



March 1, 2024

Dr. Astrid Tuminez
President
Utah Valley University
800 W. University Parkway
Orem, UT 84058

Dear President Tuminez:

Attached please find the Fall 2023 Policies, Regulations, and Financial Review (PRFR) Evaluation Committee's review of Utah Valley University. The attached review documents areas where the institution was found to be in compliance with the NWCCU Standards for Accreditation and where additional opportunities for improvement exist. Please note that the Year Seven Evaluation of Institutional Effectiveness (EIE) Evaluation Team will receive a copy of this report, as will the NWCCU Board of Commissioners at your EIE evaluation by the Commission in roughly one year's time.

Please address any areas of needed improvement that the PRFR Evaluation Committee has noted as findings in this report in your EIE self-evaluation. Please feel free to reach out to your NWCCU Staff Liaison if you have further questions.

Type 1: Standards Substantially in Compliance but in Need of Improvement

- Finding Type 1: Fall 2023 Policies, Regulations, and Financial Review - The following standards are areas substantially in compliance but where improvement is needed. (2020 Standard(s) 2.G.5)

Future Evaluations

- Year 7 - Evaluation of Institutional Effectiveness Fall 2024
 - Finding Type 1: Fall 2023 Policies, Regulations, and Financial Review

Thank you for your commitment to the process of peer evaluation and continuous quality improvement. If you have questions about any of the information in this letter, please contact your staff liaison, Dr. Ron Larsen, at rlarsen@nwccu.org.

Sincerely,

Aaron Christopher
Vice President for Administration and Finance

cc: Dr. Laurie Sharp, Associate Provost for Academic Programs and Assessment
Mr. Rick Nielsen, Superintendent for Nebo School District
Mr. Geoffrey Landward, Interim Commissioner, Utah System of Higher Education



Policies, Regulations, and Finances Review

Peer Evaluation for: Utah Valley University

Standard 2: Governance, Resources, and Capacity

The institution articulates its commitment to a structure of governance that is inclusive in its planning and decision-making. Through its planning, operational activities, and allocation of resources, the institution demonstrates a commitment to student learning and achievement in an environment respectful of meaningful discourse.

Standard 2.A.1

The institution demonstrates an effective governance structure, with a board(s) or other governing body(ies) composed predominantly of members with no contractual, employment relationship, or personal financial interest with the institution. Such members shall also possess clearly defined authority, roles, and responsibilities. Institutions that are part of a complex system with multiple boards, a centralized board, or related entities shall have, with respect to such boards, written and clearly defined contractual authority, roles, and responsibilities for all entities. In addition, authority and responsibility between the system and the institution is clearly delineated in a written contract, described on its website and in its public documents, and provides the NWCCU accredited institution with sufficient autonomy to fulfill its mission.

Team Verification: Compliant

Evidence:

- Institutional governance policies and procedures Y
- System governance policies and procedures (if applicable) Y
- Multiple board governing policies and procedures (if applicable) Y
- Board's calendar for reviewing institutional and board policies and procedures Y
- Bylaws and Articles of Incorporation referencing governance structure Y

Rationale: The governance structure meets the standards as outlined.

Standard 2.A.2

The institution has an effective system of leadership, staffed by qualified administrators, with appropriate levels of authority, responsibility, and accountability who are charged with planning, organizing, and managing the institution and assessing its achievements and effectiveness.

Team Verification: Compliant

Evidence:

- Leadership organizational chart Y
- Curriculum vitae of executive leadership Y

Rationale: The leadership structure and qualifications appear to be adequate to lead and assess the institution.

Standard 2.A.3

The institution employs an appropriately qualified chief executive officer with full-time responsibility to the institution. The chief executive may serve as an ex officio member of the governing board(s) but may not serve as its chair.

Team Verification: Compliant

Evidence:

- Curriculum vitae of President/CEO Y

Rationale: President selection and qualifications appear to meet the standards.

Standard 2.A.4

The institution's decision-making structures and processes, which are documented and publicly available, must include provisions for the consideration of the views of faculty, staff, administrators, and students on matters in which each has a direct and reasonable interest.

Team Verification: Compliant

Evidence:

- Institutional governance policies and procedures (see 2.A.1) Y

Rationale: There appears to be adequate opportunities for faculty, staff, administrators, and students to have their views considered. The budget allocation process is well outlined and provides good input as well.



Standard 2.B.1

Within the context of its mission and values, the institution adheres to the principles of academic freedom and independence that protect its constituencies from inappropriate internal and external influences, pressures, and harassment.

Team Verification: Compliant

Evidence:

- Academic freedom policies and procedures (evidence could include samples of negotiated agreements with faculty and/or staff, where appropriate) Y
- Evidence that the students also have academic freedom Y

Rationale: Freedom of speech and academic freedom is clearly outlined.

Standard 2.B.2

Within the context of its mission and values, the institution defines and actively promotes an environment that supports independent thought in the pursuit and dissemination of knowledge. It affirms the freedom of faculty, staff, administrators, and students to share their scholarship and reasoned conclusions with others. While the institution and individuals within the institution may hold to a particular personal, social, or religious philosophy, its constituencies are intellectually free to test and examine all knowledge and theories, thought, reason, and perspectives of truth. Individuals within the institution allow others the freedom to do the same.

Team Verification: Compliant

Rationale: This area appears to be adequately addressed and supported with 2.B.1 as well

Standard 2.C.1

The institution's transfer-of-credit policy maintains the integrity of its programs and facilitates the efficient mobility of students desirous of the completion of their educational credits, credentials, or degrees in furtherance of their academic goals.

Team Verification: Compliant

Evidence:

- Transfer of credit policies and procedures Y

Rationale: Credit transfer policy is clear and well documented.

Standard 2.C.2

The institution's policies and procedures related to student rights and responsibilities should include, but not be limited to, provisions related to academic honesty, conduct, appeals, grievances, and accommodations for persons with disabilities.

Team Verification: Compliant

Evidence:

Documentation of student's rights and responsibilities policies and procedures, which include:

- Academic honesty Y
- Conduct Y
- Appeals, grievances Y
- Accommodations for persons with disabilities Y

Rationale: Adequate policies are in place to outline the student's rights and responsibilities.

Standard 2.C.3

The institution's academic and administrative policies and procedures should include admission and placement policies that guide the enrollment of students in courses and programs through an evaluation of prerequisite knowledge, skills, and abilities to ensure a reasonable probability of student success at a level commensurate with the institution's expectations. Such policies should also include a policy regarding continuation in and termination from its educational programs, including its appeal and re-admission policy.

Team Verification: Compliant

Evidence:

- Policies and procedures for recruiting, admitting, and placing students Y
- Policies/procedures related to continuation and termination from educational programs including appeal process and readmission policies/procedures Y

Rationale: policies and procedures adequately address the admission, placement, and continuation requirements (including appeals).



Standard 2.C.4

The institution's policies and procedures regarding the secure retention of student records must include provisions related to confidentiality, release, and the reliable backup and retrievability of such records.

Team Verification: Compliant

Evidence:

- Policies/procedures regarding secure retention of student records, (i.e., back-up, confidentiality, release, protection from cybersecurity issues or other emergencies) **_Y_**

Rationale: Policies address the required standards. Additional language that addresses cybersecurity should be included.

Standard 2.D.1

The institution represents itself clearly, accurately, and consistently through its announcements, statements, and publications. It communicates its academic intentions, programs, and services to students and to the public and demonstrates that its academic programs can be completed in a timely fashion. It regularly reviews its publications to ensure accuracy and integrity in all representations about its mission, programs, and services.

Team Verification: Compliant

Evidence:

- Policies/procedures for reviewing published materials (print or websites) that assures institutional integrity **_Y_**

Rationale: Standard appears to be met.

Standard 2.D.2

The institution advocates, subscribes to, and exemplifies high ethical standards in its management and operations, including in its dealings with the public, NWCCU, and external organizations, including the fair and equitable treatment of students, faculty, administrators, staff, and other stakeholders and constituencies. The institution ensures that complaints and grievances are addressed in a fair, equitable, and timely manner.

Team Verification: Compliant

Evidence:

- Policies/procedures for reviewing internal and external complaints and grievances **_Y_**

Rationale: UVU adequately demonstrates policies, procedures, and other instruments to comply with Standard 2.D.2 (Ethics Point is a good touch)

Standard 2.D.3

The institution adheres to clearly defined policies that prohibit conflicts of interest on the part of members of the governing board(s), administration, faculty, and staff.

Team Verification: Compliant

Evidence:

- Policies/procedures prohibiting conflict of interests among employees and board members **_Y_**

Rationale: Standard appears to be met. COI website should be noted as a best practice.

Standard 2.E.1

The institution utilizes relevant audit processes and regular reporting to demonstrate financial stability, including sufficient cash flow and reserves to achieve and fulfill its mission

Team Verification: Compliant

Evidence:

- Policies/procedures that articulate the oversight and management of financial resources **_Y_**
- Latest external financial audit including management letter **_Y_**
- Cash flow balance sheets **_Y_**
- Audited financial statements **_Y_**
- Tuition and fees, educational, and auxiliary revenue for undergraduate and graduate enrollments **_Y_**
- Significant contracts/grants **_Y_**
- Endowment and giving reports **_Y_**
- Investment revenue **_Y_**

Rationale: Meets the standard.

Standard 2.E.2

Financial planning includes meaningful opportunities for participation by stakeholders and ensures appropriate available funds, realistic development of financial resources, and comprehensive risk management to ensure short term financial health and long-term financial stability and sustainability.

Team Verification: Compliant

Evidence:

- Policies / procedures for planning and monitoring of operating and capital budgets, reserves, investments, fundraising, cash management, debt management, transfers and borrowing between funds _Y_
- Sample of meeting agendas, minutes, and/or other documentation as evidence of meaningful opportunities for participation by stakeholders _Y_

Rationale: Meet the standard and the follow up information was helping demonstrate stakeholder participation.

Standard 2.E.3

Financial resources are managed transparently in accordance with policies approved by the institution's governing board(s), governance structure(s), and applicable state and federal laws.

Team Verification: Compliant

Evidence:

- Description of internal financial controls _Y_
- Board approved financial policies, state financial policies, or system financial policies _Y_

Rationale: Standard met and the supplemental description of controls was greatly appreciated.

Standard 2.F.1

Faculty, staff, and administrators are apprised of their conditions of employment, work assignments, rights and responsibilities, and criteria and procedures for evaluation, retention, promotion, and termination.

Team Verification: Compliant

Evidence:

- Human resource policies / procedures _Y_
- Policies/procedures related to teaching, scholarship, service, and artistic creation _Y_
- Policies/procedures for apprising employees of working conditions, rights and responsibilities, evaluation, retention, promotion, and termination _Y_

Rationale: supporting evidence meets the standard

Standard 2.F.2

The institution provides faculty, staff, and administrators with appropriate opportunities and support for professional growth and development.

Team Verification: Compliant

Evidence:

- Employee professional development policies/procedures _Y_

Rationale: Meet the standard. The administrative leave policy is impressive.

Standard 2.F.3

Consistent with its mission, programs, and services, the institution employs faculty, staff, and administrators sufficient in role, number, and qualifications to achieve its organizational responsibilities, educational objectives, establish and oversee academic policies, and ensure the integrity and continuity of its academic programs.

Team Verification: Compliant

Evidence:

- Documentation about engagement and responsibilities specified for faculty and staff, as appropriate _Y_
- Personnel hiring policy/procedures _Y_
- Academic organizational chart _Y_
- Administrator/staff /faculty evaluation policies/procedures _Y_

Rationale: Standard appears to be met

Standard 2.F.4

Faculty, staff, and administrators are evaluated regularly and systematically in alignment with institutional mission and goals, educational objectives, and policies and procedures. Evaluations are based on written criteria that are published, easily accessible, and clearly communicated.



Evaluations are applied equitably, fairly, and consistently in relation to responsibilities and duties. Personnel are assessed for effectiveness and are provided feedback and encouragement for improvement.

Team Verification: Compliant

Evidence:

- Administrator/staff/faculty evaluation policies/procedures _Y_

Rationale: Standard appears to be met

Standard 2.G.1

Consistent with the nature of its educational programs and methods of delivery, and with a particular focus on equity and closure of equity gaps in achievement, the institution creates and maintains effective learning environments with appropriate programs and services to support student learning and success.

Team Verification: Compliant

Evidence:

- Listing of programs and services supporting student learning needs _Y_

Rationale: Numerous programs and resources in place to address the standard.

Standard 2.G.2

The institution publishes in a catalog, or provides in a manner available to students and other stakeholders, current and accurate information that includes: institutional mission; admission requirements and procedures; grading policy; information on academic programs and courses, including degree and program completion requirements, expected learning outcomes, required course sequences, and projected timelines to completion based on normal student progress and the frequency of course offerings; names, titles, degrees held, and conferring institutions for administrators and full-time faculty; rules and regulations for conduct, rights, and responsibilities; tuition, fees, and other program costs; refund policies and procedures for students who withdraw from enrollment; opportunities and requirements for financial aid; and the academic calendar.

Team Verification: Compliant

Evidence:

Catalog (and/or other publications) that provides information regarding:

- Institutional mission _Y_
- Admission requirements and procedures _Y_
- Grading policy _Y_
- Information on academic programs and courses, including degree and program completion requirements, expected learning outcomes, required course sequences, and projected timelines to completion _Y_
- Names, titles, degrees held, and conferring institutions for administrators and full-time faculty _Y_
- Rules and regulations for conduct, rights, and responsibilities _Y_
- Tuition, fees, and other program costs _Y_
- Refund policies and procedures for students who withdraw from enrollment _Y_
- Opportunities and requirements for financial aid _Y_
- The academic calendar _Y_

Rationale: Standard appears to be met

Standard 2.G.3

Publications and other written materials that describe educational programs include accurate information on national and/or state legal eligibility requirements for licensure or entry into an occupation or profession for which education and training are offered. Descriptions of unique requirements for employment and advancement in the occupation or profession shall be included in such materials.

Team Verification: Compliant

Evidence:

Samples of publications and other written materials that describe:

- Accurate information on national and/or state legal eligibility requirements for licensure or entry into an occupation or profession for which education and training are offered _Y_
- Descriptions of unique requirements for employment and advancement in the occupation or profession shall be included in such materials _Y_

Rationale: Standard appears to be met



Standard 2.G.4

The institution provides an effective and accountable program of financial aid consistent with its mission, student needs, and institutional resources. Information regarding the categories of financial assistance (such as scholarships, grants, and loans) is published and made available to prospective and enrolled students.

Team Verification: Compliant

Evidence:

- Published financial aid policies/procedures including information about categories of financial assistance **_Y_**
- Information to students regarding repayment obligations **_Y_**
- Policies / procedures for monitoring student loan programs **_Y_**

Rationale: Standard appears to be met

Standard 2.G.5

Students receiving financial assistance are informed of any repayment obligations. The institution regularly monitors its student loan programs and publicizes the institution's loan default rate on its website.

Team Verification: Type 1 Finding – (Provided evidence suggests that the institution needs improvement)

Evidence:

- Published financial aid policies/procedures including information about categories of financial assistance **_Y_**
- Information to students regarding repayment obligations **_Y_**
- Policies / procedures for monitoring student loan programs **_Y_**
- Loan default rate published on website **_N_**

Rationale: loan default rate isn't published on website. Is available through a third party link and isn't intuitive to find.

Standard 2.G.6

The institution designs, maintains, and evaluates a systematic and effective program of academic advisement to support student development and success. Personnel responsible for advising students are knowledgeable of the curriculum, program and graduation requirements, and are adequately prepared to successfully fulfill their responsibilities. Advising requirements and responsibilities of advisors are defined, published, and made available to students.

Team Verification: Compliant

Evidence:

- Description of advising program, staffing, and advising publications (Student handbook or Catalog; links to webpages – please note specific pages or areas) **_Y_**
- Systematic evaluation of advising **_Y_**
- Professional development policies / procedures for advisors **_Y_**

Rationale: Standard appears to be met

Standard 2.G.7

The institution maintains an effective identity verification process for students, including those enrolled in distance education courses and programs, to establish that the student enrolled in such a course or program is the same person whose achievements are evaluated and credentialed. The institution ensures that the identity verification process for distance education students protects student privacy and that students are informed, in writing at the time of enrollment, of current and projected charges associated with the identity verification process.

Note: Institutions should refer to NWCCU Distance Education Policy for guidance and definitions related to the required evidence.

Team Verification: Compliant

Evidence:

- Policies/procedures for ensuring the student who registers in a distance education course/program is the same student who participates in the course and receives credit **_Y_**
- Policies/procedures make it clear that these processes protect student privacy **_Y_**
- Notification to students at the time of registration of any additional charges associated with verification procedures **_Y_**
- Academic policies/procedures for instructors to implement requirements for *regular and substantive interaction* in distance education courses/programs **_Y_**

Rationale: Standard appears to be met



Standard 2.H.1

Consistent with its mission, the institution employs qualified personnel and provides access to library and information resources with a level of currency, depth, and breadth sufficient to support and sustain the institution's mission, programs, and services.

Team Verification: Compliant

Evidence:

- Procedures for assessing adequacy of library collections **_Y_**
- Library planning committee and procedures for planning and collection development **_Y_**
- Library instruction plan; policies/procedures related to the use of library and information resources **_Y_**
- Library staffing information; policies/procedures that explains faculty/library partnership for assuring library and information resources are integrated into the learning process **_Y_**

Rationale: Standard appears to be met

Standard 2.I.1

Consistent with its mission, the institution creates and maintains physical facilities and technology infrastructure that are accessible, safe, secure, and sufficient in quantity and quality to ensure healthful learning and working environments that support and sustain the institution's mission, academic programs, and services.

Team Verification: Compliant

Evidence:

Facilities master plan, including:

- Equipment replacement policies/procedures **_Y_**
- Procedures for assessing sufficiency of physical facilities **_Y_**
- Policies and procedures for ensuring accessible, safe, and secure facilities **_Y_**
- Policies/procedures for the use, storage, and disposal of hazardous waste **_Y_**
- Technology master plan and planning processes **_Y_**

Rationale: Standard appears to be met

Concluding Comments

Policies and procedures appear to be dated and not reviewed regularly. Overall, the report was well put together and was very clear and intuitive. The panel greatly appreciated the comprehensive documentation, clear outline of standards and evidences, and appropriate commentary addressing standard compliance.