
The University of North Alabama

Office of

**Institutional Research, Planning, and
Assessment**

**Guide for Planning and Assessing Institutional
Effectiveness**



2008

Executive Summary

The *Guide for Planning and Assessing Institutional Effectiveness* outlines the following key planning and assessment activities for various units of the University of North Alabama:

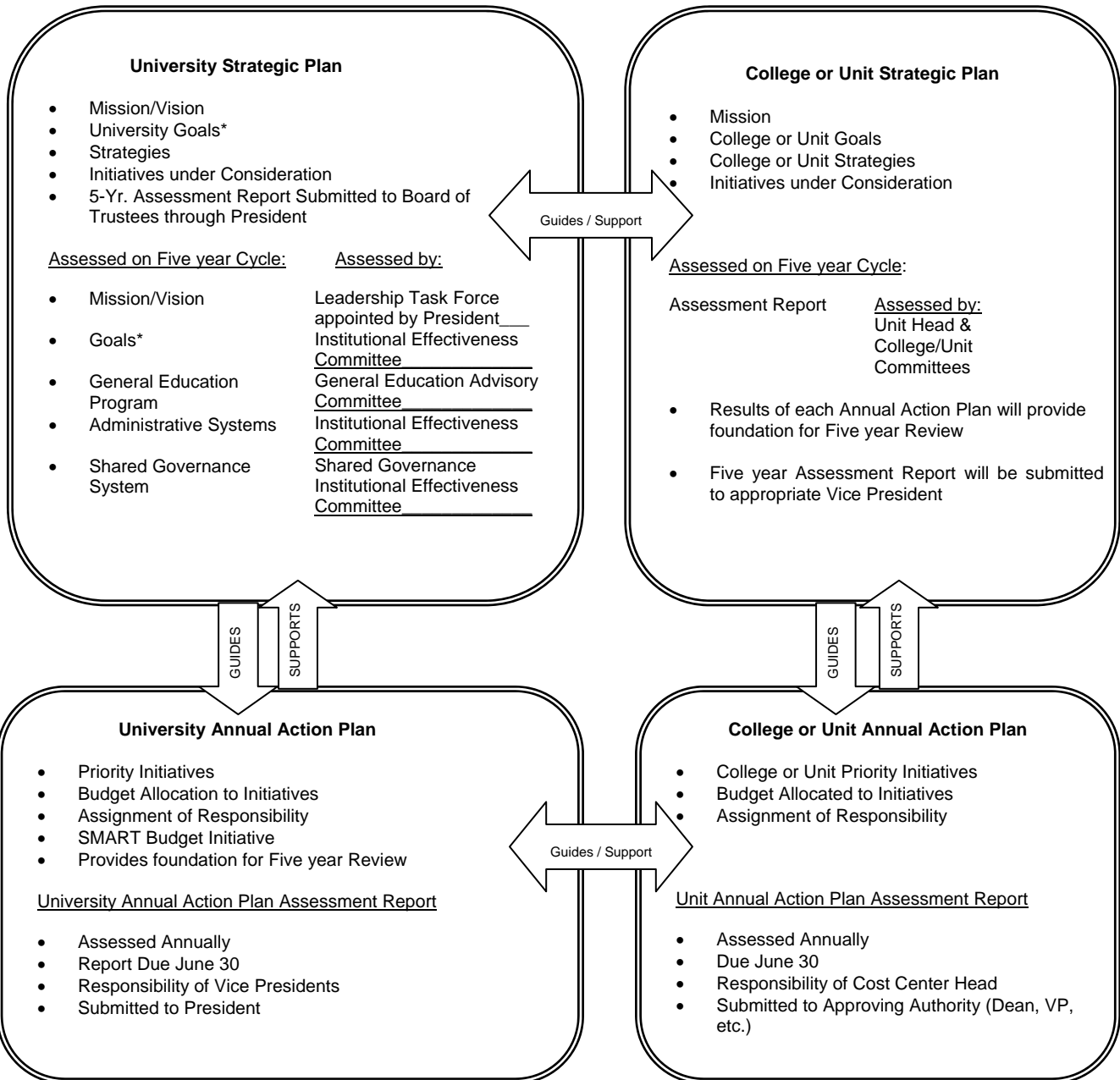
College/Departments/Support Units

1. Develop and implement Annual Action Plan by October 1 each year. This Action Plan should identify key priority initiatives for the unit, some of which clearly support the key planning initiatives of the University, as identified in the University's Annual Action Plan and/or Strategic Plan.
2. Review previous year assessment results during the fall and prepare planning initiatives and budget requests for the upcoming budget year.
3. Conduct assessments during the spring for goals and priorities identified in the unit's current-year Annual Action Plan. Complete the Annual Action Plan Assessment Report by June 30. Cycle repeats.
4. Colleges, departments, and support/administrative units also conduct program reviews on a five year cycle identified by the deans and vice presidents. Scheduled reports are due by June 30.

University-wide Activities

1. The University's Strategic Plan is reviewed on an annual basis and updated as warranted. Planning initiatives are identified based on the results of previous assessments and as a result of emerging problems and opportunities.
2. The University develops an Annual Action Plan to support the University's Strategic Plan. The Annual Action Plan identifies specific 'priority initiatives' that are to receive focused attention and/or resource allocation in the year covered by the Annual Action Plan. The University's Annual Action Plan provides guidance for the various college/departments/support units' Annual Action Plans. The University's Annual Action Plan should be completed and disseminated to the University community shortly after the September meeting of the University's Board of Trustees.
3. The Institutional Effectiveness Committee reviews a summary of completed Annual Reports compiled by the Office of Institutional Research, Planning, and Assessment and assesses the efficacy of the assessment process.
4. The University also schedules reviews of the University mission statement, University goals, administrative systems and processes, and the shared governance structure and processes on a five year cycle.
5. The SMART Planning and Budgeting System mandates an annual review of key goals, financial allocations and accomplishments, and reports such to the State Budget Office.

Overview of Planning and Assessment Activities University of North Alabama



***University Goals:** 1) Offer High Quality Programs, 2) Build and Maintain a Student Centered University, 3) Promote and Celebrate Diversity, 4) Foster a Strong University Community, 5) Enhance and Support Regional Development and Outreach

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GUIDE FOR PLANNING AND ASSESSING INSTITUTIONAL EFFECTIVENESS

INTRODUCTION

This Guide for Planning and Assessing Institutional Effectiveness is presented as an instructive overview of the planning and assessment process at the University of North Alabama. It recognizes that each department or unit of the University is required to plan and assess its activities in a meaningful way, primarily for the purpose of continuous improvement. As such, specific planning and assessment activities are not intended to be prescribed as much as supported. Some deviation from the process outlined, when useful for the department or unit, may be appropriate. Innovation in programs, procedures, and assessment techniques is encouraged. Examples of required reports and/or documents are referenced in this guide and can be found, along with instructions, on the Office of Institutional Research, Planning, and Assessment website. For most academic and support/administrative units, the core planning and assessment requirement is completion of the Annual Action Plan Assessment Report that is due annually on June 30. Additionally, the most significant new requirement for both the academic departments and support units is the Program/Department Review, which follows a five year cycle.

Recognizing that differences exist in the usage of various planning terminology, the following is a guide to Key Terminology used in the University's Guide for Planning and Assessing Institutional Effectiveness.

KEY TERMINOLOGY

- **University Strategic Plan.** This document identifies the University mission and vision statement, along with the University goals and strategies. The planning cycle typically ranges from two to five years and is updated annually. For each goal, the Strategic Plan should identify several priority initiatives. The Strategic Plan should also outline key actions to be taken and key resource decisions (in particular the source and use of additional revenues) needed to support priority initiatives. The University's Diversity Plan is an integral component of the overall University Strategic Plan.
- **University Goals.** Each University goal identifies a broad performance area that is relatively stable over a significant period of time. For instance, one of the goals of the University is to 'provide high quality programs.' This broad goal is 'aspirational' in nature. The University will have relatively few goals and will continue to focus on and aspire to satisfy these goals over the period of time covered by the Strategic Plan. The most recent official University goals are printed annually in the University of North Alabama Undergraduate and Graduate Catalogs.

- **University Strategies:** The University Strategic Plan identifies a number of strategies designed to accomplish the University goals. For instance, one of the strategies for the goal to “provide high quality academic programs” is to “offer general education programs that will provide students with a broad foundation of common knowledge, basic skills, and cultural insight.” These strategies directly support the University goals and are more specific than the goals but more general than the priority initiatives, as described below.
- **Initiatives and Priority Initiatives:** For a University goal to be meaningful, specific initiatives or actions must be taken. For each goal, the University identifies several specific initiatives, or actions to be taken in support of the goal. The priority initiatives are just that – priorities. For most of the academic and support/administrative units of the University these priority initiatives should guide certain actions at the unit level. They should filter down and be included in many of the Annual Action Plans of the various units in some meaningful way.
- **University Annual Action Plan:** Each year the University develops an Annual Action Plan that supports accomplishment of the University’s priority initiatives.
- **Annual Action Plans:** Each academic and support unit in the University is expected to develop a strategic plan, including strategies and priorities, to support the University’s Strategic Plan, and its goals, strategies, and priorities. Each year every unit identifies its priority initiatives, which support the University’s priority initiatives and the unit goals, and develops an Annual Action Plan, which articulates the unit’s priority initiatives for the year and serves as a guide to action for the unit throughout the year.
- **Annual Action Plan Assessment Report:** Each academic and support unit will complete the Annual Action Plan Assessment Report by June 30 each year. This report outlines the unit’s annual initiatives, the actions taken during the year to accomplish the initiatives, the assessment of the degree to which the initiatives have been met including improvements made as a result of the prior year’s assessment, and the steps that are planned for the coming year in continued pursuit of the initiatives. In addition, the Annual Action Plan Assessment Report identifies new initiatives, if appropriate, that are being considered for the coming year, once a new budget is approved.
- **Academic Department/Program Review:** Academic program reviews are required for each specific program or major offered by the various academic departments. These program reviews are to be completed every five years on a cycle identified by the various Colleges or more often if required for accreditation needs. The program reviews are to involve numerous constituent groups of the University and look at the extent to which the program successfully accomplishes identified student learning outcomes, satisfies the needs of students and external stakeholders, and continues to meet state viability standards and other program efficiency indicators.
- **Support/Administrative Unit Review:** A review is required for each support/administrative unit within each one of the four divisions of the University. In some cases, units may be combined where it is beneficial and justifiable to do so. These unit reviews are to be completed every five years on a cycle identified by the Vice President over that particular unit. The unit reviews are to involve

numerous constituent groups of the University and look at the extent to which the unit satisfies the needs of students, staff, faculty, and external stakeholders.

- **Student Learning Outcomes:** Student learning outcomes are at the core of the academic program. They represent the minimum learning objectives for a given course or program. Each academic program is to identify specific learning outcomes that students are expected to achieve. Student learning outcomes should be identified and expressed as measurable objectives. The performance of students in achieving identified student learning outcomes will drive much of the continuous improvement and initiatives of the unit as well as the University.
- **SMART Budget:** The SMART [Specific; Measurable; Accountable; Responsive; Transparent] budgeting process is an initiative of the State Budget Office. All universities in Alabama are required to complete a Strategic Plan from which they are expected to identify a small number of strategic goals or initiatives each year; to identify the budget needs to reach these goals or initiatives; to assess their accomplishment; and to report this quarterly as part of the annual budgeting process. The timetable for the SMART Budget process is driven by the State Budget Office and is a responsibility of the Vice President for Business and Financial Affairs and the Office of Institutional Research, Planning, and Assessment. Both the Institutional Effectiveness Committee and The University Strategic Planning and Budget Study Committee are actively involved in identification of the University's SMART Budget goals.
- **Performance Indicators:** Performance Indicators are the metrics used to measure how well a goal is being achieved. Depending upon the goal, the metric or Performance Indicator might be the results from nationally normed tests or exams scores on various surveys of constituents; or some other specific measure that helps determine the degree to which a University or Unit Goal is being accomplished.

ASSESSMENT OVERVIEW

Assessing institutional effectiveness relies on the determination of how well the various colleges, divisions, departments, and support units carry out their functions and how well they accomplish their goals, as well as a determination of the extent to which the University as a whole achieves its overarching goals and fulfills its mission. A major objective of this process is to identify opportunities for continuous improvement.

The Office of Institutional Research, Planning, and Assessment (OIRPA) have the primary responsibility for developing and disseminating the procedures and protocols and supporting documents required to meet the specifications of The Guide. It also coordinates assessment processes of the University and serves as a central resource for the University in institutional effectiveness and accreditation matters by acquiring, archiving, analyzing, and reporting internal data; submitting federal and state reports; responding to external requests for data; and providing consultative services on institutional effectiveness and accreditation. Furthermore, OIRPA conducts a cycle of internal and external surveys pertaining to institutional effectiveness, including surveys

relating to the effectiveness of advising, employer assessment of UNA graduates, and alumni attitudes. A list of regularly scheduled satisfaction surveys approved by UNA's Board of Trustees on March 7, 2003, is available on the OIRPA website.

The primary responsibility of the Institutional Effectiveness Committee is to adopt procedures dealing with institutional effectiveness and assessment; review assessment activities and make procedural recommendations where needed; and review and make recommendations concerning University goals and initiatives where needed. The Institutional Effectiveness Committee does not recommend budgetary, structural, or personnel changes to an academic department or support/administrative unit. Rather, the sole function of the Institutional Effectiveness Committee in reviewing departmental and unit reports is to ensure the consistency of the assessment process.

Academic Unit Assessment

College/Department Level Assessment

At the college and academic department level, the focus of assessment is twofold: First, there is an annual assessment of the extent to which the college and or department achieves various priority initiatives, as identified in its Annual Action Plan. The unit's plan should, in most cases, flow from and support the University's Strategic Plan. The priority initiatives for each unit are to show linkage to the appropriate University goal or initiative. This phase of each unit's planning and assessment cycle will be reported in the Annual Action Plan Assessment Report completed by June 30 each year [Click on *Annual Action Plan Assessment Report* and Instructions by going to the Office of Institutional Research, Planning, and Assessment website <http://www2.una.edu/research/effectiveness.html>]

Academic Program Review Assessment

The second, critically important phase of assessment for each college and or academic department consists of an **academic program review** for all academic programs for which the unit has responsibility. This review is to be conducted on a five year cycle. The program reviews - in addition to addressing program viability, productivity, and efficiency – are to focus on the extent to which **student learning outcomes** expected of graduates of the program are achieved and to identify opportunities for program improvement. The University's five core competencies, approved by the Board of Trustees on March 7, 2003, are to be included in the learning outcomes for all academic programs. [Click on *Academic Departmental Review Guidelines and Instructions* on the Office of Institutional Research, Planning, and Assessment website at <http://www2.una.edu/research/effectiveness.html>]. Program reviews will be conducted every five years on a schedule determined by each College. For the departments conducting a program review in a given year, June 30 is the target date for completion. The program review report should go to the appropriate dean, the

Vice President for Academic Affairs, the Office of Institutional Research, Planning, and Assessment, and the Institutional Effectiveness Committee.

General Education Program Review Assessment

While most program reviews are department specific, at least one is multidisciplinary. The **General Education Program** of the University is a critical part of the academic foundation of each major. As such, there are specific **student learning outcomes** associated with the General Education Program. The General Education Program is subject to an **academic program review** in each five year cycle, as are the other academic programs of the University. This formal review of the General Education Program may be segmented into annual reviews focusing on specific components of the general education curriculum followed by a comprehensive review, which builds on the focused reviews and other information.

The student learning outcomes associated with the General Education Program, as well as with academic majors, include the University's **core academic competencies**. The general education program review and the various college program reviews include an assessment of the extent to which these core academic competencies are being accomplished. The University's five core academic competencies expected of all students are:

- Effective Communication
- Critical Thinking
- Use of Existing and New Technology
- Analysis and Reasoning
- Seeking Out and Acquiring Knowledge

The primary purpose of the academic program review of the General Education Program is to determine the degree to which expected student learning outcomes are being achieved and to identify opportunities for improvement in the General Education Program. This review is the responsibility of the **General Education Advisory Committee**, which coordinates the assessment process, report's findings, and monitors progress. In accordance with dates established by the Institutional Effectiveness Committee, the **General Education Advisory Committee** files the program review with the Vice President for Academic Affairs and makes it available to the President, the Institutional Effectiveness Committee, to college deans and department chairs, and to the Office of Institutional Research, Planning, and Assessment.

Support Unit Assessment

The various support/administrative units of the University (such as the Division of Student Affairs, Office of Student Financial Services, etc.) play a critical role in assisting the academic departments, in providing co-curricular learning opportunities, and in

helping the University fulfill its mission. At the division and support/administrative unit level, the focus of assessment is the Annual Action Plan Assessment Report completed by June 30 each year. This report identifies the unit's goals, strategies and priority initiatives, as identified in the unit's Annual Action Plan (and for a few support/administrative units, student outcome goals may be included). The Report then assesses the extent to which these goals have been achieved and identifies opportunities for improvement. [Click on the *Annual Action Plan Assessment Report* and Instructions on the Office of Institutional Research, Planning, and Assessment website at <http://www2.una.edu/research/effectiveness.html>]

Support Unit Review

The support units of the University will also undergo an extensive review that is to be conducted on a five year cycle. The reviews will address viability, productivity, and efficiency of the unit and/or division and are to identify opportunities for program improvement. The support unit review report should go to the appropriate Vice President, the Office of Institutional Research, Planning, and Assessment, and the Institutional Effectiveness Committee [Click on the *Academic Support Departmental Review Guidelines* on the Office of Institutional Research, Planning, and Assessment website at <http://www2.una.edu/research/effectiveness.html>]

University Level Assessments

At the University level, systematic assessment is called for in at least the following areas: Evaluation of the Mission Statement (five year cycle); Evaluation of University Goals (annual evaluation with all goals reviewed within a five year cycle); Evaluation of the SMART Planning and Budgeting System (annual cycle) and evaluation of the effectiveness of administrative processes and/or systems within the University (five year cycle). University level assessment will be administered by the President's Office, the Institutional Effectiveness Committee, the Strategic Planning and Budget Study Committee, and the Office of Institutional Research, Planning, and Assessment.

University Mission Statement

The evaluation of the University **Mission Statement** is to occur every five years. The evaluation should answer two questions: first, is the Mission Statement appropriate, and secondly, how well is the mission being fulfilled? Each five year period, the Mission statement should be evaluated by a leadership task force appointed by the President. Membership should be broad based and include Board members, administrators, faculty, staff, students, alumni, and community representatives. The Task Force should report to the President and then share the results of the evaluation widely within the University community. The University Executive Council, with the assistance of the

Director of OIRPA, will be responsible for conducting appropriate review, seeking input from the appropriate Shared Governance committees, and recommending to the President and the Board of Trustees any changes needed as a result of the review of the Mission Statement.

University Goals

Evaluation of the University **Goals** will occur annually. As with the University's Mission Statement, the evaluation process should focus on two questions: are the goals appropriate and how well are the goals being achieved? The responsibility for evaluating the University Goals lies first with an assessment of these goals by the Office of Institutional Research, Planning, and Assessment and second through oversight by the University's Institutional Effectiveness Committee. Each year the Committee, in conjunction with appropriate parties, will select the University goal(s) to be evaluated, will plan and conduct the evaluation, and will report the results of the evaluation to the President by June 30. The results of the evaluation will be shared widely within the University community. The President, working with the appropriate committees of the Shared Governance system, will initiate changes as needed through the Strategic Planning process and will make appropriate recommendations for any needed changes in goals to the University Board of Trustees.

SMART Planning and Budgeting System

The SMART Planning and Budgeting System is driven by the state budgeting office. Each fiscal year, the University is charged with identifying key initiatives from its strategic plan and corresponding budget requirements for the initiatives. Responsibility for identification of such goals and development of budget requests to accomplish these goals is a responsibility of the University Executive Council. The Vice Presidents, with input from the Institutional Effectiveness Committee and the University Strategic Planning and Budget Study Committee, are to recommend to the President appropriate goals and budget requests for inclusion in the annual budget appropriation request. This information is to be shared widely with the University community through the Shared Governance committee structure. Annual evaluation of the accomplishment of goals identified in the SMART Planning and Budgeting System will be conducted by the University Executive Committee with input and assistance from the University Strategic Planning and Budget Study Committee and the University Institutional Effectiveness Committee. Results of the assessment will be shared widely with the University community and provide the basis for certain future planning and budgeting changes. The evaluation should be completed on a schedule identified by the Vice President for Business and Financial Affairs that meets deadlines required for appropriation requests.

Administrative Systems

The evaluation of the **effectiveness of administrative systems** within the University consists of determining the effectiveness of existing administrative functions and processes and assessing the effectiveness of the University's Shared Governance committee structure. Each of these separate evaluations is to be conducted on a five year cycle and will be the responsibility of separate task forces appointed by the President. These ad hoc groups will work with and coordinate their work through the University's Institutional Effectiveness Committee. The results of the assessment of administrative functions/systems and the shared governance committee system are to be reported to the President and shared widely within the University community. Recommendations for change resulting from the evaluations may originate from the President, the University Executive Council, and the Shared Governance Committee. Upon approval by the President, suggested changes go the University Board of Trustees for final approval, as appropriate.

College/Department/Unit Assessments

Assessment	Schedule	Responsibility of:	Document(s) involved:	Reporting Channel
Assessment of each unit's Annual Action Plan/Goals	Annual June 30	Each cost center head with faculty and/or staff involvement	Annual Action Plan Assessment Report Form	Submit to Dean and/or appropriate Vice President
Academic Program Review	Five year cycle June 30	Each department chair and program faculty	Program Review Template	Deans; VPAA
General Education Program Review	Annual assessment – Five year completion cycle; June 30	General Education Advisory Committee	General Education Review Template	VPAA

Special Programs

Special programs such as the ESL program, University Learning Communities, the University Honors Program and Distance Learning Programs should also be reviewed by the appropriate authority or committee on a five year program review schedule. Reporting channel is to the Vice President for Academic Affairs and Provost.

University-Wide Assessments

Assessment	Schedule	Responsibility of:	Document(s) involved:	Reporting Channel
University Mission Statement	Five year cycle June 30	Ad Hoc Leadership Task Force – appointed by President	Mission Statement Review Template	President; Board of Trustees
University Goals	Five year cycle components assessed annually; June 30	Institutional Effectiveness Committee. OIRPA	University Goal Assessment Template	President
University Annual Initiatives (Annual Action Plan)	Annual Assessment June 30	Institutional Effectiveness Committee, OIRPA	Annual Action Plan Assessment Form	President
SMART Planning and Budgeting System	Annual Assessment (timeline identified by VP for Business and Financial Affairs)	University Executive Council and the Strategic Planning and Budget Study Committee	SMART Budget Form per state finance office (provided by the VP for Business and Financial Affairs)	Vice President for Business and Financial Affairs; President
Administrative systems evaluation	Five year cycle; June 30	Ad Hoc Administrative Task Force and Institutional Effectiveness Committee	To be developed by Ad Hoc Committee	President; Board of Trustees
Shared Governance Structure/Processes	Five year cycle; annual components; June 30	Ad Hoc Task Force of Institutional Effectiveness and Shared Governance Committees	To be developed by Ad Hoc Task Force	President; Board of Trustees

Assessment Report Components

Each assessment template to be used in conjunction with the various assessments or reports identified in this guide differs somewhat as a result of the different focus of each assessment. In general, however, each template and the assessment report that is generated will:

- address the specific goal
- identify a limited number of key performance indicators
- identify a performance target
- document the results achieved
- document the actions taken as a result of the assessment
- identify the office responsible for insuring that the assessment is completed
- identify the office or position responsible for ensuring that improvement plans are implemented

These results as summarized in the assessment report will go to the appropriate approving authority (Dean, VP, President, etc.) and will be shared with the appropriate constituent groups. The results are then used to influence goals and action plans for the next planning cycle. Following is a generic “assessment schematic.”

Generic Assessment Schematic (These are examples only)

University Goal	Key Performance Indicators	Performance Targets	Performance Results	Responsibility of:
(1) To offer high quality programs Current Priority initiatives for this goal include: * Expand Honors Program * Expand Learning Communities * Integrate Globalization awareness in University curriculum and programming * Expand advancement efforts to support high quality academic programs	1) CAAP Exam results 2) Results of General Education Program Assessment 3) Results of Program Reviews 4) Satisfaction of Graduates/alumni/employers 5) Degree to which 'University Priority Initiatives' related to academic programs have been met	1) At least 60% of students scoring above 50% on the CAAP Exam 2) At least 60% of students scoring xxx on the University's general education assessment exam 3) Satisfactory program performance review for at least 90% of the University program 4) Satisfaction rating of 4.0 or higher (5.0 scale) by 80% of graduates/employers, 5) Satisfactory progress on 90% of 'priority academic initiatives' for University	1) 65% of students at or above the 50 th percentile on CAAP Exam 2) 65% of students scored xxx or above on the University general education assessment exam 3) 95% of program reviews rated programs as 'satisfactory' or higher 4) 85% of students/employers rated education received as 4.0 or higher on 5.0 scale. 5) Satisfactory progress made on 100% of University 'priority academic initiatives'	1) Research Office 2) Chair, General Education Advisory Committee 3) Appropriate Dean and Department Chair 4) Office of Research and Office of Career Services 5) Appropriate VP and Academic Dean
(2) To build a student-centered University	...to be identified	...to be developed	...to be measured	

Post-Assessment Activities

The various assessment reports are typically due to each unit's respective approving authority on June 30 annually or every five years, depending upon the assessment schedule. While the report brings closure to the previous period's assessment cycle, it also represents the beginning of the next stage of the planning and assessment cycle.

The typical planning process is outlined below:

Assessment Reports (completed by June 30) are reviewed by appropriate administrator(s) and constituent groups over the summer and fall following their completion. Each approving authority is to provide effective feedback to the reporting unit at every level in order to achieve the goal of continuous improvement.

- Some adjustments to the upcoming Annual Action Plans and budgets may result from immediate problems and opportunities identified. These immediate adjustments will be made to the Annual Action Plan and/or budget in September. Two-way feedback is essential in the budget request process and should include documentation of the improvements or modifications made as a result of approved or denied requests for funding.
- Upon reviewing assessment reports, the Institutional Effectiveness Committee may make recommendation concerning changes to the assessment process. While it is not the function of the Institutional Effectiveness Committee to recommend changes to a program, department, or support units, this committee does have the responsibility of assessing the overall assessment process.
- Results of assessments will be used primarily to develop new initiatives, action plans and budgets for the upcoming academic year. In some cases, the results will impact planning for several years into the future.

Assignment of Assessment Responsibilities

Outlined below are the positions responsible for initiating and acting on assessment results. Appropriate action items should be assigned and a timeline formulated for completion of each phase of the assessment process; all unit personnel should be involved in the planning/assessment process and in the implementation of indicated improvements. Following this list is a timeline for the planning – assessment – budgeting cycle.

- **The Office of Institutional Research, Planning, and Assessment** has the primary responsibility for developing and disseminating the procedures and protocols and supporting documents required to meet the specifications of The Guide. It also coordinates assessment processes of the University and serves as a central resource for the University in institutional effectiveness and accreditation matters by acquiring, archiving, analyzing, and reporting internal data; submitting federal and state reports; responding to external requests for data; and providing consultative services on institutional effectiveness and accreditation.
- **Deans** are responsible for developing, collecting, reviewing and approving new goals to be added to the individual College Strategic Plan.
- **Department chairs and cost center heads** are responsible for developing, collecting, reviewing and approving new annual (non-student outcome) action goals for their department/unit.

- **Department chairs** are responsible for developing, collecting from departmental faculty, reviewing, and approving departmental initiatives to address continuous improvement in student learning outcomes.
- **Department chairs and program faculty** are responsible for recommending changes in curriculum and program learning outcome goals as a result of five year program reviews. Changes should typically be recommended in the academic year following each program review. This process is documented and approved through the departmental, college and University curriculum committee structure.
- **The University's General Education Advisory Committee** is responsible for recommending to the Vice President for Academic Affairs and Provost any changes in General Education Student Learning Outcomes Goals following each General Studies Program Review.
- **The University Curriculum Committee** is responsible for reviewing the General Education Program Review and recommending University wide academic initiatives for continuous improvement in performance on General Education Student Learning Outcomes. These recommended initiatives should be received by the Vice President for Academic Affairs and Provost for appropriate dissemination to academic departments.
- **The Institutional Effectiveness Committee** is responsible for assessing and maintaining all assessment processes used for the annual and five year assessment reports.
- **Strategic Planning and Budget Study Committee** is responsible for aligning resources to specific institutional effectiveness initiatives as well as serving as an advisory capacity to strategic, annual, and SMART Budget planning.
- **The President** is responsible for initiating approval of any changes to the University Mission Statement. Following completion of the University Mission Statement Review every fifth year and with consideration of any resulting recommendations from the Ad Hoc Leadership Task Force, the President will recommend any changes needed in the University Mission Statement. These recommendations are to be circulated through the University's Shared Governance Committee structure for comment. The President will then make appropriate recommendations to the University Board of Trustees.
- **The President** is responsible for initiating changes to University Goals (found in the University Strategic Plan) following recommendations from the Strategic Planning and Budget Study Committee, the University Institutional Effectiveness Committee and the University Curriculum Committee. Recommendations from these groups will typically follow the review of the five year assessment of the University Goals by the Institutional Effectiveness Committee. It should be noted, however, that some goals are typically reviewed annually and that updates to the University's Strategic Plan can be expected to occur annually.
- **The President** is responsible for recommending **University priority initiatives** to support the various **University Goals**. These initiatives are included in the University's Annual Action Plan that supports the longer term Strategic Plan. In making these recommendations, the President will consider input from the various Shared Governance Committees and from other constituent groups as

represented by the University Executive Council. The University priority initiatives are updated in the University's Strategic Plan on an annual basis and should provide guidance to the various units of the University in developing annual action plans. It should be noted that initiatives often arise as a result of unexpected opportunities and unanticipated problems. They may be added to the planning agenda of a unit at any time during the year rather than only at times called for in the planning guide timeline identified below.

- **The University Executive Council (EC)** is responsible for initiating changes to the SMART Planning and Budgeting. The EC seeks input from the University's Institutional Effectiveness Committee, the University Strategic Planning and Budget Study Committee and other appropriate constituents. The timeline for this activity is determined by the state budget cycle and is to be communicated to the appropriate constituent groups by the Vice President for Business and Financial Affairs. Once the SMART Planning and Budgeting goals and budgets have been established, these are to be communicated to the University community through the respective Vice President. It is expected that these plans and budget initiatives and priorities will be reflected in each unit's annual action plans to the extent possible.
- **The University Executive Council** is responsible for the Ad Hoc Administrative Task Force's assessment of administrative systems and for recommending to the President any changes in administrative procedures. This formal review will follow the five year periodic assessment of administrative systems and procedures. While the five year assessment is the formalized review, improvements may be suggested throughout the year as dictated by need and opportunity.
- The joint **Ad Hoc Task Force from the Shared Governance Committee and the Institutional Effectiveness Committee** is responsible for making recommendations for changes in the Shared Governance Committee System and processes. These recommendations will follow the regularly scheduled five year review of the effectiveness of the Shared Governance system. These recommendations go to the President. Final recommendations for changes in processes will be made by the President and communicated to the Shared Governance Committee. Any recommendations for changes in the shared governance structure will be made by the President to the University Board of Trustees.

Institutional Effectiveness Planning/Budgeting/Assessment Timeline

Planning, budgeting and assessment activities are ongoing and overlapping, with some activities focused on current year plans and budgets and concurrent activities meant to address future year plans and budgets. A formal procedure for submitting annual and interim requests for new or additional funding has been established. Budget requests may be wholly/partially funded at the unit, college, division, or University level. Feedback from each applicable level to the unit level is necessary for effective unit planning and budgeting. In order to provide guidance in implementation of planning,

budgeting and assessment activities for both current and future activities, this document integrates the two timelines – one for current year plans/budgets and the other for future year plans/budgets. The following general combined timeline is suggested:

October:

- Departments will submit Annual Action Plans for current Fiscal Year
- Academic departments and support units that are scheduled for Five year review will begin process
- UNA will submit Fourth Quarter SMART report at end of month

November:

- UNA will submit SMART Budget Form 19A to Governor's Office

January:

- President submits budget/initiatives for next Fiscal Year
- President's proposed budget/initiatives are articulated to:
 - Council of Academic Deans
 - Institutional Effectiveness Committee
 - Strategic Planning and Budget Study Committee
- UNA will submit First Quarter SMART report at end of month

April:

- UNA will submit Second Quarter SMART report at end of month

June:

- All cost centers will submit Annual Action Plan Assessment Reports based on October Action Plans to Office of Institutional Research, Planning, and Assessment as well as supervisor.
- UNA will submit summary of Annual Action Plan Assessment to Board of Trustees
- Departments/areas that are involved will submit Five year Reports to Institutional Effectiveness Committee, Area VP and Dean

July:

- UNA will submit SMART quarterly report at end of month

August:

- President creates operational plan from January's projected budget/initiatives for next fiscal year
- UNA will submit SMART Budget form 19B to Governor's Office

CONCLUSION

This assessment guide is intended as a tool to guide each unit in its planning and assessment activities and to help ensure that all appropriate assessments take place on a systematic schedule. It is not intended as “the” answer to each assessment question that may arise. Each unit is encouraged to be innovative and to adopt procedures that best measure the unit’s effectiveness. Each unit is also reminded that it is the unit’s responsibility to document each assessment, the tools used, the results obtained, and the actions taken as a result of the assessment. The documentation file should be maintained in each unit and available for review by appropriate constituents and accreditation review teams. It is recommended that the documentation file be maintained in an electronic format.

Of critical importance is the documentation of plans, initiatives and actions taken as a result of the previous year’s assessment. It is recommended that each unit maintain an electronic Action Documentation File that identifies the assessment and the actions taken as a result of the assessment. A copy of this file should be made each year (between October 1 and December 31) and approved through the appropriate Vice President, then filed in the Office of Institutional Research, Planning, and Assessment. This file and documentation trail should be maintained electronically.

It is expected that minor, non-substantive enhancements may be necessary to this new *Guide for Planning and Assessing Institutional Effectiveness* to ensure continuous improvement in the document. Such changes, as approved by the President, will be forwarded to the Board of Trustees as information items.

Approved
Institutional Effectiveness Committee on May 2, 2007

Revised
Institutional Effectiveness Committee on May, 2008

Adopted by University Board of Trustees
June, 2007

Adopted by Presidents Executive Council
June 2008