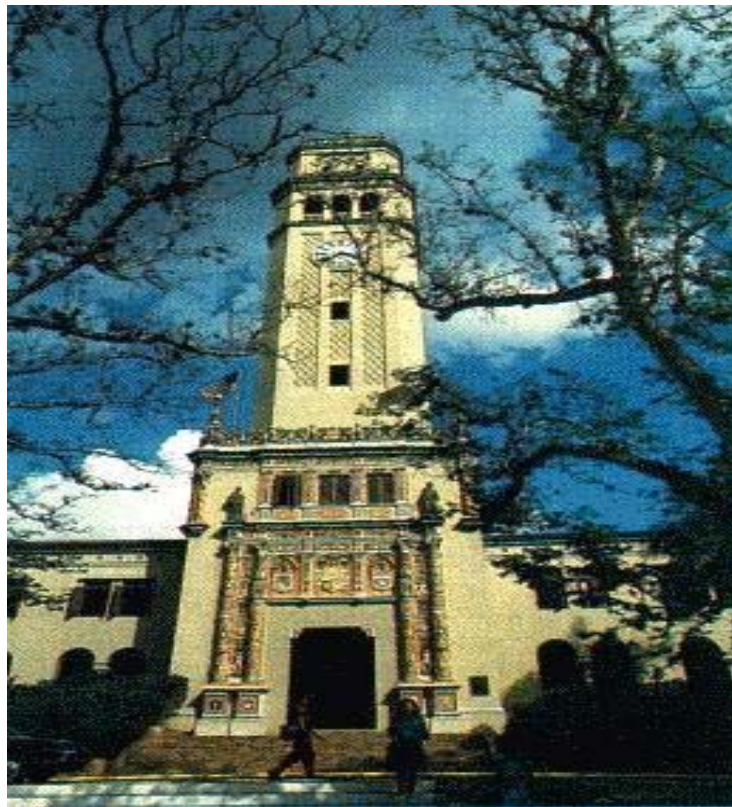


## **APPENDIX 3**

University of Puerto Rico  
Río Piedras Campus  
Deanship for Academic Affairs

# INSTITUTIONAL EFFECTIVENESS ASSESSMENT PLAN



*Institutional Effectiveness  
Assessment Plan Development  
Committee*

**Approved by:  
Administrative Board  
August 20, 2004**

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## **Introduction**

In order to attain their goals, institutions—among them institutions of higher education—require constant, systematic attention. Only in this way can decision-making, the development and coordination of strategies, and planning be strengthened by a knowledge of the current state of the institution vis-à-vis the goals and objectives the institution proposes to achieve. On the University of Puerto Rico's Río Piedras Campus, as we turn our attention to the institutional goals set forth in our mission statement and to the projects set forth in the Strategies for Action Plan (PLEA, for Spanish acronyms) and as we consider the progress we have achieved in implementation and evaluation of the PLEA, we reiterate and operationally manifest our commitment to quality, excellence, and ongoing improvement. This firm commitment has guided us in the development of a coordinated, systematic, and broad-spectrum approach that culminates in the Plan for the Assessment of Institutional Effectiveness (PAEI) that has been formulated to aid in the pursuit of the Campus mission.

For the purposes of this plan, “assessment of institutional effectiveness” is defined as a systematic, coordinated, and ongoing process made possible by the gathering, analysis, and interpretation of data obtained, in turn, from many sources. Study (assessment) of this data allows the Campus to determine to what degree we are attaining our mission and goals. Assessment enables the institution to examine not only our achievements but also the processes and experiences that have led to these achievements; likewise, it enables us to see and address the factors that have limited our achievements—and all this makes it possible for us to generate strategies that lead to continued and continuous improvement.

Since 1988, the Río Piedras Campus has made considerable strides in infrastructure and other bases necessary for developing and implementing a Plan for the Assessment of Institutional Effectiveness. We have made notable progress in a number of activities involving assessment of the Campus's functioning, particularly in the sphere of academic programs. The plan set forth in the pages that follow takes as its point of departure the Campus mission statement, and it is framed within the PAEI. Its principal goal is to strengthen student learning, research and creative activity, and service by:

- integrating and systematizing the Campus's existing assessment processes;
- broadening the scope of these processes and increasing the degree of participation in them by the university community; and
- promoting and encouraging the use of assessment outcomes in the formulation and revision of strategic plans and development plans by both individual units and the Campus as a whole.

This document summarizes and represents contributions, reactions, and suggestions that emerged from a taskforce composed of twenty members of the Campus's university community chosen on the basis of one of two criteria: their close and ongoing relationship with each of the institution's areas of functioning, or their work within the Office of Academic Planning (OAP) or the offices of the deans of Academic Affairs (DAA) or Graduate Studies and Research (DGSR), all of which offices have been constantly working on these issues. (See Appendix 1, Members of the Committee.)

The implementation structure incorporates a Special Committee of the Academic Senate, which will regularly receive reports on institutional assessment indicators, interpret those reports in the light of the Campus's academic goals, assess their relevance, and disseminate its findings to the Academic Senate and the Campus

community as a whole. In addition, the Administrative Board will receive periodic reports on assessment findings. Thus, the Plan is to be integrated into already-existing Campus decision-making and strategic and academic planning processes, as well as into the budgeting process.

With this plan it is the Campus's intention to strengthen the foundations necessary for fulfilling the commitment set forth in the PLEA to attain "an institutional system for support, follow-up, and ongoing evaluation of the implementation of the Strategic Plan." Likewise, and especially via the Learning-Assessment Plan, the Campus hopes to encourage and implement ongoing discussion that we are convinced will generate the strategies required for attaining the learning, research, and service objectives that distinguish our particular place in the Island's educational structure.

Some phases of the plan are already in place systematically, while others are in a stage of development or implementation. The Campus is open to new initiatives, as well; in 2004, for example, planning began on a process to be used in assessing academic-support units, a process that will be expanded once the first two assessment cycles projected in the implementation schedule have been completed. In addition, we contemplate adding a component of assessment from the perspective of the outside community. One essential aspect of the Plan is the periodic evaluation of its own implementation, scope, and effectiveness.

The Plan for the Assessment of Institutional Effectiveness was approved by the Administrative Board on August 20, 2004.

Reactions to this plan are welcome, and may be sent to [c\\_escalera@rrpadm.rrp.upr.edu](mailto:c_escalera@rrpadm.rrp.upr.edu)

## **Background**

### *Institutional profile*

The Río Piedras Campus is the oldest and largest unit in the University of Puerto Rico system. It has the largest number of, and most diverse, academic offerings in the system; many of its programs are unique on the Island and in the Caribbean. In addition, the number of doctoral-level offerings and the number of graduates from these programs have earned it the Carnegie Foundation for the Advancement of Teaching's designation as an "Intensive Research Doctoral Institution." The Campus received its first accreditation from the Middle States Association in 1946, and it has been reaccredited consecutively since that date.

According to data contained in the Inventory of Academic Offerings prepared by the Statistical Analysis section of the Office for Academic Planning (OAP, 2003), degrees are granted in a total of 14 doctoral programs; 53 specialties at the masters level; one Juris Doctor (first professional degree in Law); 78 undergraduate programs; one graduate certificate, three post-masters and four post bachelor certificates for a total of 154 academic programs.

These programs provide offerings to an enrollment in 2003-2004 of 21,909 students, 81.5% at the bachelors' level; 773 in doctoral programs, 2,525 at the master's level; 731 first professionals and 30 in post baccalaureate certificate programs. In 2003-2004 the Campus granted 2,988 bachelors degrees; and a yearly average, during 2000 to 2003, of 64 doctorates and 151 first professionals. The Division of Continuing Education and Professional Studies, the oldest such program on the Island and the program providing the greatest variety of offerings, serves more than 9,000 students each year, including both Campus enrollees and members of the general community (2002-03). This wide variety of academic and professional offerings makes the Río

Piedras Campus one of the most sought-after and complex units in the Island's system of higher education.

### *Campus mission*

The mission statement was approved by the Academic Senate on March 15, 1990 (Academic Senate Certification 67, 1989–90). This certification states that the mission of the Río Piedras Campus is:

1. To foster the integrated education of its students through programs of study which promote intellectual curiosity, the capacity for critical thinking, constant and ongoing learning, effective communication skills, an appreciation for and cultivation of ethical and aesthetic values, involvement in Campus governance, and a sense of social awareness and responsibility.
2. To provide graduate education of the highest quality whose key elements are research and creative activity and which strengthens undergraduate education, and to provide post-baccalaureate programs for the education and training of professionals of the highest caliber, persons committed to the ideals and values of Puerto Rican society.
3. To provide an undergraduate education of excellence, one which offers students a unified vision of knowledge that brings general education and specialization into harmony, and to foster in students a capacity for independent study and research.
4. To develop teaching and research skills; to promote participation in the life of the community as well as service to community; to promote respect for the historical and social conditions of Puerto Rico, taking into account its Caribbean and Latin American surroundings yet reaching out into the international community; to enrich and strengthen the storehouse of knowledge associated with the consolidation of Puerto Rican nationality, history, language, and culture; at the same time, to foster the growth and dissemination of knowledge at an international level.
5. To develop innovative, relevant programs of research, community service, and continuing education which will support and contribute to the Campus's academic

and professional activity, and which will also contribute to the transformation and continuing progress of Puerto Rican society, to the analysis of the Island's socioeconomic and political problems, to the formulation of solutions to those problems, and to the improvement of the quality of life.

### *Strategies for Action Plan*

To channel the Campus's efforts in fulfilling this mission, the Campus developed the Strategies for Action Plan (PLEA; see Appendix 2). This plan was approved by the Academic Senate on October 16, 1997, and by the Administrative Board on November 14 of that same year. It will be in effect through 2006, at which time we anticipate that it will have been revised and updated. The plan is a guide for short- and long-term planning, for decision-making, and for setting priorities in resource assignment, as well as for developing satisfactory and appropriate measurements of achievements and effectiveness.

The PLEA identifies six priorities or "strategic areas" which, in turn, are subdivided into 11 "key areas." During the past few years, the Campus's efforts and initiatives have been largely determined by the strategic areas, to wit:

- Research and Academic Programs
- Teaching Resources and Information Technology
- Student Body
- Administration and Physical Facilities
- Relations with the Community
- Assessment

The key areas are the following:

- Knowledge
- Graduate programs

- Undergraduate programs
- Faculty
- Information technology
- Student life
- Organizational quality
- Physical facilities
- Graduates/ Continuing education
- Contributions to the community
- Evaluation of the plan

*Assessment initiatives on the Campus*

Since 1988, one of the Campus's highest priorities has been following up on the attainment of the goals and objectives set forth in the PLEA. Evidence of this priority is the interrelated network of processes set in motion and actions taken in an effort to establish the foundations for a Plan for the Assessment of Institutional Effectiveness that will encourage planning, informed decision-making, and evaluation of Campus achievements. These actions are the following:

**1998 Indicators of Institutional Effectiveness** (institutional performance): The Office of Academic Planning (OAP) initiated a project aimed at developing indicators of institutional performance. Thirty-three measurements were developed for ten indicators closely linked to the PLEA's strategic areas. Some of these indicators were chosen to be included in the monthly Institutional Assessment Reports to the University Board.

**Alignment of the annual reports with the PLEA goals:** Since 1998, each academic and administrative unit has prepared an annual report that follows uniform guidelines and has a uniform outline whose main heading-entries corres-

pond to the PLEA strategic areas. The structure and format of this report is reviewed each year, so that it can serve as appropriate, relevant documentation of the Campus's efforts, activities, attainments, and achievements, with emphasis on the strategic areas. Currently, the report is prepared in an electronic format, which allows it to simultaneously feed into the OAP databases.

**Center for Academic Excellence (CAE):** The Center, under the administration of the Office of the Dean of Academic Affairs (DAA), was created during the process of conceptualizing the learning-community policy, and it was seen as contributing to the pursuit and furtherance of that policy on the Campus through activities and experiences aimed at facilitating and enriching the teaching-learning processes. Since its inception, the CAE has been conceived as the nucleus of a network of efforts aimed at faculty development in the areas of teaching-learning, assessment, technology, oral and written communication skills (in both Spanish and English), and university-community relations, thereby contributing to the strengthening of a culture of assessment on the Campus. Some of the many activities organized by the CAE contributing to the Campus's assessment efforts are the following:

- Summer Institutes 1999 and 2000: Study of teaching activity in the classroom.
- Summer Institutes 2001, 2002, and 2003: Assessment and evaluation of academic programs.
- Workshop cycle: How to prepare a learning-assessment plan for a department (January 26–2, 2004).
- Workshop cycle: Learning-assessment plan (February 27, March 5, March 12, 2004; September, 2004).

**1999 Learning Community:** In 1999, the Campus declared that it would seek by every means possible to conceive itself to be, and to be in fact, a *learning community*. This term means that “the actions and functions of the university, including research, [are conceived] as a dynamic teaching-learning process which is expressed in many manifestations. Its purpose is to offer all the members of the Campus community the opportunity to learn, and it commits the Campus to create administrative structures that facilitate and encourage ongoing exploration and openness to change.” One of the recommendations stemming from this policy is that a system of ongoing assessment from the standpoint of learning be developed. Thus, this policy lays the foundation for the assessment of learning and of institutional effectiveness.

**Design and commencement of a systematic evaluation of the academic programs:** With U.S. Department of Education Title V funds, the DAA and the OAP began developing a project to evaluate the undergraduate academic programs. A committee was created to coordinate this project (Institutional Committee for the Systematic Evaluation of Academic Programs—ICSEAP) and personnel from the OAP were assigned to it as support staff. The purpose of this project is to institutionalize the systematic evaluation of undergraduate programs as a fundamental element in the general assessment of institutional effectiveness. (See Appendix 3.)

**2000 Inception of the SAGA system (Academic-Administrative Management Support System):** The OAP received Title V funds to create a data warehouse to be used for assessment, institutional research, program evaluation, support for generating academic policy, and follow-up on the achievement of objectives set

forth in the PLEA. As a result, the Campus has a fact book of student data which the public in general and academic managers may access electronically for follow-up and decision-making. The SAGA system continuously supplements the database with new data. To that end, variables have been added—some calculated and some from other sources, such as the units' annual reports and data on external funding from the Campus Office of External Funds. (See Appendix 4.)

**2002 Definition of indicators and development of database for assessment**

**reports to the University Board:** On the basis of definitions provided by the Vice President for Academic Affairs of the University of Puerto Rico system, several effectiveness indicators were defined for the Campus and databases were developed to aid in the production of institutional assessment reports to the University Board.

**Indicators for the Campus's Institutional Assessment:** Between 2002 and 2003, the OAP sent seven reports per year to the University Board on various priority issues related to the Campus's institutional effectiveness; these were keyed to the PLEA and the University Plan. The University Board, in turn, sent the Campus Academic Senate a report on the system level. In 2004, one subject and one report were added.

**Creation of an Academic Senate Special Committee to study the admissions process:** In the Academic Senate meeting held on October 17, 2002, the Senate created a Joint Special Committee, composed of members of the Academic Senate's Student Affairs Committee and Academic Affairs Committee. This committee was charged with analyzing, interpreting, and incorporating into academic planning all statistics or indicators of quality

contained in the Assessment Report to the University Board relating to the subject of admissions. Currently, the Senate expanded its responsibilities so that the Special Committee has been made a Committee on Institutional Effectiveness, which receives and analyzes the Institutional Assessment Reports to the University Board and submits recommendations to the Senate as a whole. In this way the Senate has become an integral part of the assessment of institutional effectiveness and will be able to incorporate this information into academic decision-making and planning. The Senate Special Committee is comprised of the chair of the Senate Academic Affairs Committee, the Dean of Academic Affairs, one academic senator, and four student senators. In addition, the faculty representative to the University Board attends meetings as a liaison person. (Certification 44, 2002–2003, Academic Senate)

**2003 Evaluation of graduate programs:** The Office of the Dean of Graduate Studies and Research designed and began implementing a Plan to Evaluate Graduate Programs, among whose components is the participation of external evaluators. At the end of academic year 2003–04, seven programs had already completed their evaluation. (See Appendix 5.)

**Student-Learning Assessment Plan:** In May of 2003, the Office of the Dean of Academic Affairs created a committee charged with developing a Student-Learning Assessment Plan. This committee completed the design of the plan during second semester of academic year 2003–04. During the last decade, however, the Campus has implemented learning-assessment plans in several programs (B.S. in Social Work, the Graduate School of Information Science and Technology, and the College of Education). Planning is now underway for

beginning to disseminate the plan early in the first semester of 2004–05. The plan includes a five-year implementation schedule. (See Appendix 6.)

**Creation of the Committee for the Assessment of Institutional Effectiveness:** Likewise, the Dean of Academic Affairs created a committee charged with developing a plan for the assessment of institutional effectiveness that will include all the Campus's assessment initiatives and broaden their scope. The result of the committee's work is the plan included in this document.

**Implementation of the requirement for unit and program development plans:** The DAA created a guide to be followed by each academic unit and program in formulating a development plan tied to the PLEA and the Campus mission statement. The guide defines the development plan as the point of departure for academic decision-making and for the assessment of research and creative work, service, and learning, and indicates that it is to be an essential element in the implementation of those initiatives. Thus, a framework now exists that will enable each academic unit and program to formulate a development plan, which is one of the priority objectives set forth in the PLEA. Appendix 7 includes this Guide for the Development Plan, the fundamental elements of it, and an outline that summarizes the process to be followed in formulating the plan. The development plan incorporates assessment as one of its components as early as the point at which each program formulates its academic and other objectives; thus, it integrates assessment into the programs' and units' academic planning as a fundamental element. The need for evaluation of the plans themselves is also stressed. Some of the objectives sought during the process of generating development plans are:

- to encourage an approach based on planning, assessment, and periodic evaluation,
- to put this approach into practice, and
- to employ the outcomes as a source of information for decision-making at all levels.

To that end, the Office of the Dean of Academic Affairs requires that all announcements of job openings and all recommendations for faculty recruitment submitted by the programs be based on the programs' development plans, and that the assessment outcomes be taken into account whenever the units are considering recruitment or hiring.

**Institutionalization of the SAGA System and of the evaluation of undergraduate programs:** In 2003, the DAA and the OAP evaluated the Campus's experience with the SAGA System and the evaluation of undergraduate programs. As a result, and in order to institutionalize these processes, in that same year the Campus requested funds (later approved) to hire one person in the OAP in the area of information systems. This person's main responsibilities are to keep the system, its databases, and the access processes up to date and to produce the reports and electronic portals for the various user purposes. Likewise, as a result of the evaluation of system utilization, the Guides for the Evaluation of Undergraduate Programs were revised and a new schedule was published. (See Appendix 4.)

**2004 Factum (system for gathering faculty achievement information):** As a continuation of the process of creating needed databases, development was completed and implementation was begun on the electronic Factum system, which will help to facilitate institutional access to all available data on faculty

productivity. The system allows each faculty member to access, edit, and display data on his or her achievements, such as for example academic degrees, publications, creative work, service activities, professional-improvement activities, external funding proposals, thesis direction, areas of interest, etc. (See Appendix 8.)

**Institutional Research Plan:** During the last decade, and as part of its yearly action plan, the Office of Academic Planning has been conducting several institutional studies on various matters of interest to the Campus. It has also given support to those units conducting studies as part of their assessment and evaluation processes. In 2004, as part of the agenda for systematizing the Campus assessment processes, the DAA and the OAP developed a research plan coordinated with the Plan for the Assessment of Institutional Effectiveness; this new plan will allow the Campus to periodically generate data needed for various components of the institutional assessment process. (See Appendix 9.)

**Plan for the evaluation of research centers:** The Office of the Dean of Graduate Studies and Research began development of an evaluation plan for the Campus's research centers, and is to begin implementation in August of 2004. (See Appendix 10.)

## **ASSESSMENT SYSTEM**

All the initiatives outlined above have been undertaken as part of our commitment to institutionalizing systematic assessment and evaluation on the Campus. These processes, designed and executed as interlinked systems, form the Campus's assessment system. Institutional databases, available electronically, make assessment possible and begin the broad dissemination of effectiveness indicators at both an institutional and unit level. They provide a valuable ongoing instrument that enables

academic and support units to reflect on the work they are doing and their future plans. Institutional research, reports, development plans, and evaluation processes, joined to the Student-Learning Assessment Plan, the Plan for the Evaluation of Academic Programs, and the Plan for the Evaluation of Research Centers, coordinated and carried out periodically, broadly disseminated and discussed, and incorporated into institutional planning, into the individual action plans, and into decision-making at all levels, constitute the Campus's system for the assessment of institutional effectiveness. The Institutional Assessment Plan is aimed at making not just feasible but also smooth and easy the systematic, effective functioning of that system.

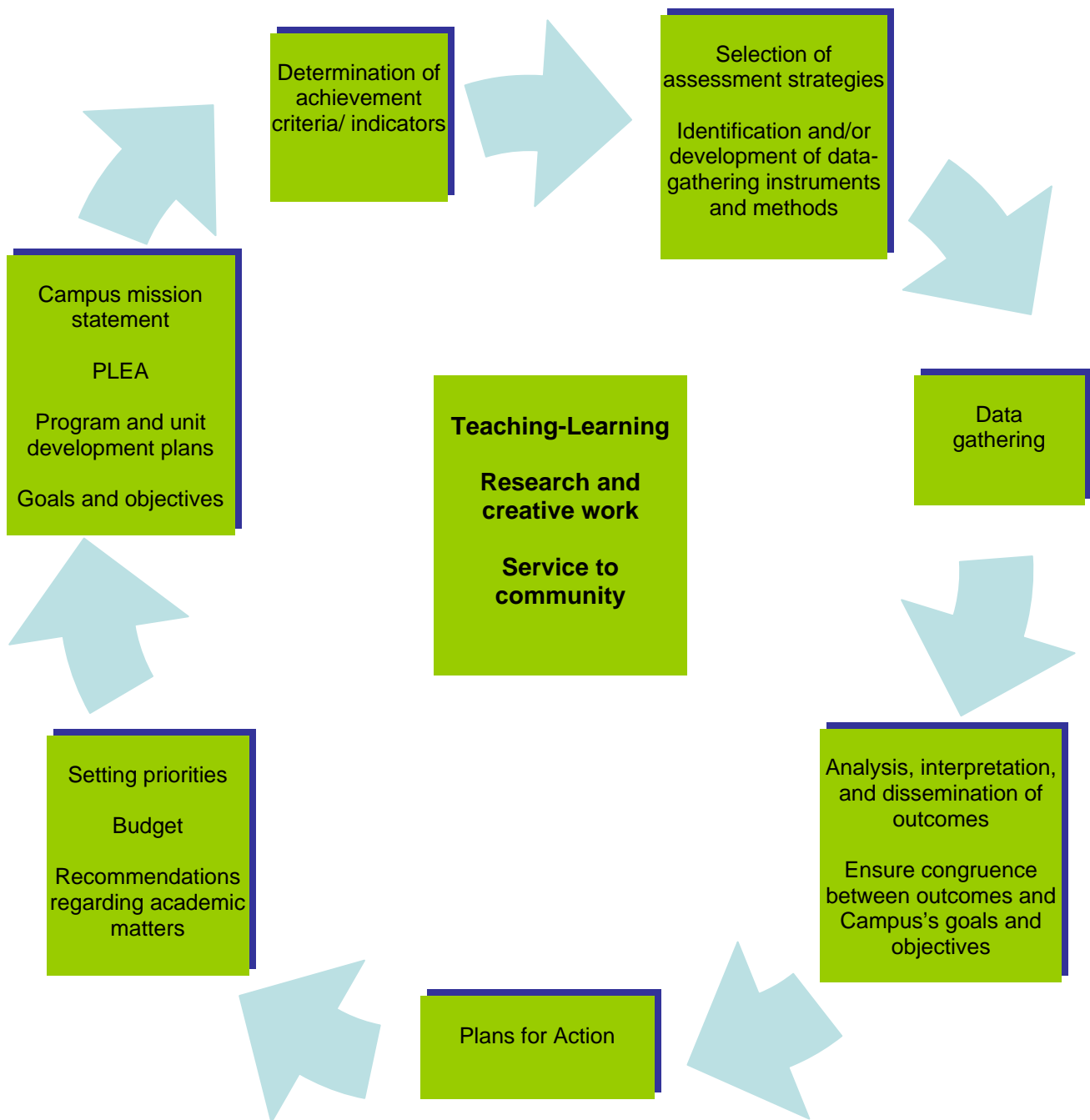
In academic year 2003–04, assessment was expanded in the *teaching-support units and student-performance support units*.<sup>1</sup> The Campus has 45 units supporting teaching and student learning. (See Appendix 11.) For the purposes of the Plan, an interrelated group of support units was initially selected; overall, their main function is to support all the key areas of the PLEA. The plan presented in this document incorporates a schedule the support units are to follow as they develop and institutionalize their particular components of the effectiveness-assessment efforts, in keeping with the key areas and goals as contained in the PLEA. Thus, they are incorporated more closely into the effectiveness-assessment system.

The following diagram illustrates how the Campus's assessment and planning processes are interrelated. The focus of the system is the achievement of excellence in the Campus's three fundamental areas: teaching-learning, research and creative work, and service to the community.

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<sup>1</sup> I.e., units and programs supporting academic and research activity, service programs, and units responsible for administrative processes and physical facilities, hereafter referred to as "support units."

# Effectiveness-Assessment Processes and Their Integration into Campus Planning



## **GUIDING PRINCIPLES OF THE CAMPUS'S ASSESSMENT OF INSTITUTIONAL EFFECTIVENESS**

Assessment of institutional effectiveness should:

- a) be a systematic, coordinated, and ongoing process;
- b) be based on the Campus's mission, goals, and objectives;
- c) examine the Campus's effectiveness from the point of view of learning;
- d) be geared toward improvement in processes and outcomes;
- e) be inclusive, participatory, and collaborative: it should be fed by the input of a broad group representative of all the Campus's levels and units;
- f) be linked to the regulations, norms, and processes currently in force, and contribute to development of a culture of assessment on the Campus;
- g) make the unit itself responsible for the achievement of the objectives which the unit or program has set for itself;
- h) utilize a number of direct and indirect measurements for the goals achieved;
- i) utilize both quantitative and qualitative data relevant to the mission, goals, and objectives of both the Campus and the unit or program;
- j) safeguard confidentiality of data;
- k) lead to utilization of the outcomes that have emerged from assessment for the unit's and the Campus's planning and priority-setting; for prioritizing distribution of budgetary resources; and for developing plans of action;
- l) set realistic goals and feasible schedules.

## STRUCTURE OF THE ASSESSMENT PLAN

The Plan for the Assessment of Institutional Effectiveness (PAEI) focuses on improving processes and outcomes in accordance with the objectives of the Campus's key areas. It conceptualizes the assessment processes as taking place at two levels: the institutional level and the unit level.<sup>2</sup> The two assessment levels complement one another, and are integrated into the planning process. Analysis and evaluation of assessment findings allows the Campus to develop strategies and actions geared toward achievement of the programs' and units' goals and objectives and, at the institutional level, achievement of the goals set forth in the Campus's mission statement and Strategic Plan. The indicators, databases, and institutional knowledge that is generated are means of measuring progress toward our goals. Appendix 12 shows how certain indicators, criteria, and assessment strategies relate to the institution's objectives in the key areas. This appendix will be added to as the units and academic programs establish their achievement indicators.

The Office of the Dean of Academic Affairs (DAA) is the unit responsible for implementation of the Assessment Plan on the Campus. To meet this responsibility, the DAA has three units under it—the CAE, the OAP, and the Office of Learning Assessment,<sup>3</sup> along with a Coordinator of Institutional Effectiveness Assessment who will be working in close collaboration with these offices.<sup>4</sup> The Office of the Dean of Graduate Studies and Research also coordinates, implements, and evaluates the evaluation of graduate programs and the evaluation of research centers.

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<sup>2</sup> "Unit" includes both academic units and teaching-support units.

<sup>3</sup> At the beginning of academic year 2003–2004, the DAA created the Office of Learning Assessment, and two professors were appointed co-coordinators.

<sup>4</sup> The main responsibility of his coordinator is liaison with support units.

The Coordinator of Institutional Effectiveness Assessment will have the following responsibilities:

- planning training workshops in assessment for teaching-support units and coordinating these activities with the CAE;
- orienting support units in the development and implementation of their assessment plan;
- following up with support units to ensure that implementation of their assessment plans is being carried out in keeping with the principles, guidelines, and schedule that have been established;
- keeping the dean informed as to the progress of implementation of the Plan for the Assessment of Institutional Effectiveness;
- coordinating the DAA's efforts aimed at strengthening the culture of assessment on the Campus;
- integrating the assessment findings from the support units and the institutional level, and preparing reports for the DAA;
- coordinating evaluation of the implementation of the Effectiveness Assessment Plan with the OAP and the Office of Learning Assessment.

The Office of the Dean of Academic Affairs, in coordination with the offices and units under that office who have been given the responsibility for implementing and following up on the processes, will submit reports each year to central administration, as required, including the Administrative Board. Assessment outcomes relating to the Campus's situation vis-à-vis its goals and objectives will be shared with the higher levels of the University System administration for their consideration and any necessary action.

## Assessment at the Institutional Level

At the institutional level the assessment processes are under the direct responsibility of the DAA, the OAP, and the Office of Learning Assessment, who are charged with producing the findings and outcomes reports at the Campus level, along with their corresponding databases. The OAP will ensure that the databases and data files in the Campus's information system (SAGA, Factum, FACTBOOK) are up-to-date, easily accessible, and meet their principal objective of supporting assessment, institutional research, decision-making, and planning.

The strategies at this level are:

1. *Assessment Indicators: Campus, University Board, and Senate Special Committee, and integrating these findings into debates within the Senate and the units*

Each year, as scheduled, the OAP will generate eight reports on effectiveness indicators to be submitted to the University Board, one for each of the following areas (see schedule in Appendix 13)<sup>5</sup>:

- Admissions and Financial Aid
- Inventory of Creative, Scholarly, and Research Work
- Infrastructure for Teaching and Creative, Scholarly, and Research Work
- Revision, Renovation, and Development of Academic Programs
- State of Extracurricular Offerings
- Assessment of Curricular Supply and Demand
- Assessment of the Effectiveness of the Educational Process

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<sup>5</sup> These reports present Campus-level findings on indicators such as graduation rates; integration of technology; demand, distribution, and breadth of academic offerings; research and creative work; class size; drops and withdrawals, etc.

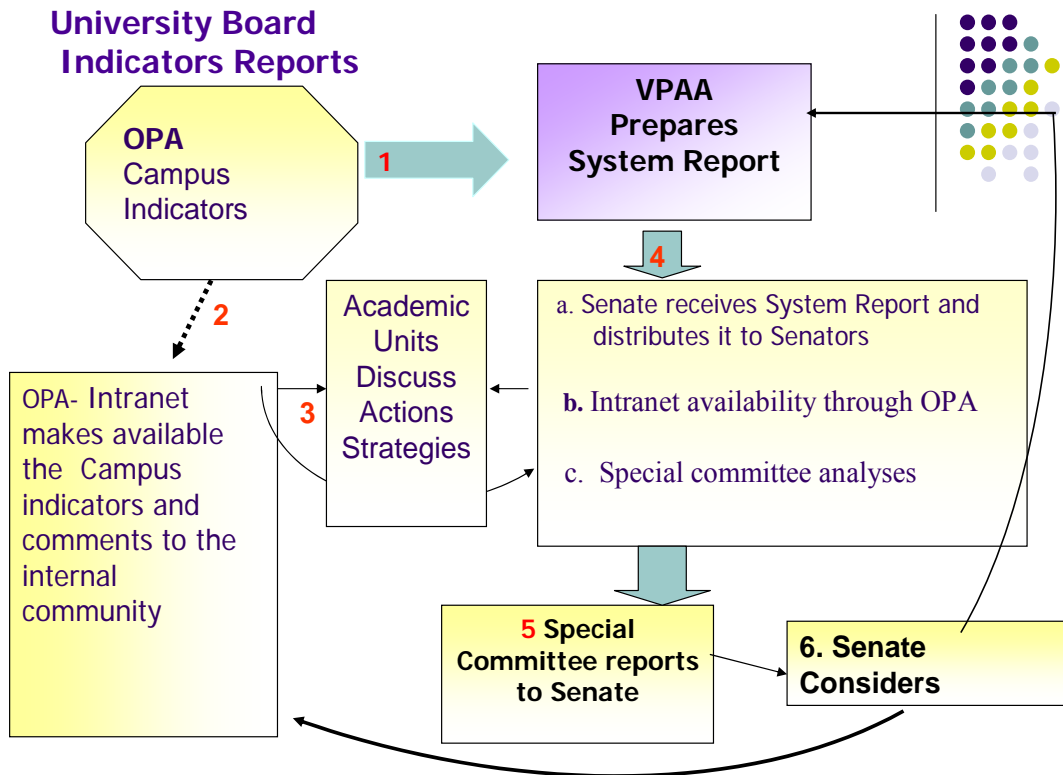
- State of the Infrastructure for Securing External Funds

*Implementation of the Reports on Assessment Indicators submitted to the University Board*

Each academic year, as scheduled, the OAP prepares and sends the Campus's reports to the Vice President for Academic Affairs (VPAA). For these reports it utilizes the updated databases on the various effectiveness indicators. The VPAA is responsible for preparing and sending to the University Board a System Report based on the reports from all the units, and the University Board, in turn, sends that report to the Senate.

It is the responsibility of the Senate Committee on Institutional Effectiveness to analyze and interpret the two reports from the point of view of the Campus and to submit a report to the Senate for its discussion and recommendations. The Campus report and the system report are made available through the intranet to deans and chairs for discussion and analysis at the unit level. These findings provide an opportunity to make a qualitative comparison to the rest of the system, and also to analyze trends and generate strategies for action. In order for all this to be feasible, the Senate Committee is charged with the following functions (see diagram below):

- studying, analyzing, and interpreting the reports on assessment findings;
- evaluating the effectiveness indicators that are being used, making recommendations on their relevance, and suggesting strategies and assessment indicators to address the areas of interest and those that may arise during implementation of the plan;
- submitting periodic reports to the Academic Senate, including recommendations on the areas evaluated.



*2. Institutional research done in the Office of Academic Planning (OAP)*

The OAP will conduct institutional studies as mandated by the Institutional Research Plan. As the studies are completed, the OAP will submit the reports to the Dean of Academic Affairs. These findings will be shared with the units and administrative levels (as subject-appropriate) for those units' and offices' discussion and recommendations for action, and will also be published on the Campus webpage for access by the Campus community. (See Appendix 9.)

*3. Requirement of an annual report from the academic units and support units, its entries to be based on the PLEA strategic areas.*

The OAP will summarize the data included in the units' annual reports and prepare a report that reflects the Campus's current situation vis-à-vis the PLEA's key

areas. The report will be sent to the Office of the Chancellor, and the chancellor's office and the deans will take the findings into consideration for institutional planning.

*4. Programs' and academic units' Development Plans in accordance with the PLEA, to include assessment of the results of research and creative work, learning, and community service, and incorporation of that assessment into the planning process at and for various levels.*

The academic programs and units will formulate their development plans in accordance with the PLEA, and will revise them in accordance with the assessment outcomes and program evaluations. The DAA will ensure that these outcomes and the goals and objectives adopted by the units or programs and the dean of the college are taken into consideration in all recommendations for academic affairs. The DAA will also follow up on the formulation and revision of the development plans. Graduate programs will be under the guidance of the DGSR in this process. (See Appendix 7.)

Strategies at the institutional level are designed to provide information on the institution's progress in achieving the broad goals and objectives delineated in the PLEA, which is based on the Campus's mission statement. These objectives also correspond to the standards used by the Middle States Association for its accreditation processes, thus freeing the Campus from duplication of efforts.

### **Assessment at the Unit Level**

The academic and research units will conduct their assessment on the basis of the guidelines set forth in the Plan for the Assessment of Student Learning, the Evaluation of Graduate and Undergraduate Programs, and/or the Evaluation of Research Centers, as applicable. (See Appendices 6, 3, 5, and 10.)

Similarly, the academic-support and research-support units, the service programs, and the units responsible for administrative processes and physical facilities

(support units) will prepare their assessment plans on the basis of their mission statements, which have been adopted in conformity with the Campus mission and PLEA priorities, and they will integrate their assessment plans into their development plans.

The support units will decide what mechanism they will use for channeling their members' participation in this process. In formulating their plan, the units will use the guidelines and format shown in Appendix 14. Once the plan has been formulated, each support unit will implement its plan according to the schedule that appears on page 31. The Coordinator of Institutional-Effectiveness Assessment will perform follow-ups throughout the process of development and implementation of the support units' plans.

### **RELATIONSHIP BETWEEN THE PLAN'S COMPONENTS**

#### **Campus Mission PLEA Plan for the Assessment of Institutional Effectiveness**

<b>Unit Level</b>	<b>Institutional Level</b>
*Academic programs' Learning-Assessment Plans	*Campus Plan for the Evaluation of Student Learning
*Evaluation of Undergraduate Programs	*Institutional Assessment Strategies
*Evaluation of Graduate Programs	1. Assessment indicators: Campus and University Board, Senate Committee, Units
*Evaluation of Research Centers	2. Institutional research
*Support units' Assessment Plans	3. Annual report and Campus report
	4. Programs' development plans submitted to DAA

### **IMPLEMENTATION OF THE PLAN**

Implementation of the Plan for the Assessment of Institutional Effectiveness for the academic units and programs follows the applicable schedules contained in the

assessment plan for each area or purpose.<sup>6</sup> Institutionalization of assessment will be carried out in two cycles for the units that have been chosen to represent the eleven key areas of the Campus strategic plan. In the first cycle, fourteen units will take part. In the second cycle, ten more will be added. Each cycle will last three semesters, and within those three semesters the units that begin during a particular cycle will complete all the phases that lead to the successful establishment of their assessment process and will also integrate the outcomes into their action plan and development plan. Each cycle is composed of five phases, which each group will go through: 1) development or revision of the assessment plan; 2) implementation of assessment strategies, development of instruments, and gathering of data; 3) analysis and interpretation of results; 4) design of action strategies, formulation or revision of development plan; and 5) evaluation and revision of the assessment plan, if needed.

In phases 4 and 5 of each cycle, the support units will:

1. utilize the outcomes that have emerged to formulate or revise their development plans, so that the action strategies they define will be based on data obtained through the assessment process;
2. prepare a report on the implementation of their assessment plan and submit it to their dean, or to the chancellor in the case of units directly under the Office of the Chancellor. In preparing this report, they will use the format shown in Appendix 15, and will attach it to the revision of their development plan.
3. evaluate their assessment plan and amend it, if necessary, as a result of the implementation experience.

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<sup>6</sup> The learning-assessment, academic-program evaluation, and research-center evaluation plans each have their own implementation schedules, which can be found in the documents containing the plans and guidelines for each of them.

Thus, in examining its effectiveness the Campus will take into consideration the institution's diversity and complexity. Once the support units have established their plans, they will continue with the process, and each year they will submit a report to their respective dean, who will summarize the findings and recommendations in a report to the Administrative Board.

**SCHEDULE FOR IMPLEMENTATION OF THE  
PLAN FOR THE ASSESSMENT OF INSTITUTIONAL EFFECTIVENESS  
Support Units<sup>7</sup>**

Phase	Time period	Activities	Person or Unit Responsible
<p>Preliminary Phase:</p> <p>Revision, approval, and dissemination of Plan for the Assessment of Institutional Effectiveness</p>	<p>June 2004-Sept. 2004</p>	<p>Discuss draft of plan with Committee on the Assessment of Institutional Effectiveness</p> <p>Revise draft of plan and incorporate recommendations</p> <p>Submit final document to Administrative Board for its approval</p> <p>Approval of plan by the Administrative Board</p> <p>Add plan to the Campus electronic network.</p>	<p>DAA Committee on Assessment of Institutional Effectiveness</p> <p>DAA</p> <p>DAA</p> <p>Administrative Board</p> <p>DAA</p>
<p><b>Cycle 1:</b></p> <p>1. Unit level: Development of assessment plans in the following support units:</p> <ul style="list-style-type: none"> <li>• Dean of Students</li> <li>• Library System</li> <li>• OAP</li> <li>• CAE</li> <li>• Physical facilities office</li> <li>• DAA</li> <li>• Registrar</li> <li>• DGSR</li> <li>• Dean of Administration</li> <li>• Development/Alumni Office</li>   <li>• DCEPS</li> <li>• Financial Aid</li> <li>• Internatl./Exchange Students</li> <li>• Student-Development Counseling</li> </ul>	<p>August 2004-December 2004</p>	<p>Give training workshops to support-unit staff on assessment in general and on how to prepare an assessment plan</p> <p>Designate persons responsible for preparing the plan in each unit</p> <p>Units that have already begun to develop their plans will complete them and begin implementation</p> <p>Give orientation and provide support to units in the process of preparing their assessment plans</p> <p>Complete assessment plan in the support units</p>	<p>DAA CAE OAP Coordinator</p> <p>Deans, Unit directors Chancellor's office</p> <p>Financial Aid Internatl./Exchange Students Student-Development Counseling Library System</p> <p>OAP, CAE DAA CAE OAP</p> <p>Dean of Students Physical facilities office Registrar DAA DGSR</p>

<sup>7</sup> The learning-assessment, institutional research, program-evaluation, and research-center-evaluation components each have their own schedule, which are included in the corresponding plan documents. This table includes the annual reports and the reports to the University Board.

Phase	Time period	Activities	Person or Unit Responsible
			Dean of Administration Development/Alumni Office DECPS
2. Execute assessment strategies, institutional level	August 2004 - December 2004	Update databases for the University Board	OAP
		Prepare reports to the Administrative Board with the updated data on areas corresponding to first semester	OAP DAA
		Part corresponding to this year of the institutional-research plan <sup>8</sup>	OAP
		Submit report to the University Board and the Committee on the Assessment of Institutional Effectiveness, as scheduled, and disseminate to units as discussed, per schedule, in the Academic Senate	OAP DAA and Acad. Senate Chancellor Deans
Strategies at institutional level	January 2005 – May 2005	Summarize data included in the annual reports from the units and prepare Campus's annual report	OAP
		Discussion Chancellor and Deans	Chancellor and Deans
Assessment strategies in the Support Units		Design assessment instruments for the Support Units	DAA OAP Coordinator
Assessment strategies in the Support Units	January 2005 – May 2005	Provide technical assistance to units in process of developing assessment techniques and instruments	DAA OAP, CAE, Coordinator Support Units
• Institutional level		Gather assessment data in the Support Units	Support Units
		Remaining reports to the University Board, discussion in the Senate and Senate Special Committee, as scheduled, and transmittal to units	OAP DAA Acad. Senate, Chancellor, Deans

<sup>8</sup> The Institutional-Research Plan has its own schedule, which is contained in the Institutional-Research Plan.

Phase	Time period	Activities	Person or Unit Responsible
		Continuation schedule Institutional Studies	OAP
3. Analysis and interpretation of outcomes: • Unit level	June 2005- August 2005	Analyze and interpret the data collected  Provide technical support to the Support Units in analyzing and interpreting outcomes	Unit directors  OAP CAE Support Units
4. Development of action plans, revision of development plans	August 2005- December 2005	Prepare action plans based on findings  Revise development plans in the light of assessment outcomes  Prepare action plans based on findings  Reports to Deans and Administrative Board	Support Units    Unit directors
5. Evaluation of implementation of the Institutional Assessment Strategies and of support units' assessment plans	November 2005- December 2005	Gather information on implementation of the Plan for the Assessment of Institutional Effectiveness and of units' plan for evaluating findings and making recommendations	DAA – Coordinator, OAP, CAE Support Units  Support Units – Deans and Directors Coordinator DAA
<b>Cycle 2:</b> 1. Development of assessment plans in the following Support Units: • Medical Services • Student Counselors Program • Services to the Handicapped • Admissions Office • Office of Physical Planning and Development • Human Resources • Communications Office • External Resources • Information Systems • Systems and Procedures	January 2005- June 2005	Cycle 1 activities repeated for new units  Institutional-assessment strategies described in Cycle 1, with variants dictated by the Institutional-Research Plan	See Cycle 1  See Cycle 1

## **EVALUATION OF THE PLAN**

In evaluating and revising the plan, the following considerations are to be taken into consideration:

1. plan's relationship to the Campus's mission, goals, and objectives
2. progress of plan's implementation
3. resources for implementation
4. assessment methods, techniques, instruments
5. findings
6. use of outcomes

The Office of the Dean of Academic Affairs, the Coordinator for the support units, and the OAP will coordinate evaluation of the plan.