loyd, Jr.         | Dean of the College of Sciences                          | Ph.D. (Physics)<br>University of Wisconsin                                      | Academic Dean ..... 5 yrs.  |
| Dr. John J. Miazga, Jr.        | Dean of the School of Education                          | Ed.D. (Education)<br>East Texas State   | Academic Dean ..... 1 yr.<br>Department Head..... 1 yr.   |
| Dr. Carol B. Diminnie          | Dean of the Graduate School                              | Ph.D. (Management)<br>St. Louis University                                      | Graduate Dean ..... 5 yrs.  |
| <b>OTHER DEANS</b>             |  |   |   |
| <u>NAME</u>                    | <u>POSITION</u>  | <u>HIGHEST DEGREE</u>   | <u>MAJOR PROFESSIONAL EXPERIENCE AT ASU</u>   |
| Dr. Deborah A. Hebert          | Dean of Student Life                                     | Ph.D. (Counseling Dean of Student & Human Development)<br>University of Georgia | Dean of Student Life .. 2 yrs.  |

| <b>OTHER ADMINISTRATIVE OFFICERS</b> |   |  |  |
|--------------------------------------|---|--|--|
| <u>NAME</u>                          | <u>POSITION</u>                               | <u>HIGHEST DEGREE</u>                        | <u>MAJOR PROFESSIONAL EXPERIENCE AT ASU</u>      |
| Mr. Richard W. Beck                  | Associate Vice President for Academic Affairs | D.M.A. (Music)<br>Univ. of Iowa<br>1989      | Assoc. VPAA.....2 mo.                            |
| Mr. Joe Muñoz                        | Assistant to the President                    | J.D. Texas Southern                          | Assistant to the President..... 7 yrs.           |
| Mr. Ross E. Harris                   | Business Manager                              | B.B.A. (Gen. Business)<br>Angelo State Univ. | Bus. Manager.....25 yrs.<br>Auditor ..... 2 yrs. |
| Mr. James A. Ocker                   | Personnel Manager                             | B.B.A. (Gen. Business)<br>Angelo State Univ. | Personnel Manager.....27 yrs.                    |

### **Findings**

#### Strengths

1. No evidence was found in the Regent's Minutes that the board was subject to undue pressure from political, religious or other external bodies.
2. Lay advisory committees used by various ASU departments are active, and their role and function are clearly defined.
3. A consistent review of ASU's philosophy and attention to the changing needs of the ASU community is evidenced by the inclusion of new programs such as Physical Therapy, the creation of a new School of Education, and the creation of a degree program in Criminal Justice.
4. All ASU administrative officers possess the credentials, experience and/or demonstrated competence appropriate to their areas of responsibility.
5. The relationship between ASU and alumni encourages former students to continue to participate in the development of ASU. The Office of Alumni Affairs maintains up-to-date records on the location of former students. It also performs and used the results of periodic surveys.

#### Weaknesses

1. The Office of University Relations and Development does not have a written *Master Plan*. A plan, however, is scheduled for completion in Fall, 2001.
2. The ASU evaluation program is not complete because faculty and other operations personnel are not always afforded the opportunity to evaluate administrative staff and other support units with which they have dealings.

### Recommendations and Suggestions

The Self-Study Steering Committee finds that the University is in compliance with all of the criteria in Section 6.1 and 6.2 and therefore makes no recommendations. The Committee does, however, make the following suggestion.

1. ASU faculty and other operations personnel should be afforded the opportunity to evaluate administrative staff and support units with which they have dealings.

**Section 6.1 and 6.2: Organization and Administration and Institutional Advancement  
Compliance Grid**

| <b>Must Statement</b>   | <b>Compliance Status</b> | <b>Documentation</b>  |
|---|--------------------------|---|
| <i>The administration of an institution of higher education has the responsibility for bringing together its various resources and allocating them effectively to accomplish institutional goals.</i>   | In Compliance            | <ul style="list-style-type: none"> <li>• See below</li> </ul>   |
| <i>The name of an institution, the titles of administrative heads, the designations of administrative and academic divisions, the terms used to describe academic offerings and programs and the names of the degrees awarded <b>must</b> be accurate, descriptive and appropriate.</i> | In Compliance            | <ul style="list-style-type: none"> <li>• <a href="#">2001-2003 Bulletin pp. 42-44</a></li> <li>• <a href="#">Faculty-Staff Handbook I-1-11; I-8</a></li> <li>• <a href="#">Organization Chart</a></li> <li>• <a href="#">"Academic Master Plan 2000"</a></li> <li>• <a href="#">2000-2001 Committee List</a></li> <li>• <a href="#">Constitution and By-laws of the Faculty Organization at ASU</a></li> <li>• <a href="#">Strategic Plan for 1997-2001</a></li> <li>• <a href="#">Strategic Plan for 2001-2005</a></li> <li>• <a href="#">Succession Plan for 2000-2001</a></li> </ul> |
| <i>Except under clearly defined circumstances, board action <b>must</b> result from a decision of the whole, and no individual member or committee can take official action for the board unless authorized to do so.</i>   | In Compliance            | <ul style="list-style-type: none"> <li>• Minutes of Meetings for the Board of Regents</li> </ul>  |
| <i>The duties and responsibilities of the governing board <b>must</b> be clearly defined in an official document.</i>   | In Compliance            | <ul style="list-style-type: none"> <li>• <a href="#">Board of Regents' Rules and Regulations Chapter 1</a></li> </ul>   |
| <i>The document <b>must</b> also specify the following: the number of members, length of service, rotation policies, organization and committee structure, and frequency of meetings.</i>   | In Compliance            | <ul style="list-style-type: none"> <li>• <a href="#">Board of Regents' Rules and Regulations, I-2; I-3</a></li> </ul>   |
| <i>There <b>must</b> be appropriate continuity in the board membership, usually provided by staggered terms of an adequate length.</i>  | In Compliance            | <ul style="list-style-type: none"> <li>• <a href="#">Board of Regents' Rules and Regulations, I-2</a></li> </ul>  |
| <i>A board member may be dismissed only for cause and by procedures involving due process.</i>  | In Compliance            |   |
| <i>The responsibilities of the governing board <b>must</b> include the</i>  | In Compliance            | <ul style="list-style-type: none"> <li>• <a href="#">Board of Regents' Rules and Regulations, Appendix, Chapter IV</a></li> </ul>   |

| Must Statement  | Compliance Status | Documentation   |
|---|-------------------|---|
| <i>following functions: establishing broad institutional policies, securing financial resources to support adequately the institutional goals, and selecting the chief executive officer.</i>   |                   |   |
| <i>In addition, the governing board <b>must</b> have in place proper procedures to ensure that it is adequately informed about the financial condition and stability for the institution.</i>   | In Compliance     | <ul style="list-style-type: none"> <li>• <a href="#">Board of Regents' Rules and Regulations, VI-19</a></li> </ul>  |
| <i>The board <b>must</b> not be subject to undue pressure from political, religious or other external bodies.</i>   | In Compliance     | <ul style="list-style-type: none"> <li>• <a href="#">Board of Regents' Rules and Regulations, IX-1</a></li> </ul>   |
| <i>There <b>must</b> be a clear distinction, in writing and in practice, between the policy-making functions of the governing board and the responsibility of the administration and faculty to administer and implement policy.</i>  | In Compliance     | <ul style="list-style-type: none"> <li>• <a href="#">Board of Regents' Rules and Regulations</a></li> <li>• Minutes of Meetings for the Board of Regents</li> </ul>   |
| <i>The institution <b>must</b> publish official documents which contain, but are not limited to the following information: the duties and responsibilities of administrative officers, the patterns of institutional organization, the role of the faculty in institutional governance, statements governing tenure or employment security, statements governing due process and other institutional policies and procedures that affect the faculty and other personnel.</i> | In Compliance     | <ul style="list-style-type: none"> <li>• <a href="#">2001-2003 Bulletin</a></li> <li>• <a href="#">Faculty-Staff Handbook, I-1; V-6; IV-33</a></li> <li>• <a href="#">Organization Chart</a></li> <li>• <a href="#">Academic Master Plan 2000</a></li> <li>• <a href="#">Constitution and By-laws of the Faculty Organization at ASU</a></li> <li>• <a href="#">Succession Plan for 2000-2001</a></li> </ul>  |
| <i>The administrative organization <b>must</b> reflect the purpose and philosophy of the institution and enable each functional unit to perform its particular responsibilities as defined by the stated purpose of the institution.</i>  | In Compliance     | <ul style="list-style-type: none"> <li>• <a href="#">Mission Statement</a></li> <li>• <a href="#">Faculty-Staff Handbook</a></li> <li>• <a href="#">Organization Chart</a></li> <li>• <a href="#">Academic Master Plan 2000</a></li> <li>• <a href="#">Constitution and By-laws of the Faculty Organization at ASU</a></li> <li>• <a href="#">Succession Plan for 2000-2001</a></li> <li>• President's University Progress Report, Jan. 1995-Jan. 1999</li> <li>• Self-Study Surveys</li> </ul> |
| <i>Each institution <b>must</b> develop, publish and make available an</i>  | In Compliance     | <ul style="list-style-type: none"> <li>• <a href="#">Faculty-Staff Handbook, viii</a></li> <li>• <a href="#">Organization Chart</a></li> </ul>  |

| Must Statement   | Compliance Status | Documentation   |
|--|-------------------|---|
| <i>organizational chart clearly delineating lines of responsibility and authority.</i>   |                   |   |
| <i>The duties of the chief executive officer, and of the administrative officials directly responsible to the chief executive <b>must</b> be clearly defined and made known to faculty and staff.</i>  | In Compliance     | <ul style="list-style-type: none"> <li>• <a href="#">Faculty-Staff Handbook, Chapter I</a></li> <li>• Self-Study Surveys</li> <li>• <a href="#">Organization Chart</a></li> </ul>   |
| <i>Administrative officers <b>must</b> possess credentials, experience and/or demonstrated competence appropriate to their areas of responsibility.</i>  | In Compliance     | <ul style="list-style-type: none"> <li>• Résumés of Administrative Officers</li> </ul>  |
| <i>The effectiveness of all administrators, including the chief executive officer, <b>must</b> be evaluated periodically</i>   | In Compliance     | <ul style="list-style-type: none"> <li>• President’s University Progress Report, January 1995-January 1999</li> <li>• James Hindman/Annual Evaluation June 7, 2001</li> <li>• Vice President’s evaluations</li> <li>• <a href="#">Departmental Evaluation forms</a></li> </ul>  |
| <i>Each institution should have a program of institutional advancement, which may include development and fund raising, institutional relations and alumni affairs. If there is an advancement program, it <b>must</b> be directly related to the purpose of the institution. Qualified persons should be responsible for administration of the program.</i> | In Compliance     | <ul style="list-style-type: none"> <li>• <a href="#">Alumni Survey Results</a></li> <li>• Various promotional bulletins, pamphlets</li> <li>• Institutional Effectiveness Reports</li> <li>• Résumés of administrators</li> </ul>   |
| <i>All fund raising <b>must</b> be related to the purpose of the institution.</i>  | In Compliance     | <ul style="list-style-type: none"> <li>• Master Plan for University Relations and Development.</li> <li>• Various promotional bulletins, pamphlets</li> <li>• <a href="#">Ram Club Board directives</a></li> <li>• NCAA Bylaws</li> <li>• <a href="#">Ex-Student Association</a></li> <li>• <a href="#">President’s Circle Bylaws</a></li> </ul>                  |
| <i>All aspects of fund raising <b>must</b> be incorporated into the planning process and evaluated regularly.</i>  | In Compliance     | <ul style="list-style-type: none"> <li>• Office of the Vice President for University Relations and Development.</li> <li>• Various promotional bulletins, pamphlets</li> <li>• <a href="#">Ram Club Board directives</a></li> <li>• NCAA Bylaws</li> <li>• <a href="#">Ex-Student Association</a></li> <li>• <a href="#">President’s Circle Bylaws</a></li> </ul> |

| <b>Must Statement</b>  | <b>Compliance Status</b> | <b>Documentation</b>  |
|--|--------------------------|---|
| <i>An institution must develop policies and procedures for fund raising and ensure that such policies are appropriately disseminated and followed.</i> | In Compliance            | <ul style="list-style-type: none"> <li data-bbox="857 258 1385 296">• <a href="#"><i>Faculty-Staff Handbook (III-32)</i></a></li> </ul> |