



2014-2016

**Arizona State University
Five-Year Strategic Plan**

**Submitted to the
Arizona Governor's Office of
Strategic Planning and Budgeting**

October 1, 2014

University Office of Institutional Analysis



Five-Year Strategic Plan

ASU at the Tempe Campus

October 1, 2014

University Office of Institutional Analysis

2014 - 2016 ARIZONA MASTER LIST OF STATE GOVERNMENT PROGRAMS

ASA 0.0	Agency Summary
	ASU - TEMPE
Dr. Michael Crow, President (480) 965-8972 A.R.S. § 15-1601 Plan Contact: Melinda Gebel, Director, Institutional Analysis (480) 965-2318	

Mission:

To provide outstanding programs of undergraduate and graduate education, cutting-edge research, and public service for the citizens of the State of Arizona with special emphasis on the Phoenix metropolitan area.

Description:

Arizona State University at the Tempe Campus, which includes the Downtown Phoenix campus, is a major public research university offering programs from the baccalaureate through the doctorate to nearly 67,500 Tempe campus and 22,000 Downtown campus full-time and part-time students and applying the strongest features of the traditional major research university to the rapidly evolving needs of the metropolitan Phoenix area and Arizona. The Tempe campus plays an extensive role within Arizona State University by providing high quality graduate training at the doctoral level and serving as the only Carnegie Foundation-designated Doctoral/Research-Extensive campus in the metropolitan Phoenix area.

ASA 1.0	Program Summary
	INSTRUCTION
Melinda Gebel, Director Institutional Analysis (480) 965-2318 A.R.S. § 15-1601	

Mission:

To offer high quality academic degrees, general studies, and honors programs that prepare graduates for personal growth, fulfilling careers, and lifelong contributions to the quality of intellectual life in the community, state, region, and nation.

Description:

Instruction is comprised of activities carried out during the academic year, summer sessions, and other periods outside the regular term and associated with degree credit and non-credit academic courses. This program also includes faculty departmental research and public service activities that are not separately budgeted and academic administration where instruction plays an important role, such as at the dean and department chair levels.

◆ Goal 1 To improve the quality of undergraduate education.

Performance Measures	FY 2014 Actual	FY 2015 Estimate	FY 2016 Estimate
Average years taken by freshman students to complete a baccalaureate degree program	4.5	4.4	4.4
Percentage of undergraduate degree recipients participating in research related or capstone (case study) experience	91	92	93
Percent of graduating seniors who rate their overall university experience as good or excellent	87	88	88
Percent of full-time undergraduate students enrolled per semester in three or more primary courses with ranked faculty	84	84	84

Number of Bachelors degrees granted	12,587	13,028	13,484
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◆ Goal 2 To enhance the number and diversity of the most highly qualified students entering Arizona State University and the Barrett Honors College.

Performance Measures	FY 2014 Actual	FY 2015 Estimate	FY 2016 Estimate
Honors undergraduate headcount students	4,803	5,300	5,700
BHC degree recipients (i.e., with honors)	691	770	810
Courses offered for honors credit	2,797	3,000	3,200

◆ Goal 3 To provide support services and courses that assist students in achieving academic success and planning programs of study within their chosen degree curricula.

Performance Measures	FY 2014 Actual	FY 2015 Estimate	FY 2016 Estimate
Number of tutorials conducted by University Academic Success Programs	118,884	123,044	127,350
Number of students enrolled in UNI Academic Success courses to transition successfully to college and achieve academic success	2,857	3,000	3,300
Major and Career Exploration (UNI and ASU 101) course sections for exploratory students	190	200	220

Number of degree program course audits run by students and staff	1,395,549	1,674,658	2,009,589
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Number of eAdvisor tracking audits run by students and staff	1,973,262	2,367,914	2,841,497
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◆ Goal 4 To provide enriched educational opportunities to students by expanding accessibility and delivery of courses.

Performance Measures	FY 2014 Actual	FY 2015 Estimate	FY 2016 Estimate
Summer sessions headcount students	23,762	25,522	26,543
--REFLECTS TOTAL UNIVERSITY--			
Internet course registrations during the fall semester (duplicated enrollments)	80,939	93,811	105,244
--REFLECTS TOTAL UNIVERSITY--			
Internet course sections offered during the fall semester	2,022	2,304	2,569
--REFLECTS TOTAL UNIVERSITY--			

◆ Goal 5 To improve graduate education by enhancing programs central to the University's mission, promoting retention and graduation, and increasing the diversity of students.

Performance Measures	FY 2014 Actual	FY 2015 Estimate	FY 2016 Estimate
Students enrolled in interdisciplinary degree programs	1,230	1,300	1,350
Masters degrees granted	4,094	4,196	4,301
Doctorate degrees granted	578	590	601
First professional degrees granted	200	204	208
Minority graduate enrollment as percentage of total enrollment	21.1	22.0	22.5

2014 - 2016 ARIZONA MASTER LIST OF STATE GOVERNMENT PROGRAMS

ASA 2.0	Program Summary
	ORGANIZED RESEARCH
Melinda Gebel, Director	
Institutional Analysis (480) 965-2318	
A.R.S. § 15-1601	

Mission:

To foster pre-eminent scholarship and creative activity that serves the citizens of Arizona through the development, application, and transfer of new knowledge especially beneficial to Arizona.

Description:

Organized Research includes research activities taking place within centers, divisions, bureaus, institutes and experiment stations formally approved by the Arizona Board of Regents. These activities are specifically created and organized to produce research, whether separately budgeted within the university or commissioned by an external agency, as with federal grants and contracts.

- ◆ **Goal 1** To maintain and enhance the University's status as a major research institution.

Performance Measures	FY 2014 Actual	FY 2015 Estimate	FY 2016 Estimate
Dollar value of proposals submitted (in millions)	1,518.7	1,787.9	1,966.7
External dollars received for research and creative activity (in millions of dollars)	296.5	323.2	350.1
Dollar value of total research expenditures (in millions)	403.3	428.0	461.7
Dollar value of externally funded, non-research expenditures (in millions)	34.1	35.7	37.7

- ◆ **Goal 2** To continue and improve University efforts to provide opportunities for undergraduate and graduate students to participate in research and creative activity.

Performance Measures	FY 2014 Actual	FY 2015 Estimate	FY 2016 Estimate
Undergraduate students supported by sponsored funds	2,094	2,250	2,300
--REFLECTS TOTAL UNIVERSITY--			
Graduate students supported by sponsored funds	1,562	1,600	1,625
--REFLECTS TOTAL UNIVERSITY--			

ASA 3.0	Program Summary
	PUBLIC SERVICE
Melinda Gebel, Director	
Institutional Analysis (480) 965-2318	
A.R.S. § 15-1601	

Mission:

To serve the public by offering a public telecommunications system, by providing the finest available artists and productions in music, theater and dance, by establishing partnerships with local industry and educational institutions to foster community engagement, and by serving as a resource and focal point in providing information about various university services to the business community and economic development professionals.

Description:

Public Service includes those activities established primarily to provide services beneficial to individuals and groups external to the university to enhance corporate and community engagement. Public Service includes conferences, general advisory services, reference bureaus, public radio and television, consulting, continuing education and professional development programs, and similar services to particular sectors of the community.

- ◆ **Goal 1** To provide quality educational and informative television programs and improve services provided to the community, especially in rural areas.

Performance Measures	FY 2014 Actual	FY 2015 Estimate	FY 2016 Estimate
Persons viewing KAET-TV on a weekly basis (in thousands)	1,068	1,078	1,089
Teachers served through educational support programming	63,387	65,289	67,248
Students served through educational support programming	1,204,358	1,240,488	1,277,703

- ◆ **Goal 2** To continue to stage excellent cultural and other nonathletic special events for various diverse constituents.

Performance Measures	FY 2014 Actual	FY 2015 Estimate	FY 2016 Estimate
Persons attending University sponsored cultural events (in thousands)	474	511	533
Special events coordinated	420	440	460

ASA 4.0	Program Summary
	ACADEMIC SUPPORT
Melinda Gebel, Director	
Institutional Analysis (480) 965-2318	
A.R.S. § 15-1601	

Mission:

To provide services and programs to faculty, staff and students in support of the instructional, research, and service mission of the university.

Description:

Academic Support services include the retention, preservation, and display of educational materials through libraries, museums and galleries; audio visual and other activities that aid in the transmission of information; separately budgeted course and curriculum development; and academic computing support.

- ◆ **Goal 1** To maintain the number of books and periodical subscriptions owned by the university libraries, and increase access to these items.

Performance Measures	FY 2014 Actual	FY 2015 Estimate	FY 2016 Estimate
Periodical subscriptions	60,842	62,000	64,000
Virtual/remote reference transactions	9,809	10,000	10,000
Visits to Libraries web site	3,959,093	4,500,000	4,900,000
Online catalog use (pageviews)	3,888,197	3,700,000	3,500,000
Online databases use (searches)	12,491,314	12,590,000	12,690,000

- ◆ **Goal 2** To increase impact and attendance by positioning the Museum as a center for research and discovery around new art forms and ideas for students and the public, utilizing strategies of presenting high quality exhibitions at ASU and international venues, international artist residencies, educational events for broad audiences including classes taught in the Museum, and transdisciplinary collaborative projects on and off campus.

Performance Measures	FY 2014 Actual	FY 2015 Estimate	FY 2016 Estimate
Annual attendance at university art collections	98,000	120,000	150,000

Beginning FY14, figures exclude attendance at offsite exhibitions.

2014 - 2016 ARIZONA MASTER LIST OF STATE GOVERNMENT PROGRAMS

Annual attendees of lectures and special events	20,000	25,000	30,000
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- ◆ **Goal 3** To employ, provide, and maintain sufficient reliable microcomputer, network, and server resources to support the academic needs of the University.

Performance Measures	FY 2014 Actual	FY 2015 Estimate	FY 2016 Estimate
Number of mediated classrooms	417	420	425
Percentage of classrooms with mediation	100	100	100
Number of common computing site seats	827	827	827
Percentage of site equipment out dated (>4 years old)	1	0	0

Students participating in orientation	9,500	9,750	10,000
Students living in first-year residential communities	8,678	9,000	9,200
Students receiving financial assistance in an academic year	69,283	71,361	73,502
--REFLECTS TOTAL UNIVERSITY--			
Dollar volume for all financial assistance programs (dollars in thousands)	1,064,271	1,096,199	1,129,085
--REFLECTS TOTAL UNIVERSITY--			

- ◆ **Goal 4** To provide opportunities for men and women by developing and sustaining programs which help student athletes achieve success, both academically and athletically.

Performance Measures	FY 2014 Actual	FY 2015 Estimate	FY 2016 Estimate
Average GPA of student athletes (4.0 highest)	3.05	3.05	3.10
Percent of student athletes graduating in six years based on NCAA Graduation Success Rate	82	82	84

ASA 5.0	Program Summary
	STUDENT SERVICES
Melinda Gebel, Director	
Institutional Analysis (480) 965-2318	
A.R.S. § 15-1601	

Mission:

To foster the academic, social, emotional, and physical growth of learners by creating an inclusive holistic learning environment that offers services and opportunities for students to maximize their learning experience and become well-rounded productive citizens.

Description:

Student Services includes functions and other activities with the primary purpose of contributing to students' emotional and physical well-being and intellectual, cultural and social development outside the context of the formal instruction program. These other activities include cultural events, student newspapers, intramural athletics, student organizations, nonacademic counseling and career guidance, student health services, and the administration at the senior vice presidential level.

- ◆ **Goal 1** To promote the emotional and physical well-being of students by providing quality health care services.

Performance Measures	FY 2014 Actual	FY 2015 Estimate	FY 2016 Estimate
Students receiving health care at the Campus Health Service	48,216	49,600	50,650
Disabled students served	2,568	2,593	2,618

- ◆ **Goal 2** To enhance the quality of students' educational experience by providing programs and services which promote involvement in university activities and enhance opportunities for future employment.

Performance Measures	FY 2014 Actual	FY 2015 Estimate	FY 2016 Estimate
Registered campus clubs and organizations	855	860	870
Student participation in advising services, workshops, career events, job fairs, on-campus interviews and special events offered by Career Services to assist students seeking employment and/or career guidance	67,554	69,580	71,670
Organizations recruiting on campus	4,629	4,768	4,911
Beginning FY14, figures reflect both online and on-campus recruitment.			

- ◆ **Goal 3** To provide services that enhance the likelihood of students' academic success.

Performance Measures	FY 2014 Actual	FY 2015 Estimate	FY 2016 Estimate
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ASA 6.0	Program Summary
	INSTITUTIONAL SUPPORT
Melinda Gebel, Director	
Institutional Analysis (480) 965-2318	
A.R.S. § 15-1601	

Mission:

To provide timely, efficient, and effective support for the university's mission of instruction, research, and public service goals through executive management, administrative information and services, adequate and well maintained facilities, and strong partnerships with alumni, community leaders, and State decision makers.

Description:

Institutional Support includes central executive level activities concerned with management and long-range planning for the entire university and the operation and maintenance of the physical plant. Administrative activities include planning and programming, legal services, fiscal operations, administrative data processing, space management, employee personnel and records, purchasing, stores, safety, security, printing, transportation services, community and alumni relations, and development and fundraising.

- ◆ **Goal 1** To provide efficient and comprehensive human resources programs and services to the university community in areas such as employment, training, employee relations, and other human resource activities.

Performance Measures	FY 2014 Actual	FY 2015 Estimate	FY 2016 Estimate
Accounting documents processed (in thousands)	1,655	1,686	1,718
Administration as a percentage of total cost	1.18	1.15	1.10
Job applications processed	48,358	53,194	58,513
In FY14, a new applicant tracking system was implemented.			
Positions filled	1,768	1,945	2,139
Percent of agency staff turnover (classified staff only)	14.2	13.5	12.8

- ◆ **Goal 2** To provide customer-focused, high quality facilities and services to enhance a safe and secure environment in support of the University's mission.

Performance Measures	FY 2014 Actual	FY 2015 Estimate	FY 2016 Estimate
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Maintenance work order man-hours on buildings/tunnels/structures	204,908	209,006	213,186
Number of faculty, staff, and students participating in fire and safety training classes	10,275	11,275	12,500
Annual Parking Permit Sales to students and staff	19,000	20,000	20,000
Community-based police assignments	360	365	370

Performance Measures	FY 2014 Actual	FY 2015 Estimate	FY 2016 Estimate
Centrally supported Ethernet connections	124,000	128,000	128,000
--REFLECTS TOTAL UNIVERSITY--			
Internet bandwidth available (in Gigabits)	13.5	20.0	20.0
Internet bandwidth burstable (in Gigabits)	17	20	20
Wireless hours (in millions)	46.5	53.5	58.8

ASA 7.0	<p>Program Summary</p> <p>AUXILIARY PROGRAM</p> <p>,</p> <p>Not applicable</p>
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Not applicable

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Agency 5-Year Plan

Issue 1 Increase participation in postsecondary education and ultimately increase baccalaureate degree production

Description: To broaden access to a quality education for all segments of the population, ASU must be positioned to accommodate the expected growth in high school graduates, particularly minority populations and a growing pool of older students requiring new job skills. Never in the history of Arizona has a university education been more important. Our knowledge-based economy and an ever-increasing trend toward globalization are changing the skills needed for success in the labor force. Yet, rising costs, need for financial aid, and years of under-funding for higher education place the idea of access at risk. Tuition rates approved by the Board of Regents in recent years and future changes consistent with Board policy will help to meet some of the increasing need for financial aid and improve affordability for a greater number of students.

ASU is strongly committed to providing access to college for all qualified students. Furtherance of this goal requires bold and sustained planning to provide for the projected increases in enrollments, primarily of undergraduate students. Continued investment will be necessary to provide the infrastructure for the enrollment growth envisioned at each of the campuses.

Solutions:

Strategy 1: Increase efforts to enroll more Arizona high school graduates.

Strategy 2: Increase the diversity of the student population.

Strategy 3: Enhance partnerships with the community colleges to facilitate more effective transfer processes.

Strategy 4: Increase ASU Online program offerings to increase access for students seeking ASU degrees.

Strategy 5: Provide flexibility in course offerings and educational modalities.

Strategy 6: Increase financial assistance available to needy students.

Strategy 7: Establish Colleges@ASU sites that will provide an opportunity for students to complete baccalaureate degrees at lower costs.

Issue 2 Improve the quality of undergraduate and graduate education

Description: Undergraduate and graduate education are the cornerstones of the university enterprise. Students seek a high quality education that prepares them to be successful in their careers, to contribute to society, and to become lifelong learners. Today's graduates must have strong communication, team building, and critical thinking skills as well as a global perspective to be successful.

A continued emphasis on providing a quality educational experience requires examining and evolving how the university designs and delivers its instructional programs to maximize the impact of education. Improvements can be accomplished through new pedagogical techniques, such as adaptive learning, collaborative learning, service learning, and other learner-centered approaches; through the appropriate use of technology to enhance the learning environment; through undergraduate education that focuses on the student as an individual; by providing seamless access to the services and resources required for learning and creative and intellectual inquiry; and by providing an environment that fosters student scholarship. ASU continues to conceptualize and create a wide range of new interdisciplinary schools, institutes, centers, and programs that will foster the development of new knowledge. In addition, ASU is enhancing learning environments that facilitate learner-centered delivery with improved instructional technologies and flexible room design. Necessary funding will provide the resources needed to improve the learning environments, to accommodate the increased student population, and to hire the faculty necessary to establish national standing for colleges and schools in every field.

Solutions:

Strategy 1: Increase the number of tenured and tenure-track faculty.

Strategy 2: Enhance the electronic systems that provide students with information to assist their academic planning and progress.

Strategy 3: Emphasize learning experiences that are outcomes-focused.

Strategy 4: Expand the use of alternative instructional methodologies and delivery methods.

Issue 3 Recruit and retain faculty and staff in highly competitive national and local markets during a period of limited resources

Description: Quality faculty members are fundamental to a quality university education. Without the best faculty members, providing Arizona citizens the superior quality higher education they deserve and the output of research innovations they expect is impossible, and Arizona will not be able to achieve the necessary cultural and economic vitality required for the state to thrive. At ASU, hiring and retaining outstanding faculty members continues to be a concern. Like the other Arizona universities, ASU struggles to consistently compete in the demanding marketplace of top institutions. With the funding provided by the state for salaries between FY05 and FY08, ASU made some progress in improving faculty salaries, enabling the University to recruit and retain highly recognized and respected academics in a variety of fields. But the average salary for faculty members continues to fall below most of its peer institutions. Staff salaries also continue to fall further behind comparable jobs in the relevant markets. Turnover among staff continues to be a significant problem, in part due to salaries that are not competitive with the local market.

Solutions:

Strategy 1: Close the gap on salaries as defined in the Faculty Peer Salary Analysis through an ongoing commitment of performance salary adjustments. State investment in faculty salaries is critical at this time to retain key faculty members as well as enabling ASU to continue attracting and successfully competing for the highest qualified new faculty members.

Strategy 2: Adopt and implement an ongoing commitment of salary improvement to address the significantly negative market position of staff (non-academic) salaries by targeting budgetary funds at a level anticipating salary movement of 3 - 4% per year, with allocations tied directly to outcome driven performance measures.

Strategy 3: Develop and maintain the laboratory facilities and the network and computational resources required by the research community. Maintaining competitiveness in research, faculty and student recruitment and retention requires well-equipped modern facilities as well as secure access to high capacity network connectivity; computational, data, and analytic resources required to support researchers; and the systems and application support staffing required by individual researchers, clusters, and research teams.

Strategy 4: Maintain the program to improve salary and benefits for graduate research and teaching assistants. Other universities with whom ASU competes for top-quality graduate students have better salary and benefits packages. Excellent graduate students are essential for improving the quality of both graduate programs and the broader research enterprise.

Issue 4 Expand research capabilities

Description: ASU continues to vigorously pursue long-term initiatives in such areas as health and biosciences, advanced materials, security and defense systems, renewable energy and sustainability, learning sciences, informatics and communications. Over the five year period from 2007 to 2012, ASU was one of the ten fastest growing research enterprises, among U.S. universities with research portfolios exceeding \$100M in research expenditures [NSF Surveys]. ASU's goal is to establish itself as a global center for interdisciplinary research, discovery and development by growing its research expenditures to more than \$700M annually by 2020. To support our aspirations, ASU has defined seven strategies and four key focus areas that will allow us to continue our exceptional growth, serve the surrounding community and meet our 2020 research expenditure goal.

Solutions:

Strategy 1: Differentiate ASU from the competition through the procurement of large projects (> \$10 million) in several key target areas; health and biosciences, urban sustainability, flexible electronic systems, light-inspired energy, personalized learning, security and defense, and complex adaptive systems.

Strategy 2: Pursue a University Affiliated Research Center (UARC)-like entity (a research laboratory) on the scale of \$50-\$100 million per year, in energy, sustainability, aerospace, national security, or biosciences.

Strategy 3: Continue to promote and support ASU's \$50,000-\$750,000 projects from across the university through the improvement of the Office for Research and Sponsored Project Administration infrastructure, expansion of faculty opportunity search capabilities and providing assistance to the research deans for opportunity identification and development.

Strategy 4: Continue to expand research funding from foundations and individual donors by working closely with the Foundation to support its activities.

Strategy 5: Expand our collaborative research activities with industry to take advantage of their desire to shift basic and applied research requirements to university labs.

Strategy 6: Continue to pursue angel and venture investment in emerging companies. Activities will include developing a best-in-class intellectual property team and extension of Sky Song's entrepreneurship agenda.

Strategy 7: Provide sufficient research infrastructure.

Key Focus Area #1: Incorporate new approaches, including increased focus on interdisciplinary research

In keeping with the spirit of the New American University vision, we will continue to expand our research capabilities through an interdisciplinary approach. Interdisciplinary research involves not only drawing upon the expertise across the University but also includes partners such as industry, national laboratories, academia and clinical entities. We are focusing our efforts in bringing together researchers from disparate disciplines to tackle complex questions central to the areas of strategic interest. The Biodesign Institute and its research centers exemplify this approach. We are working on new industry-university consortium models that bring together industry and University researchers working collaboratively to address national challenges and result in significant educational and economic impact. We are increasingly focusing our research on global problems with local relevancy. We are also creating the ecosystems for promotion of innovation and entrepreneurship activities.

Key Focus Area #2: Increase participation in multi-institutional grants and consortiums

It is a strategic goal of ASU to be successful in securing several multi-institution, multi-disciplinary, multi-year, multi-million dollar (\$4M) research projects. A specific goal is to secure a national research laboratory or its equivalent by 2020. To achieve this objective, we will cultivate, identify, target and develop \$4M research opportunities leveraging ASU strengths in strategic research areas. Competitive teams and consortium will be constructed by bringing in complementary strengths through partnerships with national laboratories, academia, industry and government partners to successfully secure these grants.

Key Focus Area #3: Accelerate technology transfer initiatives

As ASU's research enterprise has expanded over the past several years, AzTE has undertaken a variety of activities in furtherance of its mission to facilitate advancement of University technology into the marketplace.

- Closely align AzTE functions and support with established and new research initiatives
- Continue focus and support of existing initiatives and programs
- Increase connectivity with investors and industry through conferences and other outreach activities
- Form a seed stage venture capital fund led by ASU to accelerate the number of faculty related spin-outs
- Increase technology exposure through cross marketing activities with other universities
- Increase faculty interaction and outreach, including the establishment of an AzTE office on campus to foster faculty relationships and commercialization activities

Key Focus Area #4: Improve infrastructure to support research

Achieving our research expenditure goals will require additional research space. A recent Space Analysis found that an impending research space shortage threatens to limit the University's ability to meet its research goals. The University must develop plans to repurpose existing space and construct new facilities. To develop these plans the University has undertaken an effort to survey unused and underused space, determine return on investment of allocated space and consistently revisit space allocation to respond to the dynamic research needs. Results will be shared with all stakeholders and plans to refurbish and repurpose will be developed to meet current and future needs. Funds for construction of new buildings will involve State, Federal and Philanthropic entities. The University will work with the State to clearly define research priorities and communicate current and future space requirements. Federal and Philanthropic funding opportunities will also be explored where appropriate to address the current and future space requirements.

The University's information technology infrastructure is continuously challenged to keep pace with the rapid increase in externally funded research. To meet the demands of research growth and to plan for future growth, new tools must be designed and implemented across the Research Enterprise in a way that leverages existing IT infrastructure and increases functionality for the entire Research community. Implementation of an end-to-end research administration system will allow for immediate process improvements and continued research expenditure growth. The improvement of the information technology infrastructure will be executed concurrently with the reorganization of research administration personnel and business processes.

Issue 5 Enhance and improve local impact and social embeddedness

Description: Development of ASU requires the university to be a fully engaged and integral part of the social, cultural, and economic fabric of the metropolitan area and the state of Arizona. ASU will demonstrate its social embeddedness to the extent that the faculty and staff are supporting and sustaining communities and solving problems through applied research, service, and partnerships in the P-12 education system, business and industry, government, and the community. ASU must assist in building a socially diverse and economically viable community, in developing civic and community leadership, and in addressing challenges such as poverty, growth, economic development and diversification, social infrastructure, and quality of life. Achieving a higher degree of social embeddedness requires a change in the internal culture of the university as well as a change in the role of the university in the eyes of the community. The university must continue to expect employees to contribute to community life through their expertise, intellect, and engagement. And the community must come to see the university as the key resource and place to get advice about community issues and solutions to community problems.

Solutions:

Strategy 1: Address the interests and workforce needs of the metropolitan area and state in times of diminishing economic resources.

Strategy 2: Enhance partnerships with the community and the state.

Strategy 3: Increase the number of qualified teachers to meet the K-12 educational demands of a growing population and provide opportunities for continuing development

Issue 6 Maintain quality and breadth of baccalaureate degree programs in an environment of diminished resources and plans for cost constraints

Description: In 2011, in response to the FY 2012 Higher Education Budget Reconciliation Bill, the Arizona Board of Regents convened a workgroup to extensively study and propose a methodology to address the General Fund per FTE student funding disparity among the three Arizona universities. As an outcome of the study, ASU requested and received a total of \$45.5 million over the past three fiscal years (FY 2013-FY 2015). ASU considers the legislative obligation to appropriate parity funding to be complete.

In addition to addressing the aforementioned funding disparity and providing equitable competitive funding structures, ABOR has endorsed the legislatively mandated funding model that calls for performance funding based on metrics and goals set for each of the universities. The ASU metrics focus on degree completion, class enrollments, and research growth. In addition to performance in these three elements, the funding model lends added weight to degrees related to the STEM fields (Science, Technology, Engineering and Mathematics), and other higher-value degrees that are in short supply or identified as essential to the State of Arizona's economic development strategy. The ASU budget request for performance funding is based on increases in each of these metrics. ASU's FY 2016 request includes \$38.3 million for performance funding based on its performance on the ABOR approved metrics over the FY 2012-2014 timeframe.

Solutions:

Strategy 1: Restructure funding mechanisms to fund performance based upon achieving specific metrics and deliverables.

Strategy 2: Continue to introduce innovative curricula structures and student advising programs to improve outcomes within an efficient cost structure.

Resource Assumptions

	FY2017 Estimate	FY2018 Estimate	FY2019 Estimate
Full-Time Equivalent Positions	237.5	237.5	237.5
General Fund	34,961.0	34,961.0	34,961.0
Other Appropriated Funds	38,762.3	27,779.7	29,168.6
Non-Appropriated Funds	28,010.0	28,850.3	29,715.8
Federal Funds	20,808.4	22,056.9	23,380.3



Five-Year Strategic Plan

ASU at the West Campus

October 1, 2014

University Office of Institutional Analysis

2014 - 2016 ARIZONA MASTER LIST OF STATE GOVERNMENT PROGRAMS

AWA 0.0	Agency Summary
	ASU - WEST
Dr. Michael Crow, President (480) 965-8972 A.R.S. § 15-1601 Plan Contact: Melinda Gebel, Director, Institutional Analysis (480) 965-2318	

Mission:

To become a comprehensive campus that balances the traditions of liberal arts education with responsiveness to the dynamics of workforce requirements. The West campus colleges and schools are committed to teaching and research that are innovative, interdisciplinary, collaborative and problem-based.

Description:

ASU at the West campus is located in Phoenix and serves over 14,500 residential and commuter students of diverse ages, ethnicity, and experience through baccalaureate programs, master's programs, doctoral programs and certificate programs. The West campus focuses on developing a learning community that addresses the needs of a diverse metropolitan environment. It does this by offering learner-centered academic programs that enhance learning through teaching, service and enrichment opportunities; promoting discovery and innovation; pursuing new knowledge; introducing insights and creative ideas through instruction; encouraging direct involvement in new fields of inquiry; investigating important community-based issues; and integrating with the community through service based on scholarship.

AWA 1.0	Program Summary
	INSTRUCTION
Melinda Gebel, Director Institutional Analysis (480) 965-2318 A.R.S. § 15-1601	

Mission:

To offer high quality academic degrees, general studies, and honors programs that prepare graduates for personal growth, fulfilling careers, and lifelong contributions to the quality of intellectual life in the community, state, region, and nation.

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- ◆ **Goal 1** To improve undergraduate and graduate education.

Performance Measures	FY 2014 Actual	FY 2015 Estimate	FY 2016 Estimate
Percentage of undergraduate degree recipients participating in research related or capstone (case study) experience	92	92	93
Percent of graduating seniors who rate their overall university experience as good or excellent	88	89	89
Percent of full-time undergraduate students enrolled per semester in three or more primary courses with ranked faculty	73	74	75

Fall semester enrollment (full-time equivalent)	6,364	6,609	6,856
Minority graduate students as a percentage of total enrollment	26.2	26.5	27.0

- ◆ **Goal 2** To provide support services and courses that assist students in achieving academic success.

Performance Measures	FY 2014 Actual	FY 2015 Estimate	FY 2016 Estimate
Percent of undergraduate students graduating with internships and field experiences	31	33	35

Number of tutorials offered by Academic Success Programs	10,248	11,785	13,553
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- ◆ **Goal 3** To retain students and help them graduate.

Performance Measures	FY 2014 Actual	FY 2015 Estimate	FY 2016 Estimate
Percent of first-time, full-time freshman persisting after one year	84.2	84.5	85.0

Percent of first-time, full-time, upper-division, degree-seeking undergraduate students graduating in four years	85	86	87
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Number of degrees granted	1,357	1,385	1,430
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Number of Bachelors degrees granted	1,029	1,065	1,102
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Number of Masters degrees granted	312	320	328
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AWA 2.0	Program Summary
	ORGANIZED RESEARCH
Melinda Gebel, Director Institutional Analysis (480) 965-2318 A.R.S. § 15-1601	

Mission:

To foster pre-eminent scholarship and creative activity that serves the citizens of Arizona through the development, application, and transfer of new knowledge especially beneficial to Arizona.

Description:

Organized Research includes research activities taking place within centers, divisions, bureaus, institutes and experiment stations formally approved by the Arizona Board of Regents. These activities are specifically created and organized to produce research, whether separately budgeted within the university or commissioned by an external agency, as with federal grants and contracts.

- ◆ **Goal 1** To provide a variety of research related opportunities for faculty so that they can improve their teaching and research activity skills.

Performance Measures	FY 2014 Actual	FY 2015 Estimate	FY 2016 Estimate
Dollar value of proposals submitted (in millions)	59.0	85.6	94.2

External dollars received for research and creative activity (in millions)	26.0	13.3	20.0
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Dollar value of total research expenditures (in millions)	12.0	8.3	9.0
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Dollar value of externally funded, non-research expenditures (in millions)	17.0	17.5	18.0
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2014 - 2016 ARIZONA MASTER LIST OF STATE GOVERNMENT PROGRAMS

AWA 3.0	Program Summary
	PUBLIC SERVICE
Melinda Gebel, Director	
Institutional Analysis (480) 965-2318	
A.R.S. § 15-1601	

Mission:

To serve the public by offering a public telecommunications system, by providing the finest available artists and productions in music, theater and dance, by establishing partnerships with local industry and educational institutions to foster community engagement, and by serving as a resource and focal point in providing information about various university services to the business community and economic development professionals.

Description:

Public Service includes those activities established primarily to provide services beneficial to individuals and groups external to the university to enhance corporate and community engagement. Public Service includes conferences, general advisory services, reference bureaus, public radio and television, consulting, continuing education and professional development programs, and similar services to particular sectors of the community.

- ◆ **Goal 1** To serve local businesses and communities through various partnerships, events, and activities.

Performance Measures	FY 2014 Actual	FY 2015 Estimate	FY 2016 Estimate
Number of community/business participatory events both on and off campus.	TBD	TBD	TBD

AWA 4.0	Program Summary
	ACADEMIC SUPPORT
Melinda Gebel, Director	
Institutional Analysis (480) 965-2318	
A.R.S. § 15-1601	

Mission:

To provide services and programs to faculty, staff and students in support of the instructional, research, and service mission of the university.

Description:

Academic Support services include retention, preservation, and display of educational materials through libraries, museums and galleries; audio visual and other activities that aid in the transmission of information; separately budgeted course and curriculum development; and academic computing support.

- ◆ **Goal 1** To develop a cohesive integrated tiered reference/research support service.

Performance Measures	FY 2014 Actual	FY 2015 Estimate	FY 2016 Estimate
Library volumes	323,505	320,500	318,500
Items checked out including renewals	12,760	13,000	13,000
Items borrowed from other ASU libraries	1,548	1,300	1,300
Items borrowed from libraries outside ASU	1,101	1,150	1,200

- ◆ **Goal 2** To improve technology equipment access, training, and support for students.

Performance Measures	FY 2014 Actual	FY 2015 Estimate	FY 2016 Estimate
Number of mediated classrooms	55	55	58

Percentage of classrooms with mediation	100	100	100
Number of common computing site seats	144	144	125
Percentage of site equipment out dated (>4 years old)	0	0	0

AWA 5.0	Program Summary
	STUDENT SERVICES
Melinda Gebel, Director	
Institutional Analysis (480) 965-2318	
A.R.S. § 15-1601	

Mission:

To foster the academic, social, emotional, and physical growth of learners by creating an inclusive holistic learning environment that offers services and opportunities for students to maximize their learning experience and become well-rounded productive citizens.

Description:

Student Services includes functions and other activities with the primary purpose of contributing to students' emotional and physical well-being and intellectual, cultural and social development outside the context of the formal instruction program. These other activities include cultural events, student newspapers, intramural athletics, student organizations, nonacademic counseling and career guidance, student health services, and the administration at the senior vice presidential level.

- ◆ **Goal 1** To promote the emotional and physical well-being of students by providing quality health care services.

Performance Measures	FY 2014 Actual	FY 2015 Estimate	FY 2016 Estimate
Students receiving health care on campus	1,530	1,606	1,686
Disabled students served	117	150	190

- ◆ **Goal 2** To enhance the quality of students' educational experience by providing programs and services which promote involvement in university activities and enhance opportunities for future employment.

Performance Measures	FY 2014 Actual	FY 2015 Estimate	FY 2016 Estimate
Registered campus clubs and organizations	67	72	77
Student participation in advising services, workshops, career events, job fairs, on-campus interviews and specials events offered by Career Services to assist students seeking employment and/or career guidance	5,184	5,340	5,500
Organizations physically recruiting on campus	168	173	178

AWA 6.0	Program Summary
	INSTITUTIONAL SUPPORT
Melinda Gebel, Director	
Institutional Analysis (480) 965-2318	
A.R.S. § 15-1601	

Mission:

To provide timely, efficient, and effective support for the university's mission of instruction, research, and public service goals through executive management, administrative information and services, adequate and well

maintained facilities, and strong partnerships with alumni, community leaders, and State decision makers.

Description:

Institutional Support includes central executive level activities concerned with management and long-range planning for the entire university and the operation and maintenance of the physical plant. Administrative activities include planning and programming, legal services, fiscal operations, administrative data processing, space management, employee personnel and records, purchasing, stores, safety, security, printing, transportation services, community and alumni relations, and development and fundraising.

- ◆ **Goal 1** To provide comprehensive administrative and human resource services to the campus community.

Performance Measures	FY 2014 Actual	FY 2015 Estimate	FY 2016 Estimate
Job applications processed	2,629	2,892	3,181
In FY14, a new applicant tracking system was implemented.			
Positions filled	68	75	82
Percent of agency staff turnover (classified staff only)	12.7	12.1	11.5
Administration as a percent of total cost	1.63	1.57	1.52

- ◆ **Goal 2** To provide a safe and secure environment that responds to the needs of students, faculty, and staff.

Performance Measures	FY 2014 Actual	FY 2015 Estimate	FY 2016 Estimate
Crime reports	106	118	126
Calls for Service	1,103	1,158	1,215

AWA 7.0	Program Summary
	AUXILIARY PROGRAM
	,
Not available	

◆ **Goal**

Agency 5-Year Plan

Issue 1 Increase participation in postsecondary education and ultimately increase baccalaureate degree production

Description: To broaden access to a quality education for all segments of the population, ASU must be positioned to accommodate the expected growth in high school graduates, particularly minority populations and a growing pool of older students requiring new job skills. Never in the history of Arizona has a university education been more important. Our knowledge-based economy and an ever-increasing trend toward globalization are changing the skills needed for success in the labor force. Yet, rising costs, need for financial aid, and years of under-funding for higher education place the idea of access at risk. Tuition rates approved by the Board of Regents in recent years and future changes consistent with Board policy will help to meet some of the increasing need for financial aid and improve affordability for a greater number of students.

ASU is strongly committed to providing access to college for all qualified students. Furtherance of this goal requires bold and sustained planning to provide for the projected increases in enrollments, primarily of undergraduate students. Continued investment will be necessary to provide the infrastructure for the enrollment growth envisioned at each of the campuses.

Solutions:

Strategy 1: Increase efforts to enroll more Arizona high school graduates.

Strategy 2: Increase the diversity of the student population.

Strategy 3: Enhance partnerships with the community colleges to facilitate more effective transfer processes.

Strategy 4: Increase ASU Online program offerings to increase access for students seeking ASU degrees.

Strategy 5: Provide flexibility in course offerings and educational modalities.

Strategy 6: Increase financial assistance available to needy students.

Strategy 7: Establish Colleges@ASU sites that will provide an opportunity for students to complete baccalaureate degrees at lower costs

Issue 2 Improve the quality of undergraduate and graduate education

Description: Undergraduate and graduate education are the cornerstones of the university enterprise. Students seek a high quality education that prepares them to be successful in their careers, to contribute to society, and to become lifelong learners. Today's graduates must have strong communication, team building, and critical thinking skills as well as a global perspective to be successful.

A continued emphasis on providing a quality educational experience requires examining and evolving how the university designs and delivers its instructional programs to maximize the impact of education. Improvements can be accomplished through new pedagogical techniques, such as adaptive learning, collaborative learning, service learning, and other learner-centered approaches; through the appropriate use of technology to enhance the learning environment; through undergraduate education that focuses on the student as an individual; by providing seamless access to the services and resources required for learning and creative and intellectual inquiry; and by providing an environment that fosters student scholarship. ASU continues to conceptualize and create a wide range of new interdisciplinary schools, institutes, centers, and programs that will foster the development of new knowledge. In addition, ASU is enhancing learning environments that facilitate learner-centered delivery with improved instructional technologies and flexible room design. Necessary funding will provide the resources needed to improve the learning environments, to accommodate the increased student population, and to hire the faculty necessary to establish national standing for colleges and schools in every field.

Solutions:

Strategy 1: Increase the number of tenured and tenure-track faculty.

Strategy 2: Enhance the electronic systems that provide students with information to assist their academic planning and progress.

Strategy 3: Emphasize learning experiences that are outcomes-focused.

Strategy 4: Expand the use of alternative instructional methodologies and delivery methods.

Issue 3 Recruit and retain faculty and staff in highly competitive national and local markets during a period of limited resources

Description: Quality faculty members are fundamental to a quality university education. Without the best faculty members, providing Arizona citizens the superior quality higher education they deserve and the output of research innovations they expect is impossible, and Arizona will not be able to achieve the necessary cultural and economic vitality required for the state to thrive. At ASU, hiring and retaining outstanding faculty members continues to be a concern. Like the other Arizona universities, ASU struggles to consistently compete in the demanding marketplace of top institutions. With the funding provided by the state for salaries between FY05 and FY08, ASU made some progress in improving faculty salaries, enabling the University to recruit and retain highly recognized and respected academics in a variety of fields. But the average salary for faculty members continues to fall below most of its peer institutions. Staff salaries also continue to fall further behind comparable jobs in the relevant markets. Turnover among staff continues to be a significant problem, in part due to salaries that are not competitive with the local market.

Solutions:

Strategy 1: Close the gap on salaries as defined in the Faculty Peer Salary Analysis through an ongoing commitment of performance salary adjustments. State investment in faculty salaries is critical at this time to retain key faculty members as well as enabling ASU to continue attracting and successfully competing for the highest qualified new faculty members.

Strategy 2: Adopt and implement an ongoing commitment of salary improvement to address the significantly negative market position of staff (non-academic) salaries by targeting budgetary funds at a level anticipating salary movement of 3 - 4% per year, with allocations tied directly to outcome driven performance measures.

Strategy 3: Develop and maintain the laboratory facilities and the network and computational resources required by the research community. Maintaining competitiveness in research, faculty and student recruitment and retention requires well-equipped modern facilities as well as secure access to high capacity network connectivity; computational, data, and analytic resources required to support researchers; and the systems and application support staffing required by individual researchers, clusters, and research teams.

Strategy 4: Maintain the program to improve salary and benefits for graduate research and teaching assistants. Other universities with whom ASU competes for top-quality graduate students have better salary and benefits packages. Excellent graduate students are essential for improving the quality of both graduate programs and the broader research enterprise.

Issue 4 Expand research capabilities

Description: ASU continues to vigorously pursue long-term initiatives in such areas as health and biosciences, advanced materials, security and defense systems, renewable energy and sustainability, learning sciences, informatics and communications. Over the five year period from 2007 to 2012, ASU was one of the ten fastest growing research enterprises, among U.S. universities with research portfolios exceeding \$100M in research expenditures [NSF Surveys]. ASU's goal is to establish itself as a global center for interdisciplinary research, discovery and development by growing its research expenditures to more than \$700M annually by 2020. To support our aspirations, ASU has defined seven strategies and four key focus areas that will allow us to continue our exceptional growth, serve the surrounding community and meet our 2020 research expenditure goal.

Solutions:

Strategy 1: Differentiate ASU from the competition through the procurement of large projects (> \$10 million) in several key target areas; health and biosciences, urban sustainability, flexible electronic systems, light-inspired energy, personalized learning, security and defense, and complex adaptive systems.

Strategy 2: Pursue a University Affiliated Research Center (UARC)-like entity (a research laboratory) on the scale of \$50-\$100 million per year, in energy, sustainability, aerospace, national security, or biosciences.

Strategy 3: Continue to promote and support ASU's \$50,000-\$750,000 projects from across the university through the improvement of the Office for Research and Sponsored Project Administration infrastructure, expansion of faculty opportunity search capabilities and providing assistance to the research deans for opportunity identification and development.

Strategy 4: Continue to expand research funding from foundations and individual donors by working closely with the Foundation to support its activities.

Strategy 5: Expand our collaborative research activities with industry to take advantage of their desire to shift basic and applied research requirements to university labs.

Strategy 6: Continue to pursue angel and venture investment in emerging companies. Activities will include developing a best-in-class intellectual property team and extension of Sky Song's entrepreneurship agenda.

Strategy 7: Provide sufficient research infrastructure.

Key Focus Area #1: Incorporate new approaches, including increased focus on interdisciplinary research

In keeping with the spirit of the New American University vision, we will continue to expand our research capabilities through an interdisciplinary approach. Interdisciplinary research involves not only drawing upon the expertise across the University but also includes partners such as industry, national laboratories, academia and clinical entities. We are focusing our efforts in bringing together researchers from disparate disciplines to tackle complex questions central to the areas of strategic interest. The Biodesign Institute and its research centers exemplify this approach. We are working on new industry-university consortium models that bring together industry and University researchers working collaboratively to address national challenges and result in significant educational and economic impact. We are increasingly focusing our research on global problems with local relevancy. We are also creating the ecosystems for promotion of innovation and entrepreneurship activities.

Key Focus Area #2: Increase participation in multi-institutional grants and consortiums

It is a strategic goal of ASU to be successful in securing several multi-institution, multi-disciplinary, multi-year, multi-million dollar (\$4M) research projects. A specific goal is to secure a national research laboratory or its equivalent by 2020. To achieve this objective, we will cultivate, identify, target and develop \$4M research opportunities leveraging ASU strengths in strategic research areas. Competitive teams and consortium will be constructed by bringing in complementary strengths through partnerships with national laboratories, academia, industry and government partners to successfully secure these grants.

Key Focus Area #3: Accelerate technology transfer initiatives

As ASU's research enterprise has expanded over the past several years, AzTE has undertaken a variety of activities in furtherance of its mission to facilitate advancement of University technology into the marketplace.

- Closely align AzTE functions and support with established and new research initiatives
- Continue focus and support of existing initiatives and programs
- Increase connectivity with investors and industry through conferences and other outreach activities
- Form a seed stage venture capital fund led by ASU to accelerate the number of faculty related spin-outs
- Increase technology exposure through cross marketing activities with other universities
- Increase faculty interaction and outreach, including the establishment of an AzTE office on campus to foster faculty relationships and commercialization activities

Key Focus Area #4: Improve infrastructure to support research

Achieving our research expenditure goals will require additional research space. A recent Space Analysis found that an impending research space shortage threatens to limit the University's ability to meet its research goals. The University must develop plans to repurpose existing space and construct new facilities. To develop these plans the University has undertaken an effort to survey unused and underused space, determine return on investment of allocated space and consistently revisit space allocation to respond to the dynamic research needs. Results will be shared with all stakeholders and plans to refurbish and repurpose will be developed to meet current and future needs. Funds for construction of new buildings will involve State, Federal and Philanthropic entities. The University will work with the State to clearly define research priorities and communicate current and future space requirements. Federal and Philanthropic funding opportunities will also be explored where appropriate to address the current and future space requirements.

The University's information technology infrastructure is continuously challenged to keep pace with the rapid increase in externally funded research. To meet the demands of research growth and to plan for future growth, new tools must be designed and implemented across the Research Enterprise in a way that leverages existing IT infrastructure and increases functionality for the entire Research community. Implementation of an end-to-end research administration system will allow for immediate process improvements and continued research expenditure growth. The improvement of the information technology infrastructure will be executed concurrently with the reorganization of research administration personnel and business processes.

Issue 5 Enhance and improve local impact and social embeddedness

Description: Development of ASU requires the university to be a fully engaged and integral part of the social, cultural, and economic fabric of the metropolitan area and the state of Arizona. ASU will demonstrate its social embeddedness to the extent that the faculty and staff are supporting and sustaining communities and solving problems through applied research, service, and partnerships in the P-12 education system, business and industry, government, and the community. ASU must assist in building a socially diverse and economically viable community, in developing civic and community leadership, and in addressing challenges such as poverty, growth, economic development and diversification, social infrastructure, and quality of life. Achieving a higher degree of social embeddedness requires a change in the internal culture of the university as well as a change in the role of the university in the eyes of the community. The university must continue to expect employees to contribute to community life through their expertise, intellect, and engagement. And the community must come to see the university as the key resource and place to get advice about community issues and solutions to community problems.

Solutions:

Strategy 1: Address the interests and workforce needs of the metropolitan area and state in times of diminishing economic resources.

Strategy 2: Enhance partnerships with the community and the state.

Strategy 3: Increase the number of qualified teachers to meet the K-12 educational demands of a growing population and provide opportunities for continuing development

Issue 6 Maintain quality and breadth of baccalaureate degree programs in an environment of diminished resources and plans for cost constraints

Description: In 2011, in response to the FY 2012 Higher Education Budget Reconciliation Bill, the Arizona Board of Regents convened a workgroup to extensively study and propose a methodology to address the General Fund per FTE student funding disparity among the three Arizona universities. As an outcome of the study, ASU requested and received a total of \$45.5 million over the past three fiscal years (FY 2013-FY 2015). ASU considers the legislative obligation to appropriate parity funding to be complete.

In addition to addressing the aforementioned funding disparity and providing equitable competitive funding structures, ABOR has endorsed the legislatively mandated funding model that calls for performance funding based on metrics and goals set for each of the universities. The ASU metrics focus on degree completion, class enrollments, and research growth. In addition to performance in these three elements, the funding model lends added weight to degrees related to the STEM fields (Science, Technology, Engineering and Mathematics), and other higher-value degrees that are in short supply or identified as essential to the State of Arizona's economic development strategy. The ASU budget request for performance funding is based on increases in each of these metrics. ASU's FY 2016 request includes \$38.3 million for performance funding based on its performance on the ABOR approved metrics over the FY 2012-2014 timeframe.

Solutions:

Strategy 1: Restructure funding mechanisms to fund performance based upon achieving specific metrics and deliverables.

Strategy 1: Continue to introduce innovative curricula structures and student advising programs to improve outcomes within an efficient cost structure

Resource Assumptions

	FY2017 Estimate	FY2018 Estimate	FY2019 Estimate
Full-Time Equivalent Positions	20.0	20.0	20.0
General Fund	2,702.0	2,702.0	2,702.0
Other Appropriated Funds	3,073.1	2,202.4	2,312.6
Non-Appropriated Funds	1,479.9	1,524.3	1,570.0
Federal Funds	811.7	860.4	912.1



Five-Year Strategic Plan

ASU at the Polytechnic Campus

October 1, 2014

University Office of Institutional Analysis

2014 - 2016 ARIZONA MASTER LIST OF STATE GOVERNMENT PROGRAMS

AXA 0.0	Agency Summary
	ASU - POLYTECHNIC
Dr. Michael Crow, President (480) 965-8972 A.R.S. § 15-1601 Plan Contact: Melinda Gebel, Director, Institutional Analysis (480) 965-2318	

Mission:

To emphasize professional and technological programs based in the liberal arts and sciences and engage in intellectual inquiry focused on addressing societal needs by offering undergraduate and graduate programs primarily in professional and technological fields and in selected areas of the liberal arts and sciences; engaging in forms of scholarship involved with discovering, integrating, applying, and transmitting knowledge to address the conditions and concerns of society; and working with community partners in accomplishing all aspects of this mission.

Description:

Arizona State University at the Polytechnic campus serves over 11,000 students and the metropolitan area through baccalaureate and graduate degree programs as well as through applied research and service. All programs at ASU at the Polytechnic campus provide students with the knowledge and extensive technological competence to succeed in their chosen professions and further learning. ASU at the Polytechnic campus offers a campus environment that places students at the center, embraces diversity and interdisciplinary inquiry, and strives to integrate the academic and social lives of students. ASU at the Polytechnic campus offers programs with outcomes directly relevant to the needs of society and the community, emphasizing collaboration and partnership to foster the educational, economic, and cultural development of local communities, the metropolitan area, the state, and the nation.

AXA 1.0	Program Summary
	INSTRUCTION
Melinda Gebel, Director Institutional Analysis (480) 965-2318 A.R.S. § 15-1601	

Mission:

To offer high quality academic degrees, general studies, and honors programs that prepare graduates for personal growth, fulfilling careers, and lifelong contributions to the quality of intellectual life in the community, state, region, and nation.

Description:

Instruction is comprised of activities carried out during the academic year, summer sessions, and other periods outside the regular term and associated with degree credit and non-credit academic courses. This program also includes faculty departmental research and public service activities that are not separately budgeted and academic administration where instruction plays an important role, such as at the dean and department chair levels.

- ◆ **Goal 1** To improve undergraduate and graduate education.

Performance Measures	FY 2014 Actual	FY 2015 Estimate	FY 2016 Estimate
Percent of graduating students who rate their overall experience at ASU Polytechnic as good or excellent	84	84	85
Percent of full-time undergraduate students enrolled per semester in three or more primary courses with ranked faculty	83	83	83

Number of degrees granted	945	974	1,006
Number of Bachelors degrees granted	765	792	819
Number of Masters degrees granted	178	182	187
Average number of years taken to graduate for student who began as freshmen	5.1	4.8	4.7
Fall semester enrollment (headcount)	11,302	12,290	13,212

- ◆ **Goal 2** To provide support services and courses that assist students in achieving academic success.

Performance Measures	FY 2014 Actual	FY 2015 Estimate	FY 2016 Estimate
Percent of graduating students who 'have done' or 'plan to do' a practicum, internship, co-op experience, or clinical assignment	59	60	61
Number of tutorials conducted by University Academic Success Programs	11,793	12,736	13,755

AXA 2.0	Program Summary
	ORGANIZED RESEARCH
Melinda Gebel, Director Institutional Analysis (480) 965-2318 A.R.S. § 15-1601	

Mission:

To foster pre-eminent scholarship and creative activity that serves the citizens of Arizona through the development, application, and transfer of new knowledge especially beneficial to Arizona.

Description:

Organized Research includes research activities taking place within centers, divisions, bureaus, institutes and experiment stations formally approved by the Arizona Board of Regents. These activities are specifically created and organized to produce research, whether separately budgeted within the university or commissioned by an external agency, as with federal grants and contracts.

- ◆ **Goal 1** To provide support mechanisms for ASU Polytechnic researchers in an effort to increase research and sponsored project activities.

Performance Measures	FY 2014 Actual	FY 2015 Estimate	FY 2016 Estimate
Dollar value of sponsored project proposals submitted (in millions)	44.4	65.5	72.1
External dollars received for research and creative activity (in millions)	7.3	8.5	9.9
Dollar value of total research expenditures (in millions)	9.9	8.7	9.3
Dollar value of externally funded, non-research expenditures (in millions)	1.7	1.8	1.8

AXA 3.0	Program Summary
	PUBLIC SERVICE
Melinda Gebel, Director Institutional Analysis (480) 965-2318 A.R.S. § 15-1601	

Mission:

2014 - 2016 ARIZONA MASTER LIST OF STATE GOVERNMENT PROGRAMS

To serve the public by offering a public telecommunications system, by providing the finest available artists and productions in music, theater and dance, by establishing partnerships with local industry and educational institutions to foster community engagement, and by serving as a resource and focal point in providing information about various university services to the business community and economic development professionals.

Description:

Public Service includes those activities established primarily to provide services beneficial to individuals and groups external to the university to enhance corporate and community engagement. Public Service includes conferences, general advisory services, reference bureaus, public radio and television, consulting, continuing education and professional development programs, and similar services to particular sectors of the community.

- ◆ **Goal 1** To partner with industry and the community to develop innovative solutions and to provide high quality continuing education courses and training programs.

Performance Measures	FY 2014 Actual	FY 2015 Estimate	FY 2016 Estimate
Number of people served in professional activities.	1,766	2,000	2,200
Number of iProject and external (non-agency) research sponsors.	54	100	180

- ◆ **Goal 2** To provide meaningful community engagement opportunities through education.

Performance Measures	FY 2014 Actual	FY 2015 Estimate	FY 2016 Estimate
Number of attendees at K-12 outreach activities.	4,129	5,200	6,500

AXA 4.0	Program Summary
	ACADEMIC SUPPORT
Melinda Gebel, Director	
Institutional Analysis (480) 965-2318	
A.R.S. § 15-1601	

Mission:

To provide services and programs to faculty, staff and students in support of the instructional, research, and service mission of the university.

Description:

Academic Support services include retention, preservation, and display of educational materials through libraries, museums and galleries; audio visual and other activities that aid in the transmission of information; separately budgeted course and curriculum development; and academic computing support.

- ◆ **Goal 1** To provide Library Services as an integral and essential component in the academic success of students and faculty.

Performance Measures	FY 2014 Actual	FY 2015 Estimate	FY 2016 Estimate
Library gate count	116,713	120,000	125,000

Workstations available for public use in library facilities

44 44 44

Number of hours the library is open each week

87 87 87

- ◆ **Goal 2** To provide students and faculty with the technological resources and services needed to support accomplishment of their academic goals.

Performance Measures	FY 2014 Actual	FY 2015 Estimate	FY 2016 Estimate
Number of mediated classrooms	74	74	79

Percentage of classrooms with mediation	100	100	100
Number of common computing site seats	93	93	93
Percentage of site equipment outdated (>4 years old)	0	0	0

AXA 5.0	Program Summary
	STUDENT SERVICES
Melinda Gebel, Director	
Institutional Analysis (480) 965-2318	
A.R.S. § 15-1601	

Mission:

To foster the academic, social, emotional, and physical growth of learners by creating an inclusive holistic learning environment that offers services and opportunities for students to maximize their learning experience and become well-rounded productive citizens.

Description:

Student Services includes functions and other activities with the primary purpose of contributing to students' emotional and physical well-being and intellectual, cultural and social development outside the context of the formal instruction program. These other activities include cultural events, student newspapers, intramural athletics, student organizations, nonacademic counseling and career guidance, student health services, and the administration at the senior vice presidential level.

- ◆ **Goal 1** To promote the emotional and physical well-being of students by providing quality health care services.

Performance Measures	FY 2014 Actual	FY 2015 Estimate	FY 2016 Estimate
Students receiving health care at the Student Health Center (provider/nurse visits)	2,069	2,275	2,500

- ◆ **Goal 2** To enhance the quality of students' educational experience by providing programs and services which promote involvement in university activities and enhance opportunities for future employment.

Performance Measures	FY 2014 Actual	FY 2015 Estimate	FY 2016 Estimate
Events and activities held for students each year	602	650	700
Registered campus clubs and organizations	74	79	84
Organizations physically recruiting on campus	106	109	112

- ◆ **Goal 3** To provide services that enhance the likelihood of students' academic success.

Performance Measures	FY 2014 Actual	FY 2015 Estimate	FY 2016 Estimate
Students participating in student advisement/registration workshops	550	600	650
Students living in first-year residential communities	420	500	550

AXA 6.0	Program Summary
	INSTITUTIONAL SUPPORT
Melinda Gebel, Director	
Institutional Analysis (480) 965-2318	
A.R.S. § 15-1601	

Agency 5-Year Plan

Issue 1 Increase participation in postsecondary education and ultimately increase baccalaureate degree production

Description: To broaden access to a quality education for all segments of the population, ASU must be positioned to accommodate the expected growth in high school graduates, particularly minority populations and a growing pool of older students requiring new job skills. Never in the history of Arizona has a university education been more important. Our knowledge-based economy and an ever-increasing trend toward globalization are changing the skills needed for success in the labor force. Yet, rising costs, need for financial aid, and years of under-funding for higher education place the idea of access at risk. Tuition rates approved by the Board of Regents in recent years and future changes consistent with Board policy will help to meet some of the increasing need for financial aid and improve affordability for a greater number of students.

ASU is strongly committed to providing access to college for all qualified students. Furtherance of this goal requires bold and sustained planning to provide for the projected increases in enrollments, primarily of undergraduate students. Continued investment will be necessary to provide the infrastructure for the enrollment growth envisioned at each of the campuses.

Solutions:

Strategy 1: Increase efforts to enroll more Arizona high school graduates.

Strategy 2: Increase the diversity of the student population.

Strategy 3: Enhance partnerships with the community colleges to facilitate more effective transfer processes.

Strategy 4: Increase ASU Online program offerings to increase access for students seeking ASU degrees.

Strategy 5: Provide flexibility in course offerings and educational modalities.

Strategy 6: Increase financial assistance available to needy students.

Strategy 7: Establish Colleges@ASU sites that will provide an opportunity for students to complete baccalaureate degrees at lower costs.

Issue 2 Improve the quality of undergraduate and graduate education

Description: Undergraduate and graduate education are the cornerstones of the university enterprise. Students seek a high quality education that prepares them to be successful in their careers, to contribute to society, and to become lifelong learners. Today's graduates must have strong communication, team building, and critical thinking skills as well as a global perspective to be successful.

A continued emphasis on providing a quality educational experience requires examining and evolving how the university designs and delivers its instructional programs to maximize the impact of education. Improvements can be accomplished through new pedagogical techniques, such as adaptive learning, collaborative learning, service learning, and other learner-centered approaches; through the appropriate use of technology to enhance the learning environment; through undergraduate education that focuses on the student as an individual; by providing seamless access to the services and resources required for learning and creative and intellectual inquiry; and by providing an environment that fosters student scholarship. ASU continues to conceptualize and create a wide range of new interdisciplinary schools, institutes, centers, and programs that will foster the development of new knowledge. In addition, ASU is enhancing learning environments that facilitate learner-centered delivery with improved instructional technologies and flexible room design. Necessary funding will provide the resources needed to improve the learning environments, to accommodate the increased student population, and to hire the faculty necessary to establish national standing for colleges and schools in every field.

Solutions:

Strategy 1: Increase the number of tenured and tenure-track faculty.

Strategy 2: Enhance the electronic systems that provide students with information to assist their academic planning and progress.

Strategy 3: Emphasize learning experiences that are outcomes-focused.

Strategy 4: Expand the use of alternative instructional methodologies and delivery methods.

Issue 3 Recruit and retain faculty and staff in highly competitive national and local markets during a period of limited resources

Description: Quality faculty members are fundamental to a quality university education. Without the best faculty members, providing Arizona citizens the superior quality higher education they deserve and the output of research innovations they expect is impossible, and Arizona will not be able to achieve the necessary cultural and economic vitality required for the state to thrive. At ASU, hiring and retaining outstanding faculty members continues to be a concern. Like the other Arizona universities, ASU struggles to consistently compete in the demanding marketplace of top institutions. With the funding provided by the state for salaries between FY05 and FY08, ASU made some progress in improving faculty salaries, enabling the University to recruit and retain highly recognized and respected academics in a variety of fields. But the average salary for faculty members continues to fall below most of its peer institutions. Staff salaries also continue to fall further behind comparable jobs in the relevant markets. Turnover among staff continues to be a significant problem, in part due to salaries that are not competitive with the local market.

Solutions:

Strategy 1: Close the gap on salaries as defined in the Faculty Peer Salary Analysis through an ongoing commitment of performance salary adjustments. State investment in faculty salaries is critical at this time to retain key faculty members as well as enabling ASU to continue attracting and successfully competing for the highest qualified new faculty members.

Strategy 2: Adopt and implement an ongoing commitment of salary improvement to address the significantly negative market position of staff (non-academic) salaries by targeting budgetary funds at a level anticipating salary movement of 3 - 4% per year, with allocations tied directly to outcome driven performance measures.

Strategy 3: Develop and maintain the laboratory facilities and the network and computational resources required by the research community. Maintaining competitiveness in research, faculty and student recruitment and retention requires well-equipped modern facilities as well as secure access to high capacity network connectivity; computational, data, and analytic resources required to support researchers; and the systems and application support staffing required by individual researchers, clusters, and research teams.

Strategy 4: Maintain the program to improve salary and benefits for graduate research and teaching assistants. Other universities with whom ASU competes for top-quality graduate students have better salary and benefits packages. Excellent graduate students are essential for improving the quality of both graduate programs and the broader research enterprise.

Issue 4 Expand research capabilities

Description: ASU continues to vigorously pursue long-term initiatives in such areas as health and biosciences, advanced materials, security and defense systems, renewable energy and sustainability, learning sciences, informatics and communications. Over the five year period from 2007 to 2012, ASU was one of the ten fastest growing research enterprises, among U.S. universities with research portfolios exceeding \$100M in research expenditures [NSF Surveys]. ASU's goal is to establish itself as a global center for interdisciplinary research, discovery and development by growing its research expenditures to more than \$700M annually by 2020. To support our aspirations, ASU has defined seven strategies and four key focus areas that will allow us to continue our exceptional growth, serve the surrounding community and meet our 2020 research expenditure goal.

Solutions:

Strategy 1: Differentiate ASU from the competition through the procurement of large projects (> \$10 million) in several key target areas; health and biosciences, urban sustainability, flexible electronic systems, light-inspired energy, personalized learning, security and defense, and complex adaptive systems.

Strategy 2: Pursue a University Affiliated Research Center (UARC)-like entity (a research laboratory) on the scale of \$50-\$100 million per year, in energy, sustainability, aerospace, national security, or biosciences.

Strategy 3: Continue to promote and support ASU's \$50,000-\$750,000 projects from across the university through the improvement of the Office for Research and Sponsored Project Administration infrastructure, expansion of faculty opportunity search capabilities and providing assistance to the research deans for opportunity identification and development.

Strategy 4: Continue to expand research funding from foundations and individual donors by working closely with the Foundation to support its activities.

Strategy 5: Expand our collaborative research activities with industry to take advantage of their desire to shift basic and applied research requirements to university labs.

Strategy 6: Continue to pursue angel and venture investment in emerging companies. Activities will include developing a best-in-class intellectual property team and extension of Sky Song's entrepreneurship agenda.

Strategy 7: Provide sufficient research infrastructure.

Key Focus Area #1: Incorporate new approaches, including increased focus on interdisciplinary research

In keeping with the spirit of the New American University vision, we will continue to expand our research capabilities through an interdisciplinary approach. Interdisciplinary research involves not only drawing upon the expertise across the University but also includes partners such as industry, national laboratories, academia and clinical entities. We are focusing our efforts in bringing together researchers from disparate disciplines to tackle complex questions central to the areas of strategic interest. The Biodesign Institute and its research centers exemplify this approach. We are working on new industry-university consortium models that bring together industry and University researchers working collaboratively to address national challenges and result in significant educational and economic impact. We are increasingly focusing our research on global problems with local relevancy. We are also creating the ecosystems for promotion of innovation and entrepreneurship activities.

Key Focus Area #2: Increase participation in multi-institutional grants and consortiums

It is a strategic goal of ASU to be successful in securing several multi-institution, multi-disciplinary, multi-year, multi-million dollar (\$4M) research projects. A specific goal is to secure a national research laboratory or its equivalent by 2020. To achieve this objective, we will cultivate, identify, target and develop \$4M research opportunities leveraging ASU strengths in strategic research areas. Competitive teams and consortium will be constructed by bringing in complementary strengths through partnerships with national laboratories, academia, industry and government partners to successfully secure these grants.

Key Focus Area #3: Accelerate technology transfer initiatives

As ASU's research enterprise has expanded over the past several years, AzTE has undertaken a variety of activities in furtherance of its mission to facilitate advancement of University technology into the marketplace.

- Closely align AzTE functions and support with established and new research initiatives
- Continue focus and support of existing initiatives and programs
- Increase connectivity with investors and industry through conferences and other outreach activities
- Form a seed stage venture capital fund led by ASU to accelerate the number of faculty related spin-outs
- Increase technology exposure through cross marketing activities with other universities
- Increase faculty interaction and outreach, including the establishment of an AzTE office on campus to foster faculty relationships and commercialization activities

Key Focus Area #4: Improve infrastructure to support research

Achieving our research expenditure goals will require additional research space. A recent Space Analysis found that an impending research space shortage threatens to limit the University's ability to meet its research goals. The University must develop plans to repurpose existing space and construct new facilities. To develop these plans the University has undertaken an effort to survey unused and underused space, determine return on investment of allocated space and consistently revisit space allocation to respond to the dynamic research needs. Results will be shared with all stakeholders and plans to refurbish and repurpose will be developed to meet current and future needs. Funds for construction of new buildings will involve State, Federal and Philanthropic entities. The University will work with the State to clearly define research priorities and communicate current and future space requirements. Federal and Philanthropic funding opportunities will also be explored where appropriate to address the current and future space requirements.

The University's information technology infrastructure is continuously challenged to keep pace with the rapid increase in externally funded research. To meet the demands of research growth and to plan for future growth, new tools must be designed and implemented across the Research Enterprise in a way that leverages existing IT infrastructure and increases functionality for the entire Research community. Implementation of an end-to-end research administration system will allow for immediate process improvements and continued research expenditure growth. The improvement of the information technology infrastructure will be executed concurrently with the reorganization of research administration personnel and business processes.

Issue 5 Enhance and improve local impact and social embeddedness

Description: Development of ASU requires the university to be a fully engaged and integral part of the social, cultural, and economic fabric of the metropolitan area and the state of Arizona. ASU will demonstrate its social embeddedness to the extent that the faculty and staff are supporting and sustaining communities and solving problems through applied research, service, and partnerships in the P-12 education system, business and industry, government, and the community. ASU must assist in building a socially diverse and economically viable community, in developing civic and community leadership, and in addressing challenges such as poverty, growth, economic development and diversification, social infrastructure, and quality of life. Achieving a higher degree of social embeddedness requires a change in the internal culture of the university as well as a change in the role of the university in the eyes of the community. The university must continue to expect employees to contribute to community life through their expertise, intellect, and engagement. And the community must come to see the university as the key resource and place to get advice about community issues and solutions to community problems.

Solutions:

Strategy 1: Address the interests and workforce needs of the metropolitan area and state in times of diminishing economic resources.

Strategy 2: Enhance partnerships with the community and the state.

Strategy 3: Increase the number of qualified teachers to meet the K-12 educational demands of a growing population and provide opportunities for continuing development

Issue 6 Maintain quality and breadth of baccalaureate degree programs in an environment of diminished resources and plans for cost constraints

Description: In 2011, in response to the FY 2012 Higher Education Budget Reconciliation Bill, the Arizona Board of Regents convened a workgroup to extensively study and propose a methodology to address the General Fund per FTE student funding disparity among the three Arizona universities. As an outcome of the study, ASU requested and received a total of \$45.5 million over the past three fiscal years (FY 2013-FY 2015). ASU considers the legislative obligation to appropriate parity funding to be complete.

In addition to addressing the aforementioned funding disparity and providing equitable competitive funding structures, ABOR has endorsed the legislatively mandated funding model that calls for performance funding based on metrics and goals set for each of the universities. The ASU metrics focus on degree completion, class enrollments, and research growth. In addition to performance in these three elements, the funding model lends added weight to degrees related to the STEM fields (Science, Technology, Engineering and Mathematics), and other higher-value degrees that are in short supply or identified as essential to the State of Arizona's economic development strategy. The ASU budget request for performance funding is based on increases in each of these metrics. ASU's FY 2016 request includes \$38.3 million for performance funding based on its performance on the ABOR approved metrics over the FY 2012-2014 timeframe.

Solutions:

Strategy 1: Restructure funding mechanisms to fund performance based upon achieving specific metrics and deliverables.

Strategy 2: Continue to introduce innovative curricula structures and student advising programs to improve outcomes within an efficient cost structure

Resource Assumptions

	FY2017 Estimate	FY2018 Estimate	FY2019 Estimate
Full-Time Equivalent Positions	17.5	17.5	17.5
General Fund	2,337.0	2,337.0	2,337.0
Other Appropriated Funds	2,213.2	1,586.1	1,665.4
Non-Appropriated Funds	1,277.3	1,315.6	1,355.1
Federal Funds	480.8	509.6	540.2