Report to the Faculty, Administration, Trustees, and Students of
YALE UNIVERSITY
New Haven, Connecticut

By an Evaluation Team representing the
New England Commission of Higher Education

Prepared after study of the institution's self-evaluation report
and a site visit on November 3-6, 2019

The members of the Team:
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This report represents the views of the evaluation committee as interpreted by the chair. Its content is based on the committee's evaluation of the institution with respect to the Commission's criteria for accreditation. It is a confidential document in which all comments are made in good faith. The report is prepared both as an educational service to the institution and to assist the Commission in making a decision about the institution's accreditation status.

New England Commission of Higher Education
Preface Page to the Team Report
Please complete **during the team visit** and include with the report prepared by the visiting team

Date form completed: November 21, 2019

Name of Institution: Yale University

1. **History:**   Year chartered or authorized 1701   Year first degrees awarded 1702

2. **Type of control:** ☐ State   ☐ City   ☐ Religious Group; specify:_____
   ☒ Private, not-for-profit   ☐ Other; specify: _____
   ☐ Proprietary

3. **Degree level:**

   ☐ Associate   ☒ Baccalaureate   ☒ Masters   ☒ Professional   ☒ Doctorate

4. **Enrollment in Degree Programs:** (Use figures from fall semester of most recent year):

	Full-time	Part-time	FTE	Retention[a]	Graduation[b]	# Degrees[c]
Associate	n/a	n/a	n/a	n/a	n/a	n/a
Baccalaureate	5938	25	5946	99%	97%	1313
Graduate	7336	105	7371	Varies by Program, see Data First form 8.4		3067

(a) full-time 1st to 2nd year   (b) 3 or 6 year graduation rate   (c) number of degrees awarded most recent year

5. **Student debt:**

	Most Recent Year	One Year Prior	Two Years Prior
Three-year Cohort Default Rate	FY18: 0.008	FY17: 1.4	FY16: 0.6
Three-year Loan Repayment Rate	FY18: Not Yet Available	FY17: 86.0731	FY16: 86.0764

	Associate	Baccalaureate	Graduate
Average % of graduates leaving with debt	n/a	FY18: 16%	FY18: 4% (1st Professional Degree: 58%)
Average amount of debt for graduates	n/a	FY18: $14,575	FY18: $59,366 (1st Professional Degree: $80,324)

6. **Number of current faculty:**   FY18: Full-time 4.575   Part-time 1.868 FTE 5.198

7. **Current fund data for most recently completed fiscal year:** (Specify year: 2018)
   (Double click in any cell to enter spreadsheet. Enter dollars in millions, e.g., $1,456,200 = $1.456)

Revenues		Expenditures	
Tuition	$592,056	Instruction	$0
Gov't Appropriations	$623,648	Research	$0
Gifts/Grants/Endowment	$1,448,399	General	$0
Auxiliary Enterprises	$0	Auxiliary Enterprises	$0
Other	$1,400,630	Other (see note on Data First Form 7.3)	$3,399,374
Total	$4,064,733	Total	$3,399,374

8. **Number of off-campus locations:**
   In-state 1   Other U.S. 0   International 0   Total 1

9. **Number of degrees and certificates offered electronically:**
   Programs offered entirely on-line 0   Programs offered 50-99% on-line 1

10. **Is instruction offered through a contractual relationship?**
    ☒ No   ☐ Yes   Specify program(s): _____

Introduction

This report of the Evaluation Team of the New England Commission of Higher Education (NECHE) is based on the information contained in Yale's self-study report and the team's visit to campus on November 3-6, 2019. The Evaluation Team is grateful to the many members of the Yale University community who supported the team throughout its visit and provided candid and thorough input to inform the committee's work. Over the course of the visit, team members participated in extensive meetings with individuals and small groups representing a broad range of constituencies, including faculty, students, trustees, senior leadership, and staff. The team engaged with the president and the senior fellow of the Yale Corporation at the opening dinner on Sunday evening and in private meetings on Monday morning (two additional trustees joined the senior fellow telephonically to answer the team's questions about board governance).

Over the course of the visit, the team met with approximately 60 members of Yale's administrative staff (including the president and senior administrators) and academic leadership, including the Dean of the Faculty of Arts and Sciences, the Dean of the School of Engineering & Applied Science/FAS Dean of Science, the Dean of the Graduate School of Arts and Sciences, and the Dean of Yale College. The visiting team also met with faculty leaders of key campus committees, including the Course of Study Committee, the Teaching, Learning and Advising Committee, and the Committee on Majors. Additionally, the team held open meetings for students and members of the Yale's faculty and staff.

The evaluation team found the self-study and accompanying materials to be appropriately comprehensive. The information provided an accurate description of Yale University, which continues to excel as one of the world's leading research and teaching universities.

This evaluation of Yale University is a comprehensive evaluation following its interim report submitted and accepted in 2014. NECHE delineates nine standards to guide the evaluation of its institutions. Following is a discussion of each of those standards.

Standard 1: Mission and Purposes

For more than 300 years, Yale University has served as one of the world's leading institutions of higher education with a broad commitment to teaching and research. Since assuming the Yale presidency in 2013, Peter Salovey has led the University through a period of significant change, including numerous leadership and organizational transitions; the development of priorities for academic investment; deepening engagement between the university's trustees and its administration; the expansion of its undergraduate population; a return to financial equilibrium following the 2008-09 financial crisis; and significant growth of its physical campus, including the completion of key facilities projects (such as two new residential colleges and the new Science Building).

During his first year in office, President Salovey launched a collaborative effort to redefine Yale's mission statement, involving trustees, faculty, staff, students, and alumni. The effort sought to reframe Yale's existing mission statement to encompass not only what Yale does, but also why it is important for the university to do what it does.

The process was informed by President Salovey's vision for a unified, innovative, and accessible Yale and driven by seven overarching goals for Yale University. The goals include commitments to teaching and learning, diversifying the student body, and sharing Yale's intellectual assets with the world more broadly. The resulting mission statement, released in February 2016, outlines key university attributes and describes Yale's commitment "to improving the world today and for future generations through outstanding research and scholarship, education, preservation, and practice." By emphasizing Yale's societal context and the University's aspiration to develop leaders who serve, the new mission statement provides grounding for the major goals and priorities for the university.

Given the specialized objectives in teaching, research, and practice pursued by Yale's Graduate School of Arts and Sciences as well as its multiple professional schools, a number of the university's large academic units have developed individual mission statements. These statements, which are readily available on the schools' websites and in catalogues, complement the university's overarching mission statement and reinforce the university's overarching emphasis on world-class teaching and scholarship.

Yale University is one of the world's most outstanding research and teaching universities. Its mission statement sets an appropriately demanding and public-spirited target for Yale's scholarly enterprise. Yale sets its sights remarkably high. Its publicly announced goals, which informed the self-study, include an aspiration 'to be the research university *most committed* to teaching and learning.' Even if one wonders whether it makes sense to identify any college or university as 'most committed,' Yale's faculty excellence, scholarly values, personalized instruction, vibrant residential life, and exceptional resources provide a plausible foundation for the demanding goals it embraces.

Standard 2: Planning and Evaluation

Planning: Yale's organizational structure is decentralized and the planning process reflects that reality. Working toward a goal of greater alignment in shared purposes, much of the initial planning is done by individual schools as part of an annual cycle focused on budgeting and goal-setting. Yale has an established procedure for the development of annual operating plans, long-range (ten-year outlook) plans and capital plans. Plans are reviewed at multiple levels including by the Budget Advisory Group, which includes the provost, the senior vice president for operations, and several faculty members. As part of the long-range financial planning process, units are asked to perform "stress tests" that demonstrate how they would react to major financial and programmatic uncertainties. The Yale Corporation holds a formal vote of approval on the annual budget, reviewing the consolidated university-level long-range plans for context.

Academic planning at Yale similarly strikes a balance between the decentralized structure and the desire to execute university-wide priorities. Under President Salovey, Yale has established a University Cabinet as an advisory body of senior academic and administrative leaders. On an annual basis, members of this group agree on university goals and priorities. In addition, the President and Provost hold individual goal-setting meetings with each member of the cabinet to set priorities within individual schools and units.

Yale has engaged in a recent effort to develop focused academic goals which form the basis of the university's strategic planning. Three key faculty-led committees have begun to shape the

university's priorities. These committees – the University Science Strategy Committee, the University Humanities Committee, and the University-wide Committee on Data Intensive Social Science – are at different stages of their work. The Science Strategy Committee was the first to complete its report and a number of its recommendations are being implemented.

Several organizational changes have strengthened Yale's planning processes. Yale created the position of associate vice president for strategy and academic business operations, a role charged with supporting strategic and fact-based decision making throughout the university. This reinvigoration of analytical support for senior leadership has been made stronger by the appointment of a new Director of the Office of Institutional Research. The relatively recent creation of the position of Senior Vice President for Operations has also added energy and attention to planning efforts. The Senior Vice President has created a Business Operations Council to enhance communication across budget units and more closely align the academic business units and central operating staffs.

Yale has demonstrated a clear ability to execute on its long-range plans. The April 2019 announcement of the decision to transform the Jackson Institute into the Jackson School of Global Affairs reflects a combination of academic, strategic, and financial planning. Based on the work of a committee appointed by the Provost in 2017, the choice to found a new school is the culmination of a thoughtful multi-year process.

Yale's 2017 expansion of its undergraduate class by 15 percent – the first major increase in its undergraduate enrollment since it went co-ed 50 years ago – is another example of successful execution of a strategic vision. Increasing the size of the class required the construction of two new residential colleges. Beyond the building of additional space, it required a significant commitment to additional financial aid as well as to expanded services to accommodate the increased number of students. Yale has committed to increasing not only the size of the class but also the number of Pell grant-eligible and first-generation students. In the past five years, Yale has seen an increase of 62% in the number of Pell-eligible students and 39% in the number of first-generation students in its undergraduate population.

In the matter of capital projects, Yale relies on a University Planning Framework developed in 2001 and updated in 2009. This plan appears to have served Yale well as the campus has grown. In light of the many recent changes to Yale's footprint and to its academic ambitions, the University might again benefit from an update or renewal of the master plan.

Evaluation: Much of Yale's evaluation of academic programs is carried on in the individual schools. These evaluation procedures include faculty committees that utilize a variety of qualitative and quantitative methods. Information gathered in these evaluations has been used to guide the creation of new undergraduate academic programs and revisions to Yale College advising. Of particular note is the recent comprehensive overhaul of the Online Course Evaluation process led by the Yale College Teaching, Learning and Advising Committee. The data produced by the new evaluation process is currently used primarily for feedback to individual instructors. It is also enabling the Office of Institutional Research to measure the effectiveness of individual courses.

The processes by which individual academic departments are evaluated is an area that might merit some additional consideration. There are a range of ways in which such appraisal might be

approached including utilizing internal resources to achieve some sense of how successfully an individual department is performing relative to its peers.

Standard 3: Organization and Governance

Governing Board: Yale is governed by a Board of Trustees (formally known as the Yale Corporation), chaired by the President. It consists of sixteen non-ex-officio trustees, of whom ten elect their own successors and six are elected by the alumni. The composition ensures the degree of independence essential for good governance. Yale's board conducts its business through twelve standing committees. It meets five times a year, and its relatively small size permits key decisions to considered by the whole board.

Based on a review of the minutes of recent board meetings, one can conclude that the trustees appreciate and effectively support the mission of the university. As a group they are engaged and well informed, and they understand and appreciate their responsibilities as fiduciaries. The Corporation is informed by the President about key developments and plans early and often. Trustee approval is sought for all appropriate decisions. As one trustee put it, recommendations from the President are "thoroughly reviewed and consciously accepted." The Provost presents the annual budgets to the board. Opportunities and risks are carefully evaluated before approval. Five-year and ten-year plans are also developed and presented to the board. The adoption of an enterprise risk management system further strengthens the process. Capital projects are approved through a two-step process: first by the Buildings & Grounds committee and then by the Finance committee.

The President presents his annual goals to the board for affirmation. The board uses these goals to evaluate the performance of the President and key officers, and to set compensation appropriately (the board is moving to a more metrics-driven approach to assessment of performance). The board is supported by the Senior Vice President for Institutional Affairs, the Secretary and their staffs, who have developed a thoughtful approach to the orientation of new trustees and the engagement of the board with faculty and students. Yale's board is a true asset to the university, whose resources and reputation it stewards with great care.

Internal Governance: President Salovey has made several changes to the organization of the university, aiming to create a more unified Yale and enhance the university's ability to advance its mission. Recent developments at Yale include the creation of additional central administrative structures; the reorganization of the leadership of the Faculty of Arts and Sciences (FAS) and creation of a Faculty Senate; and the creation of the Yale Jackson School of Global Affairs.

To align operations with mission and increase efficiency and sustainability, the President has created a University Cabinet and a business operations council; appointed an inaugural Senior Vice President for Operations; and established a structure in which operational functions report through the Provost or one of the two senior vice presidents. The Provost functions as a strong Chief Academic and Budgetary Officer. The changes to the FAS deans' office structure, discussed below, have helped make the Provost a truly pan-university officer.

There have been two substantive changes in the organization of FAS in the last five years: the creation of the position of Dean of FAS and the creation of a faculty senate. In the past, the Dean of the College and the Dean of the Graduate School of Arts and Sciences divided the

management of the FAS departments, sharing responsibility for the faculty appointment and promotion processes in conjunction with the provost's office through "cognizant" deputy provosts. This structure placed significant burdens on the two deans and required the provost to dedicate outsized attention to the FAS compared to the rest of the university. Yale has now implemented an alternate structure that includes a Dean of FAS and divisional deans for Science, Humanities, Social Sciences and the School of Engineering and Applied Sciences (SEAS). The provost retains authority for start-up funds and space allocations for new hires; salary and departmental budgets now belong to the FAS dean. The Dean of the College and the Dean of the Graduate School retain their student-facing functions and are now considered peers of the FAS dean. This triumvirate administers FAS.

The partial federation of power to the FAS dean and the divisional deans is seen as positive, enabling a nimbler FAS. Moreover, the triumvirate functions collegially because the current holders of the three positions work well together. However, some aspects of the relationship between the provost and the dean of the FAS faculty appear to be in flux or may require further specification. This could result in changes that would not only ensure that FAS's structure is best suited to deliver on the mission and priorities of the school and the university, but also render the structure more robust to changes in personnel.

In making major decisions, the university administration has used faculty committees, such as the Chevalier committee that recommended the creation of the Jackson School, described in the following paragraph. Creating a faculty senate in FAS is a desirable way to get such faculty input into strategic and operational decisions. That said, the faculty senate seems to be less than optimally engaged at present. A review of its role might allow it to serve the university more effectively.

Yale intends to expand the current program in Global Affairs into a full-fledged, endowment-driven professional school, which will have about 40 master's students a year and about 30 faculty lines. The School will provide substantial scholarship aid for its master's students. It will also serve about 60 undergraduate majors a year. All faculty lines will be endowed and jointly appointed with the social science departments in FAS or Yale's existing professional schools. Such a model is very expensive and Yale intends to support the School by raising another $200M in endowment to supplement significant gifts already received. Once fully operational, there is little doubt that this will be a world-class school, given the resources and Yale's traditional strength in the social sciences.

Yale Divinity School and Andover Newton Theological Seminary: Yale Divinity School and Andover Newton Theological Seminary (ANTS) formally affiliated in 2017. While ANTS maintains a distinct identity, Yale is integrating it academically into its divinity school. All future academic activity will be on the Yale campus. Admissions and program administration will be handled by Yale and students will receive a Yale M. Div. degree as well as an Andover Newton diploma/certificate. Four of the ANTS faculty have moved to Yale in various capacities. A handful of current students at ANTS applied to the Yale degree program and were admitted. The rest of the existing ANTS cohort have completed studies at ANTS.

The affiliation appears to be mutually beneficial for several reasons. The Yale divinity school has a professional M. Div. degree program oriented towards ministry that is ecumenical and includes Congregationalist denominations, which will be strengthened by this association. ANTS will provide practical "formation" activities in the Congregationalist tradition, and thus bring

more ecumenical balance to the portfolio of the divinity school, which already has a similar Episcopal program. In turn, Yale will stabilize ANTS's operations and render them sustainable. Furthermore, the standards of the Yale divinity school will apply to admission and graduation requirements, ensuring academic rigor. Lastly, ANTS's endowment will provide the divinity school with resources to significantly increase financial aid for students.

Student leaders are effectively engaged with the administration -- they have numerous opportunities throughout the year to participate on many university committees, receive briefings on major decisions and priorities affecting the university, and engage with senior University leaders and trustees. The Vice President for University Life meets regularly with student leaders of the Yale College Council, Graduate Student Assembly, and the Graduate and Professional Student Senate. Additionally, the YCC, GSA and GPSS have annual meetings with members of the board of trustees who serve as liaisons to students. In conversations with the visiting team, students reported that, as a result of the regular communication and collaboration between administrators and student leaders, lines of communication are open, and bridges are being built to identify and respond to their issues and concerns.

Standard 4: The Academic Program

Yale University's undergraduate program offers 81 carefully curated majors, which students complement with an array of distribution requirements and electives in the liberal arts tradition to explore and discover a range of interests and topics as well as expand their practical skills. The course catalogue and syllabi respectively describe program goals and major requirements as well as readings, assignments, and rubrics, though some syllabi are leaner than others. All courses must pass muster with the Course of Study Committee just as all majors must be endorsed by the cognizant department or school in addition to the chair, director of undergraduate studies (DUS), dean, and the Committee on Majors. Distribution requirements, which ensure breadth of knowledge, are the responsibility of the Committee on Yale College Education. The Graduate School of Arts and Sciences and Yale's professional degree programs follow a coherent, faculty-driven curriculum development process with committee review and decanal oversight (and often specialized accreditation) to ensure quality of design, execution, completion, and post-graduation success.

Assuring Academic Quality: In addition to the initial course review process, Yale conducts regular course evaluation and periodic program and curricular reviews (internal and external). The curricula are understood to be the domain of the faculty, though the Registrar's staff and other administrators provide guidance for compliance and consistency. Beyond teaching the collegiate essentials, faculty members often enhance the curriculum by teaching what currently interests them most. Departments also monitor and adjust to what interests students and aligns with institutional priorities, thus keeping academics fresh, preserving students' opportunities for choice, and preventing overcrowded classes. World-class academics lie at the heart of Yale University, and resources are thoughtfully allocated to support this scholarly excellence.

Undergraduate Degree Programs: The goal of Yale's undergraduate education program is to "instill knowledge and skills that students can bring to bear in whatever paths they eventually choose to pursue." These values are articulated in the University Bulletin, which describes the institution as "a place of exploration, a place for the exercise of curiosity, and an opportunity for the discovery of new interests and abilities."

The curriculum reflects these values and is structured such that approximately one-third of the 144 semester hours will be spent on distribution requirements (General Education); one-third will be spent in the major; and one-third will be devoted to electives. Students are encouraged to explore a wide range of academic programs before identifying and enrolling in a major.

The value of a broad education is promoted through two programs, both designed for first-year students. The Directed Studies program enrolls up to 125 first-year students in a classic program exploring great texts of Western civilization. Students enroll in a sequence of three courses including philosophy, literature, and historical and political thought. Additionally, first-year students may enroll in a First-Year Seminar Program with topics as varied as Reproductive Technologies, The Ecology of Food, and Mastering the Art of Watercolor. While Yale offers 80 of these seminars every year, not all students who apply are admitted as demand currently outpaces supply.

General Education: Undergraduates take 11-13 classes (44-52 semester credits) in general education requirements including a minimum of two courses in the humanities and arts; two in the sciences; two in the social sciences; two in quantitative reasoning, two in writing, and between one and three courses in a foreign language. Yale frames these distribution requirements as a way to ensure that students do not limit their futures by becoming too focused on a single academic area at the expense of academic breadth. The bulletin clearly outlines which requirements are to be fulfilled in each year, providing a scaffolding of skills development from more general to more advanced coursework.

The general education requirements at Yale are distinct from many other institutions. First, the University does not allow double counting of requirements. Second, students cannot place out of a requirement based on high school work or a standardized exam. By requiring undergraduates "to travel some further distance from where they were in high school," Yale demonstrates its commitment to help students "think critically and creatively."

The General Education requirements, last revised in 2003, are broad enough to maintain relevance today. Each year, the Dean charges the Committee on Teaching and Learning to investigate some aspect of student learning. Focal areas may include changing the course evaluation guide to reflect not only qualitative measures but quantitative measures; studying the relationship between the difficulty of courses and student course evaluation ratings, and the performance of different undergraduate populations (e.g., athletes, international students, historically underrepresented populations) to determine their academic progress.

While not directly tied to a formal assessment of student learning, these charges show an interest in ensuring that all students can be academically successful at Yale. In response to findings generated by these investigations, Yale has developed gateway courses in mathematics and chemistry, and the institution is looking for a way to address "beginner's syndrome" -- a phenomenon in which students enroll in a lower-level course than what they are academically prepared for (e.g., as in the study of foreign language).

The Major or Concentration: The University Bulletin clearly describes the requirements for each of the 81 undergraduate majors, including the number of courses needed to complete the major, core requirements for each major, distribution requirements, substitutions, and the senior requirement. Majors require at least 10 courses. Most require from 10-12 courses, including both introductory work and advanced work, with the exception that students who major in the

physical and biological sciences, computer science, engineering, and art and architecture may need to complete more courses depending on their preparation or type of degree. Yale emphasizes advanced learning in every major, requiring a culminating academic experience in the senior year that may include a senior essay, senior project, seminar, tutorial, or graduate level course. The Committee on Majors reviews all proposals for new majors, including those proposed by a professional school, as well as proposed changes to existing majors.

The University Bulletin includes broad descriptions of each major field of study and identifies general themes that a student will learn in each field, though no formal learning goals are stated explicitly. Yale's majors are not designed to provide pre-professional training; they are designed to develop critical thinking skills and a passion for learning.

Yale is presently engaged in conversations about the number of majors, the value of certificate programs, and the possibility of creating minors, which do not currently exist at Yale. While the Committee recognized the benefits of students being able to choose among 81 majors, it also noted, as did various members of the Yale community with whom it spoke, the difficulties of running and creating academic community within very small programs. In addition, the Dean of the College has asked a committee to consider the question of whether to create minors.

Graduate Degree Programs: The Graduate School of Arts and Sciences (GSAS) offers some 56 graduate programs of study leading to the PhD degree, and 18 leading to the terminal master's degree. In addition, there are joint PhD/professional graduate degrees offered by the Yale Law School and the Schools of Management and Medicine. The graduate degrees offered by the GSAS vary widely with regard to content, structure and curriculum. The GSAS sets basic guidelines, including at least a year of coursework, minimum grade requirements, a qualifying exam, the submission of a prospectus and the writing and defense of a dissertation.

Based on conversations with graduate students, graduate faculty and administrators of the FAS and the Deans of GSAS, the graduate school's annual review of doctoral programs focuses not only on size, but also diversity of the students, completion rates, attrition and outcomes (largely through employment data collected via the doctoral student survey). The GSAS is cognizant of the broader career expectation for PhD graduates and has developed programs for exposure to non-academic careers.

The university's periodic review protocols for its terminal master's degree programs in FAS seem less robust than those for its PhD. programs. Additionally, in light of the University's commitment to high-quality teaching, Yale may wish to consider longer-term external reviews of its graduate PhD and terminal master's degree programs to ensure they remain relevant.

Some graduate courses are offered to undergraduate students in Yale College, but there appears to be variability as to whether there are different expectations for undergraduate and graduate students enrolled in the same course; some courses make no distinction and others carrying more rigorous expectations for graduate students. Graduate courses do not seem to go through a committee for approval as do undergraduate courses (the Committee on Teaching, Learning and Advising Leadership in FAS), nor do they use the same student evaluation process as the undergraduate courses offered by Yale College – both practices that could be helpful for Yale to adopt for its graduate programs.

Yale's 12 professional schools also offer and separately administer more than 24 degree and certificate programs. Many are separately accredited by relevant organizations and are generally reviewed on the appropriate schedule.

Online Physician's Assistant Program: One of Yale's newest such programs is the Physician's Assistant (PA) online program, a hybrid graduate program offered by the School of Medicine that leads to a Master of Medical Science. This 28-month online program is separately administered by Yale's in-residence PA program, with a focus on training PAs for rural and underserved communities. The program enrolled its second class of 58 students in January of 2019, following its initial class of 48 in January of 2018; it has not yet had any graduates. The PA Online program received provisional accreditation status from the Accreditation Review Commission on Education for the Physician Assistant (ARC-PA), and an ARC-PA accreditation monitoring site visit will occur within the six months before the first class graduates in May 2020. Eighteen to 24 months later, the program will be eligible for continued accreditation status.

A key component of the PA hybrid program is the 16-month clinical phase (including a four-week research capstone and one mandatory weeklong on-campus immersion). This clinical component is supervised by clinical preceptors at sites near the students' home communities. The clinical preceptors (licensed physicians) are identified and appropriately vetted and monitored by the program. The PA program faculty (with a 12:1 student to didactic faculty ratio) have access to all the instructional resources of Yale. To date, the program seems to be developing smoothly with appropriate oversight.

Yale also offers two low-residency graduate programs, a Doctor of Nursing Practice and an Executive MBA. Students in these programs have access to all resources that Yale offers, and program faculty have access to all the instructional resources of Yale. Yale is pioneering the development of resources to manage student well-being that are unique to the online students in these programs.

Integrity in the Award of Academic Credit

At Yale, lecture courses are considered a single unit worth four credits. Lab courses are considered a half unit worth two credits. Lecture classes may be held three times a week with two sessions led by the faculty member and one session led by a discussion leader; two times a week with a faculty member; or one time a week with a faculty member. In order to graduate, undergraduate students must complete 36 courses, or the equivalent of 144 semester credits, in contrast to the minimum of 120 semester credits which NECHE requires for the Bachelor's degree. All undergraduate courses developed by Yale faculty are critically reviewed by the Committee on Courses of Study.

At the graduate level, master's degrees range from 7-8 course units; those requiring seven courses also require students to complete additional work (for example, language courses or independent work) to satisfy the degree requirements. By clarifying the hour-equivalences for courses and independent work in master's degree programs, Yale would help students better understand how each program satisfies the 30 semester hour requirement. At both the undergraduate and graduate level, the institution does not provide credit for competency-based or experiential programs.

The team reviewed course schedules and syllabi for a cross-section of Yale's course offerings. Syllabi reviewed by the committee varied greatly in the level of detail and the guidance they provided to students. A project to ensure that all syllabi clearly state course expectations, assignments, and grading policies would be consistent with Yale's aspiration to be the research university "most committed to teaching."

Yale has made good progress in making syllabi available to students. In previous years, only about 30% of syllabi would be electronically available during the first week of class. At the time of the site visit, 50% of syllabi were electronically available. Continuing this trend would be particularly helpful to students, especially first-generation college students.

The course catalog and website state the program requirements, indicators of good standing, and consequences of inadequate performance or progress in a program. The bulletin explicitly states the expectations for full-time enrollment in order to complete a degree in a timely manner. A student who wishes to drop to three or fewer courses in a term (or six or fewer courses in a year) must have the permission of their residential college dean. A student who is in poor academic standing is typically not granted this exception. The Committee for Honors and Academic Study, which includes representation from academic advising and the Office of the University Registrar, reviews all cases of students being required to withdraw for academic reasons as well as requests for reinstatement.

Yale endeavors to nurture and assist students' success and terminates students only when necessary and with as much warning as feasible. Graduation requirements are clearly and publicly stated. Students work hard to earn their degrees; they report pride and satisfaction in doing so.

Approximately 25 students transfer to Yale as undergraduates in any given year. Transfer students are expected to complete a minimum of half of their undergraduate work at Yale, far exceeding the NECHE requirement of 25%. At the undergraduate level, transfer credit is evaluated by the Dean's Office; at the graduate level, transfer credit is evaluated by the relevant graduate or professional school. No credit is granted towards graduation for pre-college, vocational, pre-professional, or remedial work.

Standard 5: Students

Admissions: Yale College attracts exceptionally accomplished and talented students from across the country and around the world. Applications for admission continue to rise—Yale received a record high 35,300 applications for the Class of 2022, of which 2,277 were accepted for an admit rate of 6.3%. Socioeconomic diversity is an institutional priority; 20 percent of the Class of 2022 are Pell grant recipients and 18% are the first in their families to attend college. Further, 10.8% of the Class of 2022 are international students from 57 countries. The gender, racial and ethnic diversity of the Class of 2022 – just over 50% women, 11.8% self-identified as Black or African American, 14.9% as Latinx, and 21.7 Asian – is reflective of the University's commitment to inclusion. The opening of two new residential colleges in 2017 enabled the University to increase the size of its entering first-year class by 15% over the succeeding four years.

The robust outreach efforts undertaken by the Admissions and Financial Aid team include the creation of Bulldog Saturdays for admitted students, utilization of student ambassadors, and mailings and other communication and information strategies to educate guidance counselors, prospective applicants and their families about the affordability of a Yale education. Yale College admits talented domestic and international students without regard to their financial need. More than 53% of the undergraduates in the Class of 2022 received financial aid awards with the average award being $ 53,500. The University has continued to review and strengthen its financial aid policies in response to the evolving needs of its student body. For example, in 2018 Yale instituted its Safety Net program to centralize, coordinate, and consolidate the provision of emergency assistance to its students. Yale continues to systematically identify ways to support the success of its first-generation and low-income students.

In the spring of 2019, Yale was one of several institutions impacted by a national admissions fraud scheme. The University rescinded an offer of admission to an individual student, whose athletic skills and accomplishments had been misrepresented by a former coach. Subsequently, the University engaged a consultant to review its practices and protocols and recommend changes to ensure that students' athletic and artistic achievements are accurately represented and verified. Admissions and Athletics have worked closely together to implement strengthened protocols, including implementing additional checks and balances to ensure the integrity of the review processes of students' athletic and academic credentials. Yale's commitment to scholar-athletes is reflected in their exemplary graduation rate of 99%.

Admission to Yale's graduate and professional schools is also highly competitive. The Graduate School of Arts and Sciences provides full funding for virtually all of its incoming Ph.D. students for five years and, in some instances, for a sixth year. Outreach and recruitment focus on ensuring that the class is diverse as broadly conceived. The provision of this level of support to graduate students will require sustained attention, particularly in those professions that lead to rewarding but not especially lucrative careers, as Yale's ability to make competitive offers of financial support will enable the university to continue to recruit and enroll the best graduate and professional students amidst increasingly intense competition.

Student Services and Co-Curricular Experiences: Yale College's residential college system, which has been central to undergraduate life at the university for more than eight decades, is a model for colleges across the nation. Its 14 residential colleges create vibrant social and

intellectual communities and foster the development of students as individuals, citizens, and leaders.

In recent years, Yale has dedicated significant attention to enhancing campus life for all of its students. Yale appointed its first University-wide officer for student life in 2012 with an aim of further strengthening and better coordinating its already robust set of programs and initiatives to support the intellectual and personal development of its undergraduate, graduate, and professional students. In 2015-16, the president, provost, and deans reviewed the proposed vision, mission and priorities for student life across the University developed by the then-Secretary and Vice President for Student Life (now the Secretary and Vice President for University Life). The Advisory Committee on Student Life, comprising faculty, administrators, and student-facing staff, facilitates information-sharing, training, and leveraging best practices.

Yale has placed a high priority on enhancing the student experience and providing developmental opportunities outside the classroom. The Schwarzman Center was conceived in response to a unanimous recommendation from the Yale College Council, the Graduate School Assembly, and the Graduate and Professional School Senate to create a "hub" for student life on campus. The completion of the Center has enormous potential to accelerate Yale's aspirations for further enriching student life. Importantly, the ability to foster greater interaction between students across disciplines and dimensions of difference will be an opportunity to engender and sustain an inclusive community and a sense of belonging that will redound to the great benefit of its students during the time they are enrolled and beyond.

Yale has an extraordinary array of support services and resources to enable its students to thrive. The Science, Technology and Research Scholars Program, a suite of academic enrichment opportunities available to students throughout their undergraduate years, has helped to promote persistence in STEM majors. The First-Year Scholars at Yale program provides a five-week summer introduction to college life and the scholarly academic community for incoming first-generation/low-income students. Yale's Center for International and Professional Experience (CIPE), which does an excellent job of assessing the success of its programs and making enhancements to meet the evolving needs of students and enhance Yale's educational effectiveness, could serve as a model for a range of other programmatic initiatives.

The University has experienced significant pressures to increase mental health and wellness resources, as have colleges and universities across the country. Yale has responded by increasing the size of the staff providing mental health services each year. The University remains focused on how best to meet the needs of its students as the demand for mental health services continues to grow, and it is actively pursuing opportunities to enhance the integration of mental and physical health services and resources in the future.

Yale has developed strategies to assure the integration and connection of students in the Nursing School and those conducting research on the West campus to enable them to have the same level of services and support as those on the main campus. The shuttle services and efforts to make modest adjustments in meal schedules have been important accommodations to ensure that students can move relatively easily between the two campuses. Sustaining efforts to build

connections that ameliorate the physical separation will be key to ensuring a uniformly high-quality experience for students irrespective of the campus on which they are studying.

Standard 6: Teaching, Learning, and Scholarship

Faculty and Academic Staff: The goal to be "the research institution most committed to teaching" has received institutional support through new programs and organizational changes. Key among them are a new organizational structure for the faculty of arts and sciences (FAS), the addition of two new colleges, the establishment of the Poorvu Center for Teaching and Learning, and an institution-wide faculty excellence and diversity program based in the provost's office. The FAS has overhauled its tenure and promotion system, effective beginning in 2017 (described more fully below). The visiting team reviewed a range of reports, recommendations, and implementation plans for these and related initiatives, and heard comments from faculty, students, and administrators.

The Faculty Handbook describes faculty categories and expectations for scholarship and teaching in each school. Joint appointments, the tenure and promotion process, benefits, teaching relief, and organizational structure are also included. The commitment to academic freedom and recently revised University-wide standards of academic integrity are codified in the Handbook along with reporting procedures. The University's has strengthened its program by unifying the standards and applying them consistently across units

A world-class faculty supports the mission of the University as demonstrated by competitive grants and awards, publications, and academic honors. Many of the schools rank highly in national ratings. As reported on the Office of Institutional Research facts and statistics webpage, the faculty headcount was 4,739 in fall 2018. In anticipation of the expansion of the undergraduate population and the establishment of two new residential colleges, the number of FAS ladder faculty grew steadily from 2000 to 2009 but declined slightly since then for reasons partly associated with the global recession and the delayed expansion of the undergraduate body.

Demographic data provided to the visiting team showed the FAS ladder faculty headcount increased by 25 to 683 in 2019. In 2019, the total FAS ladder faculty is 8.1% URM and 31.5% women. The team learned in conversations with academic leaders that the long-term faculty headcount target to meet teaching, learning and scholarship goals is about 700. Some faculty commented on the stagnant growth of tenure-track faculty and the increased use of lecturers, particularly in connection to the student body expansion. According to data reviewed, the FAS lecturer headcount has increased in recent years. Improved communication with faculty about pedagogical aspirations and faculty trends would likely be well received.

The visiting team noted that faculty demographic data from the Office of Institutional Research showed that 7 tenured women and 22 tenured men left the FAS in 2017. The FAS dean mentioned that retention of tenured faculty is often complicated by quality of life considerations or moves to institutions that offer more flexibility; an example is teaching buy-out, which is not permitted at the University. To meet the institution's aspirational goals, senior faculty retention will be important.

Faculty diversity is an acknowledged area of ongoing concern and focus. A Faculty Excellence and Diversity initiative was launched in 2015 under the superintendence of the Faculty

Development and Diversity team in the office of the provost. From documents reviewed, the office uses best practices to support recruitment, mentoring, and talent development. Faculty demographic data are publicly available on the provost's website. Search committee members are required to attend a faculty diversity and development workshop, and faculty search questionnaires are required before searches are approved and launched. The visiting team heard that faculty tenure and promotion committees receive information about implicit bias and best practices for reviewing materials. The FAS Faculty Development and Diversity team is led by a vice provost who has launched programs to elevate the academic conversation about diversity and inclusion. While the numerical data show only modest improvement in diversity hiring and retention, the visiting team found a commitment to address these challenges incorporated in the University culture.

Arguably, the most significant change to impact FAS faculty and academic staff has been the reorganization of the decanal structure and the hiring of an FAS dean who reports to the provost alongside the deans of the other schools. The dean administers FAS policies and is primarily responsible for the management of academic slots, ladder and non-ladder appointments, tenure and promotion; the dean does not have control over startup budgets which resides with the provost. The reorganization of the decanal structure of FAS has strengthened the consideration of tenure and promotion, but in conversations with academic leaders the team heard that the division of authority between the provost, the dean of FAS, and the dean of engineering may be suboptimal for the speed of making faculty offers.

In 2016, the University adopted a revised tenure policy for all FAS ladder-track faculty appointments made after July 1, 2017 that reduced the FAS tenure clock from nine years to eight years; eliminated the rank of associate professor on term as one to which assistant professors could be promoted; introduced an assistant professor reappointment review in the fourth year; and updated the criteria for promotion to tenure and promotion within the tenured ranks. Because of the shortened tenure clock, Yale reduced pre tenure FAS research leave from four to three semesters. At the same time, it increased flexibility in such leaves by allowing a one semester leave to be taken as a full year of half-time teaching. From documents reviewed and comments received, the new policy was developed with faculty and endorsed by a faculty vote. Importantly, untenured faculty already under contract had the option to choose which process they wanted to be considered under, with adjustments to pre-tenure leave terms and teaching being made accordingly. The new process and tenure expectations are detailed in the FAS section of the Faculty Handbook. Tenure and promotion cases in the FAS are reviewed by Tenure and Appointment Committees (TACs) of elected faculty. Each division in FAS has a TAC which, for tenure cases, is chaired by the dean. The revised FAS tenure policy is rigorous and uniform. We reviewed anonymized appointment letters from different schools and various ranks to confirm they included the necessary contractual details.

Ladder-track searches are approved by the FAS dean in consultation with the provost and on the advice of FAS Resource Committee. Search committees are faculty controlled, with committee members receiving required information from the Office of Faculty Development and Diversity before a search is launched. The office also posts guidance for search committees on its website. From the materials reviewed and comments heard during the site visit, searches are conducted in an orderly and open manner. The visiting team notes the dean has used some faculty slots for strategic partner and diversity hires and the university accepts the challenge to meet its commitment to build a diverse ladder and non-ladder faculty.

Non-ladder track searches are approved by the dean, as advised by the Teaching Resource Advisory Committee (TRAC). The membership of TRAC enables resource and curriculum needs to be considered and managed across departments. Non-ladder track search committee members also require training from the Office of Faculty Development and Diversity. From materials reviewed, the searches appear to be well organized and open.

The University has a voluntary orientation program for new faculty and academic staff. It provides information about the University, an introduction to the library, and advice about teaching and learning and the resources available through the Poorvu Center.

FAS faculty compensation is benchmarked against AAUP data. A report by Yale's Committee on the Economic Status of the Faculty contended that compensation levels were falling behind those of peer institutions. Based on recent compensation data, the University appears to have made adjustments toward addressing this issue for ladder-track faculty.

The expectations for teaching and scholarship are stated in the Faculty Handbook. Ladder faculty assignments are consistent with the mission of the University and the team confirmed teaching loads appropriately allow time for scholarship and professional development. It was noted that under the revised FAS tenure clock, pre tenure research leave was reduced from four to three semesters, with increased flexibility to allow a one semester leave to be taken as a full year of half-time teaching. Workloads for non-ladder faculty were reviewed recently by the Teaching Resource Academic Committee. The outcomes were an additional rank of senior lecturer II, conference travel grants, and the addition of a one-course release for professional development.

Faculty governance in FAS is provided by seven standing committees (not including the tenure and appointment committees) and an *ad hoc* committee to advise the dean. In addition, as noted in the discussion of Standard 3, the University established a faculty senate "as a forum and deliberative body for the discussion of FAS issues" that "also provides a forum for the President, Provost, Dean of the FAS, and the other Deans to present on issues that affect the FAS." Bylaws and election procedures for senators are documented in the Faculty Handbook. The Senate sets its own agenda, meets regularly during the academic year, and has an executive committee that is the primary contact with the FAS dean. The Senate website is comprehensive, listing meeting dates and minutes, more than a dozen reports, and resolutions on a range of issues affecting faculty and academic staff.   As noted earlier in this report, a review of the effectiveness of the FAS Senate may be beneficial now that it has been established.

Teaching and Learning: There is strong institutional commitment to teaching and learning excellence. Instructional techniques are appropriate to meet learning goals and are continuously evolving to advance pedagogical approaches. Advising for students, involving a network of professionals, is done consistently across campus through the dean of the college's office. Students are supported through many fellowship programs that are captured in a single portal administered by the Center for International and Professional Experience. The Center is also responsible for programs supporting URM and first-generation students. These programs have a track-record of excellence.

The centrally located Poorvu Center for Teaching and Learning is an exemplar organization supporting teaching and learning. The center has many programs for ladder and non-ladder faculty, undergraduate students, graduate students, and postdocs. It is well staffed and typically

provides support to about 50% of the undergraduate population and between 10 and 15% of the faculty, some in the professional schools where demand for teaching and learning support is growing. Student writing programs are centralized through the Poorvu Center, which has associated faculty to oversee standards and course approval. The center also administers a number of grant programs to help faculty introduce new educational opportunities into the classroom. These are well resourced and managed.

Another notable program aimed at ladder and non-ladder faculty in their first three years of appointment is the faculty teaching academy. The six-week academy provides an opportunity for peer-guided learning to develop pedagogical expertise. All programs in the center are assessed in the director's annual report. A model to provide expertise through the center in conjunction with specialized expertise in the professional schools is beginning to form as a way to scale the Center's impact as University-wide demand grows.

The Graduate School of Arts and Sciences requires training for all first-time teaching fellows. In addition, the Graduate School requires all new students to attend an hour-long training session about integrity. The roles and responsibilities for teaching fellows and the faculty they support are well documented, including the assessment of and performance feedback to the fellows. Organized jointly by the Poorvu Center and the Graduate school, an associate in teaching program allows graduate students to gain teaching experience by co-teaching with a faculty member and being the instructor of record. Another graduate student program is the certificate of college teaching preparation, which has been completed by more than three hundred students to date. Its program objectives are adapted from the guidelines and best practice of the national CIRTL network that Yale joined in 2016. The undergraduate learning assistance (ULA) program is also strong with well-documented guidelines about the roles and responsibilities of undergraduates who serve as learning assistants. ULAs receive training and receive regular performance feedback. From what the team learned during the site visit, the ULA program is effective and is growing to cover more disciplines.

The University Library is committed to making its extensive collections integral to teaching and research at Yale. The Library seeks innovative ways to welcome students into the libraries; encourage them to study, collaborate, and socialize there; and induce them to engage the collections for their own purposes.

By helping faculty members host course sessions that supplement and enliven teaching—with Newton's *Principia*, for example—the Library enables students to feel the awe of original materials and begin to imagine accessing other treasures in the collection. In 2011, 50 course sessions were held at the Beinecke Library every term; now that number has grown to 600. Library classrooms allow manuscripts and artefacts to be readied smoothly and safely for their use in classes.

The wealth of innovative library programming and initiatives to ensure the relevance and accessibility of the collections enriches teaching, learning, and scholarship at Yale.

Standard 7: Institutional Resources

Yale University is well positioned from a financial, human, information, physical and technological resources perspective to support its mission and ongoing institutional improvement, sustain the quality of its educational programs, and maintain the financial capacity

to graduate its entering classes. The University employs modern technology and maintains internal controls and risk management procedures that help ensure that assets are safeguarded and contingencies can be adequately managed.

Human Resources: As of the fall of 2018, the University employed 4,739 faculty members and 10,050 staff members. It processes close to 100,000 applications for employment for approximately 1,900 positions each year.   Yale remains very competitive in attracting qualified candidates to apply for open positions. Compensation and benefits are competitive with peer universities and other local employers. The University has an employee development program that assists with the on-boarding process of new employees and supports them throughout their careers at Yale. The visiting team heard that the University intentionally focuses on succession planning at all levels and tries to identify and promote individuals within Yale who are capable of making larger contributions. To better position itself for the future, the Human Resources department is undergoing an external review conducted by Accenture.

The University currently has 8 employee affinity groups that support staff throughout their time at Yale and provide important vehicles for dialogue and issues resolution. During a meeting with staff in open forum, the team received overwhelmingly positive feedback on the role and impact of the affinity groups. Of note, the University partnered with the New Haven Board of Aldermen in 2012 to launch Yale's New Haven Hiring Initiative which seeks to hire 1,000 residents from New Haven and 500 residents from designated neighborhoods. To date, the University has met the first goal and is approximately 70% towards completion of the second goal.

The University's employee handbooks and human resource policies are available on the University's website. Staff are generally aware of the human resource policies; there is a substantial focus on key University policies during the new employee orientation.

Upon hire, each staff member is provided an appointment letter detailing their salary / wage information. The University has a comprehensive evaluation process for staff that is substantially adhered to by departments on campus. The Human Resource department provides periodic check-ins with hiring managers during the first few weeks of a new hire's experience to ensure that expectations are being met and that there aren't any unexpected outcomes once the probationary period expires.

Yale has a new chief communications officer, and the team heard that he is leading efforts to address communications strategies for multiple audiences, including faculty and staff. It is expected that these efforts will be appreciated, as the team heard concerns about communication from some members of faculty and staff.

Financial Resources: The University is financially strong with a broad and balanced revenue stream and healthy balance sheet. Both agencies that rate the University's credit list Yale as AAA/Aaa, the strongest credit rating offered. The University's endowment stood at $29.4 billion as of the 2018 fiscal year-end, up from $16.1 billion in 2009. The University's endowment return consistently ranks near the top of the Cambridge Associates universe with a first place ranking for 6 out of the last 10 years according to internal reports. For fiscal 2018, the endowment returned 12.3% and provided $1.28 billion in support of the University's operating budget (or 33% of total revenues). The University's endowment is governed by an investment

policy and managed by an Investment Office comprising a renowned Chief Investment Officer and a staff of 32 professionals.

The University utilizes an integrated model that incorporates the results of its long-range financial and capital planning efforts. The Board reviews the assumptions underpinning the long-range plan for reasonableness. Key assumptions include projected endowment growth, application of the endowment spending formula, inflation, tuition rate increases, financial aid, and other key revenue and expense growth factors. The model uses an 8.25% endowment growth rate that, although higher than what most other schools generally use, is supported by past performance. In its stress tests, the University has modeled the impact of a reduced growth rate over an extended period of time and has developed potential strategies for addressing a drop in available revenues.

The development of the annual operating budget, which is overseen by the Provost, President, and Board, reflects the University's commitment to supporting education, research and service programs with input from a Budget Advisory Committee with broad representation from across the University. Schools and units submit their budget proposals for consideration by the Provost and the Budget Advisory Committee in the spring of each year. The Committee meets with the schools and units to understand the budget proposals and then make recommendations to the Provost regarding funding decisions. The Provost, SVP/COO, and VP/CFO then recommend the budget to the President who requests approval from the Board of Trustees. The University produces an annual budget book that describes, in detail, the various assumptions contained in the most recently approved budget. This budget book is available online and contains the high-level budgets for the University and the various schools and major operating units. New academic initiatives are layered into the University's long range planning models and, once approved, incorporated as part of the annual budget. This includes the operating impacts of new facilities. The Trustees with whom the visiting team spoke confirmed that the Board reviews and approves the annual operating and capital budgets for each fiscal year.

The University has shown through its actions that it possesses the capability and experience in calibrating its budgets to match available resources. The financial crisis of 2008-2009 had a significant impact on the University's finances for the succeeding 3-4 years. By 2013, the University had made significant progress in closing a $350 million budget deficit. Despite the return to surpluses, beginning in 2014, the University implemented a 9% cost reduction target over a six-year period to address a $50 million structural budget deficit. The targets were set centrally with implementation responsibilities delegated to the major subsidy units at the University. The University has produced surpluses of increasing magnitude since 2014 as a result of strengthening its revenue streams along with its cost reduction efforts. As the University looks to the future, senior leaders will rely on philanthropic support to help fund new strategic directions.

During the visiting team's meeting with members of the Board, trustees noted that maintaining the University's need-blind policy for undergraduates is critical and is a topic of considerable discussion at the Board level. Changes in demographics and composition of the incoming class that impact financial aid expenditures are considered and discussed. With respect to the graduate and professional schools where aid is not need-blind, each school reviews its financial aid strategy in the context of their annual budget cycle.

In 2016, the University created the Senior Vice President for Operations role to integrate more effectively various key administrative functions. The SVP works closely with the President and Provost on implementing the University's strategic initiatives. Reporting to the SVP and provost, the Chief Financial Officer oversees the University's finances.

The University maintains an ethical business conduct policy that includes information on the Yale University Hotline, an independent and anonymous reporting mechanism for members of the community to report suspected violations. Reports are triaged by Internal Audit, delegated to responsible management for resolution, and reported to the Audit Committee of the Board. Yale also employs an independent and objective internal audit function, reporting jointly to the Audit Committee of the Board and to the Senior Vice President for Operations, which is responsible for reviewing risk management, controls and governance processes for the University.

There are several external mechanisms that provide the University an opportunity to evaluate its financial condition. First, Yale University engages PricewaterhouseCoopers (PwC) for its external audit. PwC is independent of Yale University and issues an opinion on the University's financial statements and a management letter. For the most recent year for which reports were made available, the University received an unqualified opinion from PwC. For this same period, the University's management letter issued by PwC included 9 recommendations for improvements to internal controls. Second, credit ratings are maintained by both Standard & Poor's and Moody's which require periodic updates of key financial information for the University. The CFO and a member of the Investment Office meet at least annually with the bond rating agencies to apprise them of Yale's financial condition and borrowing plans.

The visiting team heard that the alignment of fundraising activities to stated University priorities has improved over the past 10-15 years. Development works closely with the President's Office and faculty members across disciplines to engage donors in early conversations about emerging priorities. The University utilizes gift agreements to document mutual understandings and expectations of gifts from donors. These gift agreements are well established and reviewed by several key offices prior to acceptance.

The self-study materials and supporting information point to a broad set of policies that are readily available on the policies and procedures website. A review of the website confirms that links to active policies across a range of topic areas are available along with information on procedures, forms and guides. The latest revision date for each policy is also provided. Although not listed on the University-wide policy and procedure website, Yale also maintains and adheres to policies that govern budgeting, investments, endowment spending, borrowing, and cash management. The University has a thoughtfully designed long-range financial plan that incorporates current academic priorities. The plan presupposes significant fundraising activities. While this is a potential area of risk with respect to implementation of key academic priorities, senior management is aware and actively engaged in dialogue to ensure alignment of fundraising efforts.

Information, Physical, and Technological Resources: The University's information, physical, and technological resources appear adequate to support Yale's mission. The Libraries, Facilities, and Information Technology areas are well funded and allow for the development and maintenance

of modern assets and programs that directly support the teaching, learning, and research environments of the University.

With respect to physical resources, the University has developed a comprehensive capital replacement charge (CRC) that is factored into the operating budget. The charge, which is based on a percentage of the replacement value of current buildings, provides significant cash flows in excess of standard depreciation charges to the capital budget. These funds are a primary source of funding for capital maintenance, infrastructure, information technology, and annual capital pools. The University targets annual CRC charges that approximate 2.25-2.5% of building replacement values to help ensure that funds are available to provide for significant renovations of every building approximately every 45 years. Administrators the team spoke with pointed to the implementation of this policy as a key reason Yale has been able to address its deferred maintenance backlog. Fundraising is often utilized for the construction of new facilities.

Yale recently created a Vice Provost for Collections and Scholarly Communications position to better connect the University's collections with its mission of education, research, preservation, and practice. In addition to overseeing the Library, the new vice provost will also oversee the Institute for Preservation of Cultural Heritage at West Campus, Yale University Art Gallery, Yale Center for British Art, Yale Peabody Museum, and Yale University Press. The creation of this position is a forward-looking decision that is focused on better leveraging some of Yale's unique strengths and competitive advantages within its libraries and collections for the benefit of teaching, learning, and research.

The University's Information Technology (IT) area is also well resourced. The AVP and Chief Information Officer is focused on attaining better alignment of the Information Technology area with the priorities of the Provost and President. The position reports to both the SVP for Operations and the Provost. Central IT partners with the local IT departments in the various operating units to provide guidance and support for major initiatives. Currently, the office is overseeing a large capital ($50 million) project that will modernize the IT infrastructure through the provision of additional capacity and redundancy. Priorities for investments in new programs and technologies are supported by a new framework that pulls in constituents from the Academic, Research, Cultural Heritage, Administrative, and Foundational IT areas. The University also utilizes advisory groups to inform IT strategy and implementation.

Standard 8: Educational Effectiveness

Yale University's decennial self-study, the supporting documents and the meetings during the team visit made evident a commitment to the assessment of educational effectiveness to help ensure a meaningful, top-quality experience for all of its students.

With enviable retention rates (99%), six-year graduation rates (97%), high number of awarded fellowships and robust information about post-graduation employment and education there is little doubt about Yale's success with its undergraduate programs. As noted in the self-study, however, these outcomes measures are after the fact and, while impressive, do not allow for mid-course correction. To provide information that could lead to enhancements in the educational experience, Yale has engaged in active assessment of its many initiatives.

One of the overarching goals set by President Salovey is an educational experience equally accessible to all who come to Yale. With the growth in undergraduate enrollment and the goal to provide greater access to a more diverse student body, Yale has begun to pay particular attention to the experience of students for whom the Yale college experience may be more challenging. For example, several programs for entering first-year students are now designed to help students from a range of backgrounds (e.g. low income, first-generation, and students from under-resourced high schools) make the transition to Yale. These programs have been evaluated and modified as a result of information gathered by the Office of Institutional Research (OIR). For example, the First-year Scholars at Yale (FSY) program was recently expanded to six weeks and a credit-bearing math component was added to augment high school preparation in this area.

Oversight of the undergraduate curriculum and course of study falls under the purview of several faculty committees. Notably students also serve on the committees and provide a valuable perspective.

The Committee on Teaching Learning and Advising provides oversight on breadth of learning. The committee is charged annually by the Dean of the College with projects for the upcoming year. Recent projects have included an overhaul of the online course evaluation system resulting in improved and more transparent information about the courses. In addition to the faculty, the Director of Institutional Research is a member of the committee to enhance its use of data and analysis. For example, OIR provided data that dispelled a long-standing assumption that students will rate courses with a lower workload more favorably, finding instead that students prefer courses that are more intellectually challenging even if the workload is higher. Recently a review of gateway and introductory courses has been undertaken to examine how to best meet the needs of students with varying academic preparation. As a result of these studies, changes have since been made in introductory sequences and data has been collected about the experience of students in these classes.

The Committee on Majors provides oversight of depth of learning. This committee oversees the internal review of approximately five majors annually. The committee seeks input from multiple sources as part of this review including the Dean of Undergraduate Studies, the department chair, the students and the faculty. Additionally, as part of the review they ask the department to review the effectiveness of the senior capstone project. Recommendations are made following these reviews that could, for example, include changes in the senior requirement or changes in course sequencing.

The Course of Study Committee provides oversight on the quality of the undergraduate curriculum. The Committee reviews all new and largely modified courses. This Committee also works with other groups such as the Writing Center Advisory Committee, the Quantitative Reasoning Council, the Science Council and the Language Study Committee. The Committee also conducts special projects. Two years ago, the Committee administered a pilot survey to 15 departments to evaluate strength and coherence in the curriculum for majors and non-majors. This is not reviewed by the Committee but, rather, is designed to be a tool to generate discussion at the department and program level. The feedback on this process was positive and so an updated version of this survey has, for the last two years, been sent to all departments and programs.

In the letter from the commission following the five-year review (2014), Yale was asked to report on the University's success in implementing broad-based assessment of student learning

initiatives for all programs. One fundamental set of questions asked in NECHE Standard 8, Educational Effectiveness, is if the institution has the processes in place to know if students are learning what they should be learning appropriate to their area and level of study and consonant to the mission of the institution. The standards ask an institution to reflect on several areas that are pertinent to the assessment of learning initiatives.

In advance of the 5-year review completed in (2014), a project was initiated at Yale in which departments were asked to provide basic goals for graduates in each major. Yale's plan at the time was to post these goals in 2014-2015. Since that time Yale has moved away from this strategy and each department has, instead, included on its website and in printed publications a brief description of the major including broad educational goals. The university has also undertaken a project of developing curricular roadmaps for undergraduates in departments that draw large numbers of majors to help them understand what courses in what sequence are needed to complete the major requirements. This project in ongoing. It was not clear to the team that students are always able to discern how they will be assessed in their chosen field of study, based on the current descriptions of majors reviewed. While a strong advising system is in place to help students while they are working on their senior requirement, it is late in their time at Yale.

Yale has an opportunity to be exemplary in the evaluation of student learning in ways consistent with its stated aspiration to be the research university most committed to teaching and learning, and there are several components in place to achieve this goal: a robust committee structure that provides oversight of the undergraduate curriculum and a strong advising system designed to help students understand how to navigate the curriculum. In addition, a system of undergraduate major review in place includes consideration of the effectiveness of the senior requirement, and departmental faculty have a shared sense of the skills their best seniors demonstrate in the senior requirement, their culminating work.. Departments are now being asked to consider the coherence of their major and curriculum through the survey tool delivered by the Course of Study Committee.

As Yale endeavors to meet its high aspirations, one area where some additional attention might be valuable is in providing greater clarity regarding what students ares expected to learn at the departmental level. In its self-study, Yale raises a question about initiating a conversation about the metrics used to evaluate the senior requirement. Insofar as the metrics used to evaluate the senior requirement also reflect the objectives set by the department for student success, clearly articulating these metrics and making them more accessible to current and prospective students could be of helpful, particularly to students who may not be as comfortable or as familiar with an educational environment like Yale, including, for example, first generation students or students from less resourced high schools.

The Graduate School hosts a website that displays departmental statistics on a range of metrics including applications, attrition, time to degree, and post-graduation outcome data. Annual departmental meetings are held to discuss the state of the doctoral programs. This information is made publicly available to help inform current and prospective students about the current state of programs at Yale. This seems to be a system that works well at Yale. While there are some good examples of reviews of master's programs at Yale, this process seems less well developed.

The Office of institutional Research (OIR) is well regarded on campus. At several meetings, Yale was described as an institution that is moving away from making decisions based on anecdotal information and focusing more on data-informed decisions-making; OIR will have an important role to play in that process.

There is a wide range of assessment efforts on campus used to evaluate educational initiatives. While there are clearly pockets of excellence in these efforts, there may be opportunities to benefit more fully from synergies across assessment and evaluation activities that are taking place in multiple units. Better coordination would support Yale's efforts to move to more data-informed planning and evaluation processes.

Standard 9: Integrity, Transparency, and Public Disclosure

Integrity: Yale University has consistently demonstrated an institution-wide commitment to the highest standards of integrity. These values are present in Yale's interactions with faculty, students, staff and the broader community. The reexamined mission statement released in February 2016 underlines this with its emphasis on a "free exchange of ideas in an ethical, interdependent, and diverse community of faculty, staff, students, and alumni." President Salovey's speeches and writing including his 2018 address to incoming Yale College students and his op-eds in the Wall Street Journal and the New York Times have further emphasized this dedication.

Yale has in place a set of comprehensive policies that make clear to faculty, students, and staff the institution's values and expectations. These policies are covered in a set of readily available faculty, student, and staff handbooks. In addition, Yale has paid careful attention to the mechanisms that govern internal behavior. One example of this is the recent revision of the copyright policy to address questions relating to the creation and ownership of digital media.

The provost's Office of Academic Integrity is responsible for maintaining policies on the ethical conduct of research. Ensuring broad awareness and compliance with the relevant policies has been a goal of this office. In an effort to address this pro-actively, the Provost has recently approved the creation of the position of Director for Research Integrity whose responsibilities will include supporting the decanal processes that address allegations of academic misconduct.

Since 2011, Yale's Title IX efforts have been centralized in the Provost's Office as part of a robust effort to strengthen the response to sexual misconduct. Yale utilizes a series of local level deputy Title IX coordinators combined with active involvement of peer counselors throughout the schools. In recent years, Yale has increased support and counseling resources, established a university-wide committee to address formal complaints, and created a website to raise awareness of available resources. Additional initiatives have included the creation of a bystander intervention program and on-line training. Yale participates in surveys, including with peer institutions, to benchmark progress and identify areas of renewed focus related to sexual misconduct.

Yale has also undertaken a series of recent initiatives to bolster its existing strength in diversity and inclusion. Over the last four years, Yale has established a Center for the Study of Race, Indigeneity and Transnational Migration in addition to doubling the budgets of the four cultural centers. The university has consolidated information about policies, procedures, and resources relating to discrimination or harassment. The goal of the recent restructuring of the former office

of the Secretary and Vice President for Student Life, now known as the Office of the Secretary and Vice President for University Life, is to enable greater coordination and alignment across the campus of efforts to address matters relating to diversity, inclusion, and belonging.

Transparency: Yale takes it obligations of transparency very seriously and strives to communicate promptly and appropriately with its faculty, students, and staff. The Yale website is a critical portal for much of the information shared both within the university and more broadly with other communities. The website has had a number of redesigns aimed at improving navigation for internal and external constituents such as prospective applicants. In 2018, Yale adopted a web accessibility policy to establish internal requirements and guidelines for making its websites accessible to people with disabilities. Yale is in the middle of a website redesign which will expand web accessibility as well as make it easier for internal and external audiences to find particular information.

The website also plays a key role in making sure that a broad range of students understand that a Yale education can be affordable and available to them. Yale's website includes prominently displayed information aimed at potential undergraduates who may not have other avenues to this information. This information includes the total costs of a Yale education, a net price calculator, as well as information on the institution's debt and loan repayment rates. In addition, the website lists appropriate financial, admissions, and course catalogue information for all of Yale's individual schools.

Public Disclosure: Yale shares information with its internal community regularly. Detailed budget information is posted on a site open to faculty, students, and staff. In several meetings, members of the community referenced this information as a helpful way to better understand administrative priorities. Yale also includes students on a variety of committees including the Yale College Executive Committee and the university wide Advisory Committee on Student Life. Student leaders report regular meetings with senior leaders as an important part of fostering communication.

One example of Yale's willingness to share information with its multiple audiences is the recent process that led to the renaming of Calhoun College. Yale's Committee to Establish Principles on Renaming included students and alumni as members and held a variety of events designed to elicit a wide range of opinions. This transparent process led to a report that outlined an approach to evaluating the specific questions related to Calhoun College, which included sites to encourage alumni, students, faculty, and staff to share their opinions on different options open to the university.

Yale has consistently responded to complex situations in a forthright manner. When issues have arisen, Yale has addressed them by sharing information to the extent that has been possible. Yale's response, however, has gone beyond crisis management to include an evaluation of the incident after the urgency has died down in order to create systems to ensure that the problem, to the extent possible, is not repeated. This commitment to identifying gaps and then responding to the needs seems to characterize Yale's approach to challenges. A recent reorganization in the Office of Public Affairs and Communication combined with the impending introduction of a more robust daily communication vehicle are part of Yale's plan to develop a more effective approach to connecting with its many audiences.

Affirmation of Compliance

To document Yale's compliance with federal regulations relating to Title IV, the visiting team reviewed Yale's Affirmation of Compliance form signed by President Peter Salovey on September 12, 2019. As highlighted in this report, Yale University publicly discloses in the course catalog on its website its policy on transfer of credit from other universities. As discussed in Standard 4, the team's review of major descriptions and requirements, course offerings and syllabi found the assignment of credit reflective of Yale's policies and consistent with the Commission's standard. Public notification of the team's visit and of the opportunity for all faculty, staff and students to participate in open fora was communicated in a letter to the entire Yale community from the president and the dean of the college. Yale makes policies on student rights and responsibilities, including grievance procedures, publicly available on the Yale College, Graduate School of Arts and Sciences, and Office of Institutional Equity and Access websites. Yale's online Physician Assistant Program requires in-person verification; students are required to participate in on-campus immersion sessions.

Summary

Yale University's self-study process, which incorporated the use of Data First and E-series forms, was thorough and well executed. The resulting self-study provided a comprehensive and accurate reflection of the institution.

The visiting team's view is that Yale University is an extraordinary institution of higher education, indeed one of the best in the world. Yale is advancing its mission under the leadership of an effective and engaged board of trustees, a president deeply committed to teaching and research, and a world-class faculty and staff.

As noted earlier in the report, over the past six years the university has undergone significant change and made impressive progress on a number of its highest priorities, including expanding and diversifying its undergraduate population, completing several major capital projects, improving the faculty appointment and promotion process, and identifying and investing in academic priority areas. These accomplishments are remarkable in any organization, and especially so in one that is appropriately decentralized and highly complex.

The visiting team identified many major strengths through its review of the self-study and site visit. While the team did observe potential opportunities for Yale to build on its existing strengths in certain areas as noted in this report, it did not identify any areas of major concern. Some of the most important strengths include:

- Yale's faculty excellence, extraordinary students, scholarly values, personalized instruction, vibrant residential life, and exceptional resources available to advance its mission

- The robustness and sophistication of Yale's annual and long-term planning processes, and the University's demonstrated ability to execute on its long-range plans

- Yale's strong board and the excellent working relationship between the trustees and the administration

- The University's commitment to teaching and research, and the quality and effectiveness of Yale's academic programs across all divisions and at all levels

- Yale's commitment to integrity and transparency