

THE OHIO BOARD OF REGENTS
REAUTHORIZATION REVIEW REPORT
Of
UNION INSTITUTE & UNIVERSITY
Cincinnati, Ohio

*Request for Institutional Reauthorization
and
Ph.D. Program Degree Reauthorization*

Site Visit: June 23-26, 2002

Executive Summary

Institution/Location

Union Institute & University, Cincinnati, Ohio;
Additional Campuses: California (Los Angeles, Sacramento), Florida (Miami),
Vermont (Montpelier).

Authorization/Reauthorization Request
Institutional/Program Reauthorization.

Affiliation/Type

Private, non-profit.

Established

In 1964, as the Union for Research and Experimentation in Higher Education
(name changed to the Union for Experimenting Colleges and Universities, then
changed to the Union Institute, and then changed to the Union Institute and
University).

Carnegie Classification

Doctoral/Research Institute.

Degree Programs Currently Offered

Bachelors and Doctorate (Liberal Arts and General).

Current Accreditation (Regional/OBR/Professional or Specialized Agency)

Higher Learning Commission of the North Central Association of Colleges and
Schools; Ohio Board of Regents; and a variety of professional and specialized
agencies.

Current Enrollment

1812

Review of Request

OBR Staff:

Jack Connell, Jane Fullerton, Marlene Rushay, Jon Tafel, Garrison Walters.

OBR Coordinators:

Larry Bradley, Sarah Thorburn.

External Consultants:

Arts & Sciences: J. Herman Blake, Iowa State University; Gary Wihl, Emory University.

Business/Organizational Management: Chester McCall, Jr., Pepperdine University; John Muffo, Virginia Tech.

Clinical Psychology: Albert Hastorf, Stanford University; Raymond Trybus, National University.

Educational Leadership Systems: Barry Bull, Indiana University; Michael Gimmestad, University of Northern Colorado.

Psychology: Sylvia Velasquez Marotta, George Washington University; Linda Sobell, Nova Southeastern University.

Public Policy & Administration: Jacek Kugler, Claremont Graduate University; Alvin Thornton, Howard University.

Library Resources: Jinnie Y. Davis, North Carolina State University.

Report Recommendation to Chancellor

Consultants withhold a Recommendation for Reauthorization at this time.

Institutional Response Date

Staff Recommendation to Chancellor:

REPORT
UNION INSTITUTE & UNIVERSITY
Institutional/Program Reauthorization

Purpose of the Review

Institutional reauthorization is the comprehensive review of a university's degree programs, normally scheduled to coincide with that institution's renewed accreditation review by a regional accreditation agency (e.g., North Central Association, Southern Association, New England Association, Middle States Association, Western Association, and Northwest Association). The Reauthorization Review ensures that an institution is maintaining compliance with the academic quality standards for programming established by the Ohio Board of Regents.

The focus of the 2002 Reauthorization Review for the Union Institute and University was on the assessment of the Interdisciplinary Ph.D in Arts and Sciences degree program. Six concentration areas within the degree were identified for the purpose of reauthorization:

1. Interdisciplinary Studies in Organizational Behavior/Development;
2. Interdisciplinary Studies in Educational Leadership Systems;
3. Interdisciplinary Studies in Psychology;
4. Interdisciplinary Studies in Public Policy;
5. Interdisciplinary Studies in Arts and Sciences; and
6. Interdisciplinary Studies in Clinical Psychology.

Review Process

The Reauthorization review occurred June 23-26 on the main campus in Cincinnati, Ohio. External consultants, recognized as scholars/experts in their respective disciplines and with experience in directing doctoral dissertations, participated in the review. The disciplinary experts were selected collaboratively by the Ohio Board of Regents and the Union Institute and University. Two external consultants were identified to review each concentration area, and each team was assisted by an OBR staff member/coordinator. The charge to the external consultants was to focus upon outcomes, rather than just processes.

The Reauthorization process focused on programmatic outcomes in the six identified areas, in particular the quality of the learning product or the doctoral dissertation. External reviewers were provided with learning products for their review throughout the visit (reviewers chose learning products randomly and were provided additional learning products selected by the institution). The external consultants' critiques were based upon review of reauthorization materials provided by the institution, review of learning products of students, and from interviews and discussions with staff, faculty, and students at Union Institute and University during the site visit.

The Reauthorization Review was structured in two phases. The first phase was focused upon understanding the institution's staffing and academic models, and the second phase was focused upon learner outcomes and appropriateness

of programming as related to the recognized standards for a Doctor of Philosophy degree program.

Profile

In 1964, a national consortium, the Union for Research and Experimentation in Higher Education, consisting of ten liberal arts colleges came together for the purpose of expanding American education with a primary focus on providing alternative educational opportunities to adult learners. The consortium included Antioch University, Bard College, Goddard College, Hofstra University, Monteith College of Wayne University, Northeastern Illinois University, Sarah Lawrence College, Shimer College, and Stephens College. The Union operated from the campus of Antioch University in Yellow Springs, Ohio, and later moved the administrative offices to Cincinnati in the early 1970's.

In 1970, with funds from the U.S. Office of Education and the Ford and Carnegie Foundations, the consortium established the "University Without Walls" program, and renamed the enterprise, the Union for Experimenting Colleges and Universities (UECU). In 1971, UECU was granted authorization from the Ohio Board of Regents for the Bachelor of Arts, Bachelor of Science degree programs, and for an innovative Individualized Ph.D. program proposal.

In 1982, the consortium was dissolved and UECU became an independent, non-profit university and continued to offer baccalaureate and doctoral programs. In 1985, UECU was accredited by the North Central Association of Colleges and Schools (NCA), and has held continuous accreditation since that time. The most recent NCA visit and reaccreditation occurred in 2000.

In 1989, UECU changed its name to The Union Institute. In 2001, The Union Institute acquired Vermont College from Norwich University, and recently changed the institution's name to the Union Institute & University.

Today, Union Institute & University (UI&U) is composed of two colleges:

- 1) The College of Undergraduate Studies with regional centers at Cincinnati (includes UI&U's national Center for Distance Learning), Miami, Los Angeles and Sacramento; and
- 2) The Graduate College centered in Cincinnati and includes the School of Interdisciplinary Arts and Sciences and the School of Professional Psychology.

Union Institute & University's main campus continues to be located in Cincinnati, Ohio, and includes two buildings with newly renovated offices, classrooms, and meeting spaces. The main campus houses academic and administrative services to students, faculty and to its education centers. The Center for Distance Learning, the Graduate College, and one of four College of Undergraduate Studies Learning Centers are also headquartered on the Cincinnati property.

Aside from the main campus in Cincinnati, other UI&U education centers are located in Montpelier, Vermont; Miami, Florida; and two in California: Los Angeles and Sacramento. UI&U faculty are also located around the country

where UI&U has significant numbers of students: Alabama, Colorado, Connecticut, Delaware, Florida, Georgia, Louisiana, Maine, Maryland, Massachusetts, Michigan, Minnesota, Montana, New Hampshire, New Mexico, New Jersey, New York, North Carolina, Oregon, Pennsylvania, Rhode Island, Texas, Washington, Washington, D.C.

UI&U students may be found in the Caribbean region and in 21 foreign countries.

UI&U programs are, "... tutorial-based, faculty-mentored, independent study and research programs." However, UI&U is not primarily a distance education institution.

Accreditation/Authorization/Licensure:

- The Higher Learning Commission of the North Central Association of Colleges and Schools, continuous since 1982;
- The Ohio Board of Regents, continuous since 1971;
- Vermont Higher Education Council, since 2001;
- Florida Commission for Independent Education;
- California Bureau for Private Postsecondary and Vocational Education;
- Oregon Office of Degree Authorization, Student Assistance Commission.

Memberships:

- American Association of University Administrators (AAUA);
- American Association for Higher Education (AAHE);
- American Council on Education (ACE);
- Association for Governing Boards (AGB);
- Council for Adult and Experiential Learning (CAEL) (founding member of CAEL);
- Council for the Advancement and Support of Education (CASE);
- National Association of College and University Business Officers (NACUBO);
- National Association of Independent Colleges and Universities (NAICU);
- National Council of Nonprofit Associations (NCNA);
- National Society of Fundraising Executives (NSFE);
- Public Relations Society of America (PRSA); and
- Many other state and national associations.

Mission/Purpose:

The Union Institute & University declares that its academic programs and services are based upon four core values:

- 1) Academic Excellence,
- 2) Interdisciplinary Study,
- 3) Awareness of the Social and Personal Implications of Study, and
- 4) The Integration of Theory and Practice in Learning.

"In keeping with its founders' commitment to experimentation and research in higher education, The Union Institute advocates, not only for itself but for the higher education community, learner-initiated learning and the search for more effective and productive systems to better serve the educational objectives of

adult learning. It seeks to produce graduates who, as a result of this education, will influence by example responsible change in and beyond the academy.

Through collaborative processes in which learners are active participants rather than passive recipients of information, self-motivated individuals are guided to obtain the knowledge, skills, and competencies required for the development of the individual and society. The high-quality individualized interdisciplinary degree programs serve mature self-motivated adults willing to participate actively in the design and execution of appropriate programs, learning outcomes, and experiences.

For all its departures from the ordinary, one particular traditional value remains paramount--rigorous educational standards. It has been the clear vision from the Institute's beginning that only the highest quality scholarship and values would validate the efficacy of its innovative approach to learning.

Disciplined awareness of the social and personal implications of study and scholarship and the importance of interdisciplinary learning guide its programs. It seeks to graduate lifelong learners with a strong sense of self and community, cognizant of the obligation to share the talents, values, and opportunities afforded by their education. This integration of theory and practice in pursuit of a greater good is not just incumbent on the graduates; it is a vital component of the university, uniquely translated into daily action through programs and personnel dedicated specifically to addressing assertively and affirmatively its public service obligations.

In its search for new and better ways of educating adult learners, its emphasis on utilizing that education for the betterment of society, and its inclusiveness of both people and ideas, The Union Institute perpetuates its founding principles, and, in the words of its seal, is truly The University with Values and Vision (Adopted by the Board of Trustees, November 1997)."

President Sturnick's vision, "... establishes a renewed commitment to research, scholarship, and pedagogy related to the University's academic model." That vision underlies the institutional strategic plan and financial plan. Faculty, staff, alumni, learners, and those external to UI&U are encouraged to participate in the development of new programs and program models while maintaining alignment with institutional mission, core values, and UI&U vision.

Academic Control:

The organizational structure of UI&U is as follows:

- The Board of Trustees (in which lies ultimate authority);
- The Executive Committee of the Board (deals with operations of the institution when the Board is not in session);
- The President (whose authority is granted by the Board of Trustees);
- The President's Council (advisory council to the President);
- The University Council (composed of individuals from the Faculty Council, the Staff Council, the Budget & Finance Committee, the Strategic Planning

Committee, the Academic Coordination Committee, and the Social Responsibility Committee--additionally, structures are in place for Learner inclusion in the governance of the institution); and

- The VP & Dean Undergraduate College, the VP & Dean Graduate College, the VP & Dean of Vermont College.

Currently, there is an 11-member Board of Trustees, that manages the business and property of the educational corporation. The President also sits on the Board as an Advisory/ex-officio member. The Executive Committee of the Board conducts the business of the corporation when the Board is not in session. The Board delegates authority and responsibility for the President.

The President, Judith Sturnick, is the presiding officer of the University, and works closely with the Board of Trustees. The President's Council meets weekly and provides consultation and advice to the President. The Council consists of the Executive Assistant, the Provost, VP & Dean of Graduate Studies, VP & Dean of Undergraduate Studies, the Chief Fiscal Officer, and the VP Development and University Relations.

The Colleges (the College of Undergraduate Studies, the College of Graduate Studies, and Vermont College) all operate under guidance of the College-based Faculty, the V.P.s and Deans of each College, and with oversight from the President's Office and her advisory councils, and with ultimate approval by the Board of Trustees.

The Joint Committee on Governance recently crafted the *Interim Governance Agreement*, for the purpose of ensuring inclusiveness of UI&U governance structures at all levels. The Agreement created the Faculty Council, the Staff Council, and the University Council to address institution-wide issues and to forge open lines of communication throughout the University's organization and structures. Each Council reports to the President and the Executive Committee of the Board of Trustees.

UI&U's model of "learner-centered" education for adult learners relies upon strong relationships between faculty and student learners. The primary responsibilities of faculty are advisement, mentoring, and support, as well as delivering instruction and evaluating learner work products. UI&U students are expected to be self-directed and motivated, and UI&U faculty and staff are expected to provide the necessary support for those learners to succeed in their endeavors. In this respect, learners, faculty and staff are considered collaborative partners in the UI&U education enterprise.

The stated cornerstones of the University's programs are:

- 1) Excellence in Scholarship,
- 2) Interdisciplinary Scholarship,
- 3) Integration of Theory and Practice, and
- 4) Awareness of Social Implications of Study and Scholarship.

The goal for academic control at UI&U is to ensure that these core values are aligned with institutional, administrative and learner goals, and faculty and learner activities and opportunities.

The Vice President & Dean of Undergraduate Studies, and the Vice President & Dean of Graduate Studies oversee each College's activities along with the participation of the Faculty of the College. Each College has a Faculty Council that deals with personnel and academic issues, and with Faculty development. Each College also has a Staff Council that deals with personnel issues, administration coordination, and staff development. Within each College are structures for learner participation in the governance of the College. Each Staff Council not only works directly with the VP & Deans of the two Colleges, but also participate in the University Council that advises the President and the Board of Trustees.

The VP & Dean of Undergraduate Studies oversees the Adult Degree Program, the College of Undergraduate Studies, the Lifelong Learning Division, the Vermont College Facilities & Support Division, Enrollment Management, and Strategic Planning.

The VP & Dean of Graduate Studies oversees the Doctoral Program (the School of Interdisciplinary Arts and Sciences, and the School for Professional Psychology), the Masters Programs, and the Post-Masters Certificate Programs. This position is supported by an Assistant Dean and an Administrative Manager. The Graduate College has an advisory committee, the Council of Representatives, which is the executive committee of faculty assigned to the College.

The Provost is the Chief Operating Officer overseeing Accreditation & Licensing, Admissions, Affirmative Action, Assessment, Institutional Research, Learning Resources, Library Resources, and the Registrar/Academic Records.

The Associate Vice Provost for Learner Services is responsible for the administrative departments that include admissions, academic records, and library and learning resources supporting doctoral students.

The Chief Fiscal Officer oversees the Business Office, Computer Services, Facilities, Financial Aid, Human Resources, Information/Reception, Purchasing, Travel, and Conferencing.

The VP Development & University Relations oversees Institutional Advancement including: Communication, Development, Media Relations, Publications, and Public Relations.

All academic records are housed in Cincinnati, Ohio and are maintained through the University's CMDS Student Information System. The Registrar has ultimate responsibility for student records. Policies pertaining to academic records are derived from guidelines set out by the American Association of Collegiate Registrars and Admissions Officers (AACRAO).

Financial assistance for learners is the responsibility of the Financial Aid Office on the Cincinnati campus. The office is accessible either on site, via telephone, email, fax, or through the UI&U website.

Review Team:

Governance policies are in transition as the institution begins the process of merging the former Union Institute with Vermont College into the new entity (i.e., the Union Institute and University). The process is expected to take 3-5 years.

With the acquisition of Vermont College and the impending changes and revisions to organizational and structural elements at UI&U, there have been numerous additions to the senior management team. At this time, not all team members appear to be well informed of new initiatives and the implementation of those initiatives.

Because the institution's strategic plan will not be available for discussion and final approval until November of 2002, and despite references to the strategic planning initiatives that have been undertaken, the institution continues to operate on a "day-to-day" basis that addresses issues as they arise, as opposed to following an "in place strategic plan" that takes into account goals and objectives, identifies benchmarks, and assesses and evaluates all facets of organization and implementation on a regular basis.

New standing committees and the administrative transition team initiatives were not able to provide the review team with a complete account or evaluation of their work to date.

The academic control structures and organization of both the School for Professional Psychology and the School of Interdisciplinary Arts and Sciences, as currently practiced and implemented, presented the review team with many questions and concerns about: admission standards, degree completion rates, learner and faculty support in programs, assessment and evaluation of learning and programs, consistency and quality of programs, and the programs of study meeting the accepted standards for doctoral-level programming.

Curriculum:

The stated cornerstones of the institution's programs are:

- 1) Excellence in Scholarship,
- 2) Interdisciplinary Scholarship,
- 3) Integration of Theory and Practice, and
- 4) Awareness of Social Implications of Study and Scholarship.

The stated four core learning criteria for doctoral learners are:

- 1) Research,
- 2) Writing,
- 3) Critical Thinking, and
- 4) Multiple perspective-taking.

Interdisciplinary scholarship is central to UI&U's mission and purpose, and is a specific stated program requirement in the doctoral program. Additionally,

practical applications are considered imperative in grounding theoretical constructs. Therefore, learners are expected to integrate real-life questions as well as theoretical suppositions in their programs of study.

In 1998, the institution adopted a policy that established a maximum enrollment period of 5 years (60) months. In 2001, UI&U instituted policy requiring doctoral learners to submit progress reports each semester documenting learner activity. The policy revision was instituted to allow for closer monitoring of each student's progress in her/his program.

The program model and process include:

- 1) Application;
- 2) Entry Colloquium and Matriculation;
- 3) Forming the Doctoral Committee;
- 4) Learning Agreement and Certification;
- 5) Required Residency;
- 6) New Learning;
- 7) Internship;
- 8) Personal Development; and
- 9) Graduation.

Application

As individualized, learner-centered education may not be appropriate for everyone, UI&U states that admissions and recruitment processes are focused on identifying individuals who show promise in succeeding in such a program, and not upon standardized testing, grade-point averages, and class rankings (the latter criteria are not required in the application process).

Faculty assess and evaluate admissions applicants based upon UI&U's application criteria, including written essays. The stated objective in the application process is to identify students with the skills and characteristics to succeed in the UI&U doctoral program. Faculty also interview prospective students and have the responsibility for recommending a prospective applicant for admission into the program. Without this recommendation an applicant cannot move forward in the process. Therefore, applications are submitted to the admissions office, and then are reviewed and evaluated by faculty committees who make recommendations to the Dean of the College. Along with administration, faculty share in the advisement and assistance of applicants.

The admissions material to be submitted with the application for graduate work include:

- 1) An earned master's degree from an appropriately accredited institution;
- 2) Three application essays;
- 3) Three recommendations.

No prior academic credits may be transferred into the program. All applicants are presented with the *Learner Handbook* that outlines the Graduate College program process and all requirements.

The Doctoral Program process and activities include:

Graduate Entry Colloquium and Matriculation

The Entry Colloquium, a required ten-day faculty convened colloquium, is the learner orientation into the program process and provides opportunity for scholarly discussions with new learners before the application process is completed. The colloquium is also an assessment process for faculty to gauge learner ability to engage in scholarly discussion, and to assess learner abilities before the learner's final admission into the program. Conveners, faculty assessors who work with applicants in the colloquium, may determine during the colloquium that the learner is not well suited to the UI&U program and may advise the Dean that the applicant is not appropriate for admission and may deny admission at that time to the applicant. The Entry Colloquium is normally limited to 20 learners per session.

Forming the Doctoral Committee

Conveners and the Dean of the College assist the new learner in developing her/his doctoral committee through the following process:

- 1) Identify a Core Faculty Advisor--First Core (the learner identifies First Core Advisor from UI&U faculty). The First Core faculty member works with the student to fully develop their program, and to help the student identify Committee members. The First Core faculty is described as mentor, guide, advisor, supporter, and evaluator. Initial responsibilities of the First Core Faculty Advisor include: Doctoral student advisement (application, admissions, program), and the Entry Colloquium.
- 2) Identify Committee members with advice and approval by the First Core Advisor and the Dean.

Committee structure: Chair, First Core & Second Core Faculty, Two Content Monitors and Evaluators, and Two Peers.

- 1) Chair: The learner;
- 2) First Core and Second Core Reader (The Second Core Reader is also identified from UI&U faculty). The Second Core Faculty provides additional support "from a distance" to the learner as she/he moves toward completion of program. The Second Core Reader is one of three required Content and Quality Assessors on the doctoral committee);
- 3) Content Monitors and Evaluators: Two adjunct faculty from outside UI&U; (Adjuncts must have expertise within a learner's focus area(s), and must possess a doctorate, and must have doctoral-level experience), and;
- 4) Two Peers (other current doctoral Learners or graduates of the program). Peer members of the doctoral committee must be able to make substantive contributions to the learner's program, and serve as "peer reviewers." These individuals are either current doctoral students or students who have recently completed their doctoral program.

Appropriateness of subject matter expertise in the area of the learner's proposed program is the only stated criterion utilized in the Committee selection process.

Due to the interdisciplinary structure of the program, learners design their individualized programs of study with the advice and support of faculty and committee members. It is stated that programs must be aligned with the core values and core learning criteria established by UI&U in its mission statement and vision for the future. A *Learning Agreement* provides the form and content of the learner's doctoral program.

The Learning Agreement

This document, created collaboratively with the committee, is the learner's program of study and activities proposal for the doctoral program. The Agreement must be approved by the learner's committee and by the Dean.

Residency

Thirty-five days of residency are required of each doctoral learner. The residencies may be accomplished by attending a learning experience at the main campus, at one of the University's other campuses, or at another location. "Learners participate in at least three five-day Graduate College-sponsored seminars and at least 10 learner-facilitated peer days." Seminars are held at locations across the U.S., and may be held in a foreign country. Peer days are one-day seminars created by learners.

New Learning

May be accomplished through independent reading, mentored interactions, tutorials, collaborative research, and art-based process work.

Internship

The internship is designed to enhance the learner's competency in an identified area. This activity may be "exploratory, re-definitional, action-oriented, mentor-based, or traditional." This is an opportunity for the learner to integrate theory into practice.

Personal Development

"The personal development component is seen as a way for learners to integrate and complement professional knowledge and competencies with self-awareness and growth."

Graduation

Upon completion of the doctoral program the learner must demonstrate competency in the four core learning criteria: research, writing, critical thinking and multiple perspective taking through a Project Demonstrating Excellence (PDE) (typically in the form of a dissertation, but not limited to the typical dissertation format).

Assessment

Two faculty standing committees are responsible for developing and implementing annual assessment of learner outcomes. The Graduate Faculty Quality Assurance Committee has created an assessment process by which committee findings are reported and recommendations are made to faculty and University administrators. The Office of Institutional Research monitors and performs a follow-up review of any changes resulting from standing committee

recommendations for the stated purpose of insuring quality of learner outcomes.

Student and alumni surveys supplement the assessment process, and provide short-term as well as long-term assessment and evaluation of programs.

Review Team:

Overall, and perhaps due to the nature of the interdisciplinary program and the institution's current practices, curricular areas appeared somewhat nebulous and undefined. The team found that common cores of learning, provisions for the foundational elements of learning, demonstration of research competencies, and comprehensive demonstrations of learning were not evidenced.

Learning Events/Seminars required of or actually taken by doctoral level learners may be substantively different in content from what is specified in a learners' program of study. The relevance of these learner activities for learners' academic development may be questionable.

Learners who are unable to accomplish research learning goals through the format of a Learning Agreement or from research-oriented learning available through UI&U often seek that learning from another institution. Because the entering learner immediately begins her/his research activities, the assessment of the learner's research competency in the admissions process often seems inadequate and UI&U's provisions for learning the techniques and methods of research and analysis during the program often seem insufficient. Because the ability of a Ph.D. student to understand and participate in research is the foundational feature of any Ph.D. program, attention to research methodology in UI&U's doctoral program was of great concern to the team.

"Excellence in scholarship," as one of UI&U's four core values, was not realized in practice according to the team's review of the PDE's (dissertations/culminating projects). Through evaluations of the learner PDE's (dissertations/culminating projects) and interviews with faculty and learners, the team found that expectations for student scholarship at the doctoral level were not as rigorous as is common for doctoral work. For example, many of the PDE's lacked a researchable question and/or an hypothesis to investigate. There was significant concern over this apparent departure from expected standards of scholarship for dissertations in Ph.D. degree programs in the United States.

A review team analysis of the composition of the Learner Committees and subsequent interviews with faculty and students did not provide sufficient evidence that the Learner Committees were capable of meeting doctoral level learner needs. Additionally, not all members of each committee appeared to meet commonly recognized doctoral level standards for participating on such committees. There was evidence of committee members without appropriate expertise in the learner's field/discipline program of study.

The Vice-President and Dean of the Graduate College must review and approve of every learner's PDE of which over 200 are produced annually. The Team has concern about the capacity of one person to perform this review systematically

and conscientiously, especially when he or she has numerous other daily activities and responsibilities.

Faculty:

As UI&U's offerings are widely dispersed throughout the United States and the rest of the world, its faculty are also widely dispersed and available throughout the world. The majority of UI&U faculty, especially those participating in faculty advisement for doctoral learners, typically work from the locales in which they live and do not deliver on-site instruction.

The main campus in Cincinnati houses academic and administrative services to students, faculty and to its education centers. The Center for Distance Learning, the Graduate College, and one of four College of Undergraduate Studies Learning Centers are also headquartered on the Cincinnati property. Faculty deliver on-site advisement and instruction in Cincinnati, as well as providing advisement for learners who may live elsewhere.

Faculty also deliver on-site instruction at the other UI&U education centers located in Montpelier, Vermont; Miami, Florida; and Los Angeles and Sacramento, California. Faculty designations include full-time, less than full-time, part-time, and adjunct.

Additionally, UI&U faculty are located around the country where UI&U has significant numbers of students: Alabama, Colorado, Connecticut, Delaware, Florida, Georgia, Louisiana, Maine, Maryland, Massachusetts, Michigan, Minnesota, Montana, New Hampshire, New Mexico, New Jersey, New York, North Carolina, Oregon, Pennsylvania, Rhode Island, Texas, Washington, Washington D.C., and several foreign countries. These faculty are utilized for student advisement and support, as tutors, and as content specialists for the doctoral students (i.e., full-time, less than full-time, part-time, and adjunct).

Faculty committees meet regularly via teleconferencing and sometimes face to face at a central location. Normally, the full faculty meets three times a year. Agendas for the meetings are established by the Council of Representatives.

Faculty designations for faculty not participating in on-site instruction include full-time, less than full-time, part-time, and adjunct. The interdisciplinary nature of UI&U programs demands faculty with exceptional expertise, knowledge and abilities. UI&U states that faculty commitment to program goals and objectives and University values are imperative for the success of UI&U programs.

Overall, UI&U faculty are contracted for full-time, less than full-time, or part-time status (adjunct status and part-time status are different designations at UI&U). All faculty begin as part-time faculty, and then must request full-time status. Full-time status may be granted through a standardized process for that purpose and outlined in the *Personnel Policies Manual*.

Core faculty within a program may consist of full-time, less than full-time, and part-time faculty. The designation of "Core" faculty indicates a faculty members'

core involvement in a program (e.g., having an ongoing appointment in the program, or participating in some aspect of the core elements of a program).

Adjuncts must have expertise within a learner's focus area(s), and must possess a doctorate, and must have doctoral-level experience. Adjunct faculty, employed as scholar/practitioners, support "Core" faculty by providing specific services for learners. Adjunct faculty serve as tutors and learning assessors at the undergraduate level. At the doctoral level, adjuncts may serve as voting members on a learner's doctoral committee and "as content specialists and learning assessors." Adjuncts do not participate in institutional or faculty governance.

Each faculty member is appointed to one of the Colleges (Undergraduate or Graduate), and there is little or no crossover of faculty instruction between the Colleges.

Loads for full-time graduate faculty are determined by the number of advisees a faculty member may have. The maximum number of advisees is 24 for a full-time faculty member.

Loads for less than full-time graduate faculty are 15-19 advisees for 3/4 time faculty, 10-14 advisees for half-time, and 5-10 advisees for part-time faculty.

In the doctoral program, adjuncts are hired on a one-time basis, to participate on a learner's committee, and are contracted specifically for their committee work.

Current overall faculty numbers include:

Full-time faculty	110	
Full-time with earned doctorates:	91	(82.7%)
Part-time faculty	112	
Part-time with earned doctorates:	60	(53.6%)
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Total Faculty:	212	
Total Faculty with earned Doctorates:	151	(68%)

UI&U operates within NCA and OBR criteria that require instruction in a program by an appropriately qualified individual with either a terminal degree in the field or having a degree one level higher than the degree program they are teaching. It should be noted that the Master of Fine Arts program at Vermont College skews the faculty numbers somewhat, as the MFA is the terminal degree in that field. Otherwise, UI&U faculty holding a Master's degree are only eligible for instruction at the undergraduate level. All Graduate College faculty hold the doctorate.

"The Graduate College's Faculty Appointments and Status Committee (FASC) is responsible for developing criteria for faculty appointments, and participate in faculty recruitment and hiring." Currently, criteria include: an earned doctorate, experience in advising and working with adult learners, an

interdisciplinary perspective, a commitment to diversity, and experience as facilitators, scholars, and mentors.

"The Faculty Development Committee is responsible for the orientation of new faculty," and the "Personnel Policies Manual describes the process and criteria for evaluation of faculty." The Faculty Development Committee also plans and implements professional development opportunities for faculty at regularly scheduled meetings.

There is no tenure system for faculty, although senior faculty are offered multi-year contracts. Faculty do not receive rank positions at UI&U, nor does the institution employ graduate students as teaching assistants. Full-time, less than full-time, and part-time faculty all participate in institutional and faculty governance.

New faculty are mentored by senior full-time faculty who are assigned to each new member. The role of the mentor to the mentee is to provide thorough review of all policy and practices at UI&U. UI&U has a structured process for mentoring new faculty into the institution and for maintaining communication between new faculty and senior faculty. In the Entry Colloquium new faculty are paired with senior faculty for orientation purposes and to guide the new faculty member through the Colloquium process.

Faculty evaluation is accomplished through the Faculty Committee. The Committee, through a peer review process, reviews faculty performance and make recommendations. Self-assessment and learner assessment supplement the Faculty Committee review process.

Contracts for faculty are offered on a 1-year, 3-year, or 5-year basis, depending upon several factors and are clearly outlined by each College.

Professional development/scholarly activities of full-time graduate faculty include: \$500 allocation to attend conferences, \$750 for a presentation. The UI&U grants office provides support for grant writing, and UI&U provides sabbatical leave for full-time faculty for scholarly purposes. Additionally, professional development retreats are offered once a year. Other incentives include free tuition to any Union programs for any full-time employee and family members.

A new strategic initiative is currently in the development process for the improvement of faculty unity within both the undergraduate and graduate colleges. Currently the governance organization and structures for faculty are divided between the two colleges. Through a unified governance structure, UI&U will be able to "expand faculty resources available to all learners, further enriching their learning experience. . . provide significant opportunities for faculty development and many more opportunities for collegial interchange."

The design and development of the initiative is being accomplished through the efforts of the following groups: UI&U's Institutional Review Board, the Strategic Planning Committee, the Technology Committee, the Faculty, and a number of

other committees and task forces within the institution. Participation at all levels is a primary focus of the development process.

Review Team:

The team had concern that some faculty were not staying current and participating regularly in scholarly activities in their fields/disciplines. There also appeared to be a greater institutional emphasis on the practitioner credentials of faculty rather than the scholarly activities of faculty. Such an emphasis is questionable for faculty in Ph.D. programs.

While faculty full- and part-time status is associated with a particular load of students, it was unclear to the team whether faculty scholarly accomplishment is considered in determining whether the institution appoints faculty members to such status categories or whether the status is determined entirely by student demand and faculty willingness to accept the appointment.

Identification of new full-time faculty appears not to be based upon identified academic needs and faculty academic capability, as would normally be the practice in faculty staffing systems. Apparently, faculty move toward full-time status according to each faculty member's ability to handle more work. While UI&U did provide a method for assessment and evaluation of faculty (annual self assessment coupled with the Dean's review), faculty expertise, credentials, and scholarly activity was not evidenced as the primary criterion for advancement. For doctoral faculty, ongoing scholarly accomplishment should be an important consideration in determining faculty status.

The team was not presented with a clear and standardized method for identifying and addressing deficiencies in faculty performance, with a process whereby students and faculty can appeal determinations of poor performance, or with procedures for faculty termination.

Faculty participation in academic decision-making processes was not clearly evident because interviewed faculty were often unable to provide the team with satisfactory answers to questions about academic policy or the procedures by which it is determined.

Documentation of professional development activities of faculty and of intellectual activities of faculty during the regularly scheduled annual faculty meetings was minimal.

The team was concerned about apparent inequities in faculty time commitments to learner committee work and to academic service to the institution; these inequities occurred at all levels of faculty appointment, including the full-time to the various part-time categories.

Adjunct training appears to derive informally from the adjunct's participation in a learner's committee rather than from an institution-sponsored and organized system of training activities. Additionally, some adjuncts seem to play the major role in mentoring learners, and this fact also raised concern for the team.

No C.V.'s/resumes of adjuncts were presented for the team to determine appropriateness of adjuncts' qualifications and credentials. C.V.'s of regular faculty were often incomplete and seriously out of date.

Support Services:

The UI&U communities are bound by policies that include academic and administrative policies and governance issues, accessibility, affirmative action, sexual harassment, non-sexist language, research, alcohol and substance abuse, records retention, right-to-know, confidentiality, and security. Prospective students are presented with literature to advise them of all UI&U policies prior to seeking admission.

UI&U also presents to prospective students guidelines for program entry and expectations for student and instructor conduct (including satisfactory progress/academic standing, transfer of credit, grading policies, program completion policies, withdrawals, emergency leave, probation, waivers, and appeals).

UI&U is currently creating an enrollment management system as part of the new strategic planning process. The new system will address the complexities of student recruitment, learner services, enrollment goals, retention/attrition, and program completion processes.

The UI&U program model is specifically geared toward the working adult, and is structured to accommodate the special needs of that population, including providing administrative services to students to accommodate their work schedules. Students may seek financial aid from the traditional sources of such loans (i.e., federal/state resources), and also from UI&U. The institution awarded more than \$285,000 in institutional aid to learners during the 2000-2001 academic year.

UI&U provides access to most services through web-based applications, including services offered on-site. The institution is in the process of launching a restructured University Web that includes: a new navigation system, many interactive forms and printable formats for all forms, internally developed searchable databases and directories to replace existing text lists, a community calendar, life-long email addresses or forwarding service for the institution's community, and enhancement of UI&U's research engine.

As UI&U is not primarily a distance education institution, learners work predominately "within tutorial-based, faculty-mentored, independent study and research programs." Learner services are structured to accommodate the delivery model at UI&U. However, periodically the institution may offer online seminars to meet student needs.

Library resources include the UI&U virtual library available through the institution's website, physical libraries located on the Cincinnati and Montpelier campuses, and the InterLibrary Loan System. Students also have access to OhioLINK through library use agreements with surrounding institutions.

OhioLINK connects each student to all of the public college and university libraries in the state of Ohio.

The May 2002 strategic plan has identified "information technology and know-how" as a weakness and commits the university to addressing this issue by including a goal to "develop library and learner resources and access to them."

The appointment of the Library and Information Services Advisory Committee offers a mechanism by which library planning, determination of goals, and follow-through with implementation can be carried out, including decisions on the integration of the Vermont College library's staff and collections.

UI&U library staff are aware of the direction in which the university must advance to improve information services and collections for its user community; the emphasis on electronic resources is an appropriate one. The university administration is supportive of the library and recognizes its fundamental role in the academic mission.

UI&U provides services for learners and staff traveling to the Cincinnati campus that include the University's Travel and Conferencing Office. The University's Affirmative Action Office ensures that . . . "consistent levels of service are provided to all learners and that learners with special needs are reasonably accommodated." The two main campus buildings have been recently renovated and provide appropriate learning environments and other amenities to Learners and staff.

Review Team:

A comprehensive listing/analysis of the cost to students of the program was not evidenced in the materials provided. While UI&U presented the team with a cost figure of \$15,000 tuition per year, information provided to students apparently did not include an estimate of additional costs to the student over and above tuition (e.g., required learning events, seminars, etc.). Relatedly, the team was concerned with the nature of financial advising provided to prospective and current students.

The team raised concern over the ability of new learners to identify faculty members who are qualified to help them move successfully through the program, especially in light of new learners' limited experience in evaluating the faculty members' academic professionalism, academic credentials, and scholarly activities.

There was concern over doctoral student access to adequate library academic resources and library staff. Additionally, the library services available to orient and support doctoral learners appeared inconsistent. Library assessment procedures were insufficient and did not provide adequate evaluation of current and future needs. As planning continues, library resources remain in a transitional stage and may not provide current students with adequate access to needed academic resources during the transitional period.

Financial Resources:

UI&U's programs and operations are tuition driven, and the University's financial resources have been under consistent fiscal oversight and management for the last twenty years. External audits are performed annually to ensure fiscal responsibility at all levels. For the last ten years the institution has operated with an "unrestricted surplus" in its general operating fund.

A new strategic initiative will link University planning to the budget process in an effort to move from a static budgeting profile for financial management to a financial planning profile that takes into account future overall planning and financial projections.

New initiatives for institutional advancement include fund-raising, increasing institutional visibility, developing strategic partnerships, and board development.

Ohio Programs Enrollments:

	1997	1998	1999	2000	2001
Total College of Undergraduate Studies:	802	782	681	690	681
College of Undergraduate Studies (Ohio Residents):	149	159	136	164	165
Total College of Graduate Studies:	1,234	1,237	1,178	1,122	1,137
College of Graduate Studies (Ohio Residents):	106	110	113	101	120

Gender, Ethnicity, and Cultural Concerns:

UI&U has policies and procedures in place to ensure access and opportunities to students and staff regardless of gender, ethnicity, culture, and sexual orientation. Of special note is the long standing access program for students graduating from historically black colleges to enter into UI&U's doctoral program. Also, the institution maintains an Affirmative Action Office and a Student Omsbudmen's Office to further address issues affecting students and opportunities at UI&U. Both faculty and Learner populations represent a wide range of diversity.

STRENGTHS

- A well-established, national program structure that has a history of serving diverse adult learners.
- A faculty, staff, and administration dedicated to serving adult learners.
- Assessment processes that measure faculty, administrative staff, learner, and alumni attitudes and perceptions.

- Preliminary steps to develop an Institutional Review Board (IRB).
- An active, supportive Board of Trustees.
- Creative concepts in program design.
- The Research Engine is a good basic structure for web-based access to information that has gathered diverse resources, especially free ones, that UI&U learners and faculty can access easily.
- The May 2002 strategic plan has identified "information technology and know-how" as a weakness and commits the university to addressing this issue by including a goal to "develop library and learner resources and access to them."
- The appointment of the Library and Information Services Advisory Committee offers a useful mechanism by which library planning, determination of goals, and follow-through with implementation can be carried out, including decisions on the integration of the Vermont College library's staff and collections.
- UI&U staff in the area of library resources are very dedicated to the mission of UI&U and strive to give individualized attention to learners.
- UI&U library staff have a good grasp of the direction in which the university must advance to improve information services and collections for its user community; the emphasis on electronic resources is an appropriate one. The university administration is supportive of the library and recognizes its fundamental role in the academic mission.
- In recent years, UI&U has committed major funding to create the beginnings of an electronic library; the Associate Dean for Academic Information Services was largely responsible for developing the Research Engine and performing a host of support services.

WEAKNESSES

- Lack of quality control, particularly of the Project Demonstrating Excellence (PDE) and related research methodology.
- High administrator to faculty ratio.
- Lack of capacity to deliver as wide a range of programs as are advertised.
- Lack of academic structures sufficient to produce minimum level of academic achievement among graduates.
- The current lack of an institutional IRB policy and procedures.
- Substantial variance in guidance provided to learners in passing through program, especially as related to the PDE experience.
- Lack of common understanding of program area specializations.
- Lack of clarity regarding the benefits and limitations of degrees awarded.
- Inconsistency of institutional data provided to the review teams.
- Lack of consistent rubrics for the assessment of admissions essays.
- Unclear process for faculty selection, promotion, and retention.
- Lack of consistency of the research project/PDE structure, e.g., chapters of PDE.
- Unclear specification of the meaning of and requirements for interdisciplinary study.

- The development of web-based information resources for support of doctoral-level programs is uneven across subject disciplines and tends to be heavy on more recent literature.
- Heavy reliance on each learner's ability to find needed library resources makes little provision for those in locations without access to good research library collections or assistance.
- More attention is needed on the information services that a library should offer to support a doctoral curriculum, including a professional level of orientation to library resources (e.g., use of the Research Engine and how it fits into the broader information universe), bibliographic instruction (including how to analyze and evaluate information), and timely reference assistance.
- The Associate Dean for Academic Services has done an admirable job of serving in many capacities. With his departure, it will be difficult to find another individual who can fulfill the functions of administrator with research skills, collections manager, a Webmaster, an instructor in bibliographic instruction, and a reference expert, especially as the university's reliance on an electronic library increases.
- Dedicated and ongoing funding resources are needed to bring the library resources and services to a level appropriate for the doctoral program.

SUGGESTIONS

1. Develop a written policy for faculty appointment and promotion.
2. Develop written policies for faculty load and how faculty load/overload is determined.
3. Maintain updated and complete academic resumes/C.V.'s for faculty.
4. It will be difficult to find one person who can function effectively as an administrator, a collection manager, a reference/research services librarian, an information technology expert, and a Webmaster. Ideally, UI&U needs to hire more professional librarians to fill these roles; only with more staff will the university be able to implement the following suggestions.
5. Build in a more substantial and formal library orientation module into the entry colloquia. This may mean allocating more time for a librarian to orient new learners to the Research Engine and to information search and retrieval skills. The Scholar Skills initiative is another way to reach the disperse learner population, if the administration agrees to give priority to the development of online tools to assess learner abilities upon entering the program and to provide ways of addressing gaps in their education.
6. Offer more professional reference assistance at hours that accommodate learners across the country (i.e., currently the university switchboard closes at 5 p.m. ET; adult learners typically need more assistance during evenings and weekends). While the availability of a Vermont College reference librarian is useful, it does not address the periods of coverage needed. It is also possible to purchase reference services from other institutions but may be more cost-effective to create additional UI&U positions.
7. Arrange for in-depth assessment of resources available via the Research Engine for doctoral-level research in the university's key program areas (in the absence of collection managers with subject expertise). The report by

Gerald Newman is a good start for general suggestions (e.g., the addition of JSTOR, MLA International Bibliography, Social Sciences Citation Index). It would help to have a more in-depth level of review by subject specialists who are familiar with not only the core literature for the doctoral level but also the best and most cost-effective ways of obtaining those resources online.

8. Continue to pursue formal agreements with other libraries for use by UI&U learners, as a supplement to UI&U resources, and publicize these agreements to learners.
9. Include questions about satisfaction with library services and resources on regular user surveys. Track library use statistics (e.g., use of the physical library, frequency of reference queries) and analyze database usage statistics to monitor extent of use, as an aid to management decision making.
10. Explore the possibility of targeting fund-raising efforts for the library and of library developmental grant-seeking.
11. Give priority to completing the project to make PDEs available via the web. The library assistant at times has need of additional support staff to help with processing physical volumes; placing the PDE's online should reduce the need to add more support personnel.

RECOMMENDATIONS--SHORT TERM

Institution must demonstrate compliance by December 31, 2002

1. Establish PDE Guidelines that should include the following (similar to a Dissertation Guidelines Manual):
 - Require that all learners include in their Learning Agreement and subsequently complete a strategy for gaining necessary knowledge in research methodology and statistical methods, appropriate to their PDE topic prior to commencing work on the PDE.
 - Require that current research be included in the literature review to reflect the full range of disciplines that are needed in the PDE.
 - Require that all proposals PDE's include an appropriate rationale for the study and a plan for how the research will proceed.
2. Students admitted through the end of the current calendar year shall be grandfathered through the existing program structure.
3. All recruitment and admissions literature, including the WEB site, shall clearly state that the Union Institute and University Ph.D. program is under review, and that the program requirements and types of degree are subject to change as of Oct. 31, 2002.
4. The Union Institute and University shall provide sufficient faculty expertise and insure access to sufficient resources, such as laboratory space and psychological testing materials, to guarantee that all students meet the research standards of the doctoral degree.
5. Union Institute and University shall advise all newly admitted students in the Ph.D. program in Clinical Psychology that the program does not satisfy licensure standards in certain states. UI&U shall identify for its students the

states in which licensure may be gained upon completion of the UI&U program.

RECOMMENDATIONS--LONG TERM

Evidence of compliance or progress toward compliance must be demonstrated in the Progress Reports to be submitted every six months, beginning December 31, 2002

1. Establish a system for designating degrees that reserves the Ph.D. for degrees that have an appropriate research focus and uses other degree designations for degrees that have other foci (e.g., Psy.D., Ed.D., D.M., D.F.A., D.A., D.Sc., D.B.A., etc.).
 - Ph.D. degrees must meet OBR standards for the Ph.D. degree.
2. Adopt for the Clinical Psychology program the Psy.D. (Doctor of Psychology) degree designation and include in the program requirements the knowledge domains as standardized in APA accreditation criteria.
3. Establish a faculty-based process for identifying the areas of faculty competence as determined by publication or continuing scholarship in peer reviewed venues.
4. Establish a process for designating the degree(s) offered in accordance with the identified fields of faculty competence and so as to be both accurate to the field(s) and not misleading to potential students and the general public.
5. In the science disciplines, assume the burden of ensuring access to appropriate research and clinical facilities as determined by the field/discipline.
6. In addition to the four core UI&U learning criteria, establish a faculty-based process for identifying and assessing the core learning required of all Learners in a particular degree program.
7. Establish a process by which all learners in a particular degree program can demonstrate their mastery of the core learning in a field prior to their undertaking the research project for the Ph.D. or other capstone project for other degrees (including the PDE).
8. Establish a process to ensure that each Learner's research project involving human subjects meets legal and ethical standards governing such research projects.
9. Tighten, refine, or establish the procedures for the review of research or other capstone projects to ensure that they satisfy professional standards in the field.
10. Hire at least one information professional (i.e., with a master's degree from an accredited MLS/MLIS program, plus prior managerial experience in an academic research library) to replace the Associate Dean for Academic

Information Services. The profession is advancing so rapidly that UI&U would benefit greatly from a person who is able not only to keep up with developments in the field but to anticipate information needs of learners and faculty and to recommend optimal ways of meeting them in this dispersed environment.

11. Develop a strategic plan that includes goals for library services, resources, and personnel in the next three or so years, including projections of cost, within the context of academic program support. Administrative approval of the stated goals (e.g., to what extent is UI&U committed to offering full-text databases for its users, rather than allowing learners to rely on local resources?) and commitment to their funding and implementation are critical. These issues must be addressed because the wealth of electronic resources will only grow; UI&U has an opportunity to be on the leading edge in developing a library for learners in a truly unique institution.

RECOMMENDATION TO THE CHANCELLOR

It is Recommended that Authorization of the Ph.D. degree program at the Union Institute and University be withdrawn at this time and replaced with Provisional Authorization for a period of two (2) years to provide time for the institution to come into compliance with the Consultants' Report Recommendations, and into compliance with the Standards for Issuance of Certificates of Authorization (Rule 3333-1.08) under the Ohio Revised Code.

Progress Reports shall be submitted to the Ohio Board of Regents every six months beginning December 31, 2002, through June 31, 2004, documenting progress toward compliance with the Recommendations of this Report. Prior to December 31, 2004, the Ohio Board of Regents will perform a site visit at the Union Institute and University to determine Full Authorization of the institution.