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## INTRODUCTION TO INSTITUTIONAL EFFECTIVENESS

### *Office of Institutional Planning, Effectiveness and Accountability*

*The purpose of the Office of Institutional Planning, Effectiveness and Accountability is to provide leadership, training, facilitation and support to institution-wide processes for strategic planning and operational planning and, in addition, to monitor progress of goal accomplishment of the College's strategic plan and institutional effectiveness.*

A college demonstrates institutional effectiveness when its achievements and outcomes indicate how well a college's mission is being fulfilled. MCC's *Institutional Effectiveness Handbook and Plan* has been created to show the processes and resources available which exhibit how the college demonstrates its effectiveness and accountability. Measuring institutional effectiveness both quantitatively and qualitatively supports the complementary functions of institutional improvement and accountability.

#### **Our Plan:**

At MCC the assessment of institutional effectiveness is performed by offices that have content expertise: The Office of Institutional Planning, Effectiveness and Accountability, the Institutional Research Office, and the Office of Academic Assessment.

MCC monitors progress of its Strategic Plan through Compliance Assist. New strategies are entered at the beginning of each academic year. Progress is updated mid-year and at the end of the academic year. iDashboard enables MCC to quickly measure progress on important metrics and to present succinct information. It assists MCC in measurement of goals and tracks the college's performance over time in key areas.

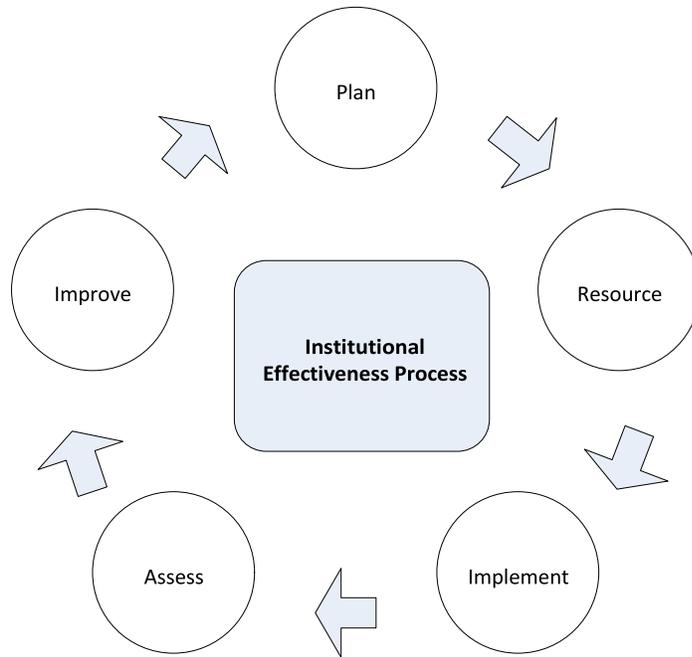
The unit assessment process for non-academic departments continues to evolve and provides for evaluation and continuous improvement at the department level. Divisions at the college have developed assessment cycles for all departments and have adopted assessment instruments that best fit their needs.

Academic Assessment is covered in *Foundations for Student Success 4.1: Closing the Assessment Loop*, the college's updated assessment plan.

## INSTITUTIONAL EFFECTIVENESS OVERVIEW

### Overview

Institutional effectiveness is when achievements and outcomes indicate how well the college's mission is being fulfilled. The purpose of the institutional effectiveness process at Monroe Community College is to demonstrate continuous improvement.



Measuring institutional effectiveness, both qualitatively and quantitatively, supports the complementary functions of institutional improvement and accountability to the communities the College serves. MCC's **Institutional Effectiveness Model** (see IEM) employs a trilateral approach for assessing the College's overall effectiveness. It embodies the College's Strategic Plan, the State University of New York (SUNY) Strategic Plan, and the Student Learning Assessment Framework. These primary planning documents are integrated into an overall institutional effectiveness model that supports the College's mission. Additional planning documents are used in support of this overall approach.

### Mission

*Monroe Community College, through access to affordable academic programs, leads excellence and innovation in higher education, inspires diverse students to transform their lives and communities, drives regional economic development, and builds global engagement and understanding.*

Through the strategic planning process and other institutional reviews, the college community and the trustees routinely reexamine the College's mission in terms of its relevancy, clarity and achievability. During the development of the College's 2017-2021 Strategic Plan, the mission statement was reviewed and updated.

## Planning Components

### □ Strategic Plan

The College's Strategic Plan is one of the primary elements of the Institutional Effectiveness Model. The plan sets forth major institution-wide strategic directions and corresponding goals. With this plan as the primary document, divisional plans and department strategies are developed on an annual basis. During the implementation and integration stages of the process, facilities enhancements, technology advances, enrollment projections and budget considerations are carefully integrated to support the plan. The implementation of the plan is routinely monitored during the duration of the plan.

The College's success is measured by a series of Key Performance Indicators which are tracked in idashboard and verify the planning document. Based upon this verification and evaluation process, planning priorities are reaffirmed and/or adjusted accordingly.

### □ SUNY Strategic Plan

SUNY was born out of a commitment to opportunity and access, and designed to meet diverse needs across a vast geographic landscape. The second primary element of the IEM, SUNY's Strategic Plan, centers around a common goal: **to revitalize New York's economy and enhance the quality of life for all its citizens.** To accomplish this, SUNY has committed its energy and resources to the realization of Six Big Ideas:

- SUNY and the Entrepreneurial Century
- SUNY and the Seamless Education Pipeline
- SUNY and a Healthier New York
- SUNY and an Energy-Smart New York
- SUNY and the Vibrant Community
- SUNY and the World

For each idea, three major initiatives are proposed whose progress will be measured over time. The plan supports the premise that by linking our resources and talents in targeted, quantifiable ways, we will chart a better path to the future for New York State and create new models of action for the world. Each campus defines campus-level outcomes that support the system-level outcomes and match the needs, mission, and intent of their campus stakeholders.

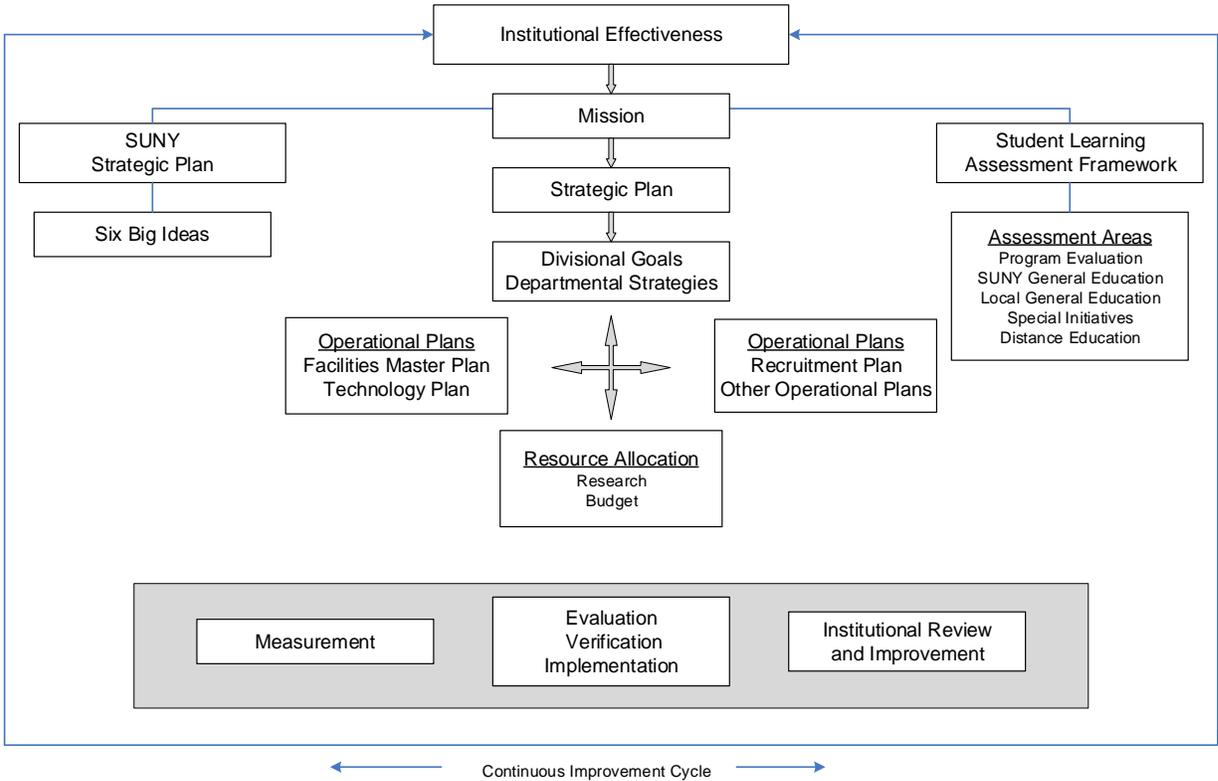
## □ **Student Learning Assessment Framework**

The third primary element in the IEM focuses upon institutional improvement with an emphasis upon teaching and learning. The assessment initiatives focus on student success to provide a systematic and integrated process for continuously improving student learning.

Recognizing that the primary purpose of assessment is continuous improvement toward achievement of student success, the college community embraces a plan that provides evaluative information necessary to monitor student achievement, growth, and development; identifies areas for improvement; documents steps aimed at strengthening programs and services; and demonstrates improvement and mission accomplishment.

Ultimately this approach builds upon itself, establishing goals in the outcomes development process which through implementation, measurement and evaluation lead to an improved institution and closes the loop.

# Monroe Community College INSTITUTIONAL EFFECTIVENESS MODEL



**Institutional Effectiveness Model**

## Components of MCC's Institutional Effectiveness Plan

### ❖ **Strategic Plan:**

Track progress on the strategic plan and goals through Compliance Assist and iDashboard. Demonstrate closing the loop and next steps

### ❖ **Administrative Unit Review:**

Establish cycles, conduct administrative unit assessments, and develop action items

### ❖ **Data Informed Decisions:**

Report on the college's various surveys, assessments (qualitative and quantitative), and national projects and completion initiatives

### ❖ **Academic Assessment:** Conduct program and general education reviews that measure learning outcomes

- Monroe Community College has developed its model of academic assessment over the course of more than a decade. Engagement with academic assessment processes by faculty and administration continues to grow in scope and sophistication, as both constituencies better understand the purpose of completing assessment and the various means by which assessment results can be applied. (See *Foundations for Student Success 4.1: Closing the Assessment Loop*).
- The College's Office of Academic Assessment maintains the institution's schedule for academic assessment projects.
- In September 2010, the Faculty Senate demonstrated its full commitment to academic assessment by authorizing the formation of a standing subcommittee: College Assessment and Program Evaluation (CAPE). Organized under the Faculty Senate Curriculum Committee, CAPE is charged with the creation and review of policies and processes related to academic assessment.

## PLANNING DEFINITIONS AND COMPONENTS

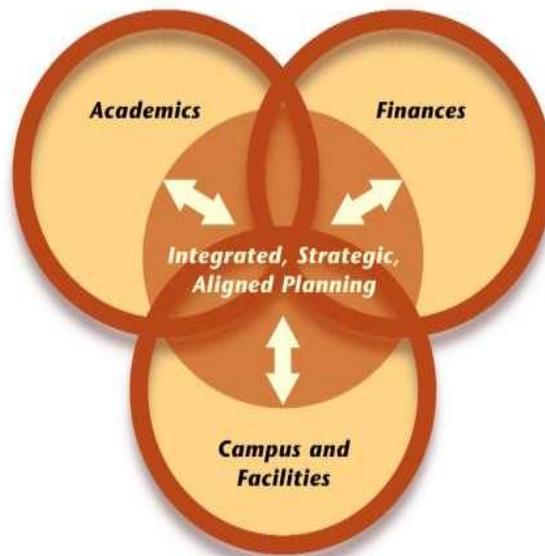
### Integrated Planning

Integrated planning is the process whereby all planning and budget activities throughout every level of the organization are effectively linked and coordinated, and are driven by the institution's vision, mission, and academic priorities (SCUP-42 Pre-conference Workshop, Doug Dawson, Art Quinney, Philip Stack).

While planning is a basic responsibility of all leaders and managers, much can be overlooked if not viewed from an integrated perspective. Integrated planning is the linking of vision, priorities, people, and the physical institution in a flexible system of evaluation, decision-making and action. It shapes and guides the entire organization as it evolves over time and within its community.

Figure 2.1

### *Integrated, Strategic, Aligned Planning*



Source: SCUP Planning Institutes.

### Strategic Planning

Strategic planning (SP) is a means of establishing major directions for the future. Through SP, resources are concentrated in a limited number of major directions in order to maximize benefits to stakeholders – those we exist to serve. Those stakeholders include students, taxpayers, county and state funding agencies, and society, as well as internal stakeholders such as faculty and staff. SP provides the basis for all other planning. It is intended to convey to the stakeholders the thrust and nature of the institution.

## **Operational Planning**

Operational planning primarily affects the day-to-day implementation of strategic decisions. While strategic decisions usually have longer-term implications, operational decisions *usually* have immediate (less than one year) or incremental (year 1, year 2, etc.) implications.

Operational planning assumes much more detailed planning regarding what, when and by whom activities will be accomplished. Types of operational plans are: Academic Plan, Technology Plan, Master Plan (facilities), Sustainability Plan, Enrollment Management Plan.

## **(Facilities) Master Plan**

A Master Plan is a document that describes an overall physical (facilities) development concept through maps and narrative. The Facilities Master Plan documentation reflects a strategy to provide the facilities that support the college's mission.

## **PARTS OF THE STRATEGIC PLAN**

### **Vision Statement**

All strategic plans involve a vision statement. A vision statement is a compelling, conceptual image of the desired future. The vision serves as a focal point for the institution.

A vision should inspire and challenge.

- It is a critical ingredient for change.
- It represents a global, continual purpose.
- It electrifies and invigorates.
- It is the ultimate standard toward which all progress is measured.
- Its structure is less important than its effect on the values and behaviors.

#### **Vision Criteria:**

- Brief and memorable
- Inspiring and challenging
- Descriptive of the ideal
- Appealing to employees, customers and stakeholders
- Descriptive of future service levels
- Idealistic, standing above the commonplace
- Enduring

### **Mission Statement**

- Declares organization purpose
- Who we are
- Distinctiveness
- Values and Culture

### **Mission Criteria:**

- Succinct - Can you say it in one breath?
- Meaningful - Does it say anything of substance?
- Distinctive - Can the same be said of your competition?
- Motivational - Does it make you want to come to work?

### **Core Values**

Core values are those values we hold which form the foundation on which we perform work and conduct ourselves. For example: Excellence is a value. Curriculum, assessment, shared vision and mission are not values, they can be *valued*.

### **Strategic Directions**

Strategic directions emanate from the “strategic thinking” phase of the process. They are an outgrowth of the environmental scanning, mission review, SWOT analysis, and assumptions that evolve. They identify the critical directions the college desires to pursue in a more general and overarching nature.

### **Goals**

Goals provide a framework for more detailed levels of planning. Goals are more specific than the mission statement, but remain general enough to stimulate creativity and innovation. Goals indicate the general changes that will take place. Goals describe the “to be” state. (SMART Goals – Specific, Measurable, Attainable, Relevant, Time-bound.) A baseline might need to be established in order to measure progress.

### **Criteria:**

- Goals are in harmony with and clarify the vision and processes.
- Goals tend to remain essentially unchanged until there is a shift in the environment in which they were created or the desired outcome has been achieved.
- Goals encompass a relatively long period. If a goal can be accomplished in fewer than three years, it may be an objective.
- Goals address the gaps between the current and the desired level of service.
- Goals are challenging, but realistic and achievable.

### **Objectives**

Objectives are the next level down from a goal and provide a more detailed level of planning.

### **Strategies**

Strategies, sometimes referred to as action steps, are statements of what steps will be taken to accomplish the goal.

## Tools Utilized in Developing a Strategic Plan

During the Strategic Thinking phase of the planning process a large amount of information and data is collected through focus groups, interviews (both internal and external), surveys, and selected readings. This information is then analyzed in a variety of ways.

### PEST Analysis

A PEST analysis is a technique that looks at the political, economic, social, and technological factors. It is often done prior to a SWOT analysis. The PEST factors combined with external micro environmental factors can be classified as opportunities and threats in a SWOT analysis.

### SWOT Analysis

SWOT is a technique for gathering information for the strategic planning processes. SWOT information (Strengths, Weaknesses, Opportunities and Threats) provides data to accurately determine current performance. SWOT information provides a foundation for effectively and intelligently setting goals and priorities and making key decisions for the group's future.

Strengths and Weaknesses examine the *internal environment* of the community. Opportunities and Threats focus on the *external environment* affecting the group. The external environment can include industry, competitors, economic, social, political and organization-specific information.

### GAP Analysis

GAP analysis is a technique for determining the steps to be taken in moving from a current state to a desired future-state.

### Questions to Consider when Developing Plans

As we think about planning for the future, we need to consider these **four key** questions which are tied around our vision, mission and purpose:

- Whom do we wish to serve?
- What programs and services will reinforce our distinctive image?
- How do we want to be perceived?
- How will we know we are succeeding?

In addition, the following should be considered:

- Where are we now?
- Where do we want to be in the future?
- What will we do to get to our desired future?
- How will we measure our progress along the way?

## Planning, Budget and Assessment Integration

Every effort must be made to ensure that processes work together (integration) and support each other. Progress needs to be assessed in terms of how it is helping toward achieving what we set out to accomplish and improve those areas that are not working properly.

Good practices always include budget considerations (integration) when conducting strategic planning. Strategic plans chart a direction, while the budget provides the resources to implement the plans. A strategic plan that ignores fiscal reality will not be realized. Conversely, resource allocation without strategic thinking is shortsighted and will be unresponsive to future conditions. Strategic planning is especially important with long-term budgeting since resource needs must be anticipated years in advance.

Strategic planning guides the budget process. It establishes priorities and affords an opportunity to reevaluate existing allocations of funds. Strategy steps (action steps) are developed that detail what will be accomplished to achieve goals and objectives each year. These strategies, together with outcome measures provide the strongest links between the operating and capital outlay budgets.

Planning and budgeting are interactive. The assessment component of the strategic planning process is valuable in identifying trends, demand factors and strategic issues to support budget development. Assumptions about available resources affect what can be achieved and help set priorities for resource allocation.

### Current approaches to measurement (assessment):

- **Benchmarking:** When organizations want to improve their performance, they *benchmark*. That is, they compare and measure themselves against identified 'peers' – both a realistic list of similar institutions, as well as "wannabes" or aspirational peers – those one step up whom we can realistically compete with if we're smart. Internal benchmarking can be done as long as the campus understands and basically buys the measures.
- **Balanced scorecard:** This identifies areas of desired accomplishment. It primarily uses surveys and focus groups in order to measure satisfaction, value, people's perceptions, how are they feeling about your services.
- **Dashboard indicator:** A dashboard system is a tool that allows you to unify your data, build reports and show your results.
- **Key performance indicator:** A KPI is a quantifiable measurement, agreed to beforehand, that reflects the critical success factors of an organization.
- **Critical success factor:** This is the numerical representation of what you aspire to be that allows you to identify points that are of particular importance, measurable and concrete. For example, 5% more of something. Done at institutional level and unit level.

## INSTITUTIONAL EFFECTIVENESS

Institutional effectiveness is the systematic, explicit, and documented process of measuring performance against mission in all aspects of an institution.

When assessing institutional effectiveness, Middle States looks for:

1. Developing clearly articulated written statements, expressed in observable terms, of key institutional and unit-level goals that are based on the involvement of the institutional community. For example: MCC will increase completion rates to 30% by 2015.
2. Designing intentional objectives or strategies to achieve those goals.
3. Assessing achievement of those key goals, and
4. Using the results of those assessments to improve programs, with appropriate links to the institution's ongoing planning and resource allocation processes (**Integrated Planning**). (*Characteristics of Excellence in Higher Education and Requirements of Affiliation*)

The effectiveness of an institution rests upon the contribution that each of the institution's programs and services make toward achieving the goals of the institution as a whole.

## STRATEGIC PLAN



### Monroe Community College

STATE UNIVERSITY OF NEW YORK

## Charting the Course: Monroe Community College's 2017-2021 Strategic Plan

### VISION:

Monroe Community College will be the nationally recognized leader in championing equity, opportunity, innovation, and excellence while transforming students' lives and communities.

### MISSION:

Monroe Community College, through access to affordable academic programs, leads excellence and innovation in higher education, inspires diverse students to transform their lives and communities, drives regional economic development, and builds global engagement and understanding.

### CORE VALUES:

➤ **MCC values integrity.**

We believe in promoting an environment of honesty and authenticity, in being accountable and ethically responsible for our policies and actions, and in exemplifying a high standard of civility.

➤ **MCC values excellence.**

We pursue and develop the highest educational standards by encouraging creativity and risk-taking; by continuously assessing and improving programs, services, and policies; and by exceeding learner and community expectations.

➤ **MCC values empowerment.**

We are committed to supporting learners as they develop the skills to overcome obstacles on their paths to intellectual, professional, and personal growth.

➤ **MCC values inclusiveness.**

We nurture an institutional culture that ensures fairness and equity for all, while respecting and leveraging our diversity.

➤ **MCC values collaboration.**

We encourage meaningful partnerships among colleagues, departments, and divisions within MCC as well as with local, regional, and global communities.

➤ **MCC values stewardship.**

We are accountable to our stakeholders for responsible management of the human, fiscal, physical, and environmental resources and information entrusted to us.

## **DIRECTION ONE: LEARNING FIRST**

The promise of Monroe Community College is to provide an innovative, supportive, and collaborative learning environment that includes high-impact practices. Our commitment to learner success is strengthened through responsive curricular design and meaningful academic assessment. We are committed to providing students with guided, intentional pathways through the MCC Schools to aid students in achieving their individual goals.

**Goal 1:** Promote the development of general education knowledge, skills, and competencies.

**Goal 2:** Advance online, applied, and experiential learning opportunities for current and prospective students.

**Goal 3:** Leverage information from academic assessment to inform decisions, resource allocation, and improvements in curriculum, teaching, learning, and educational environments.

### **Assumptions:**

- Teaching excellence will continue to be a hallmark of the College.
- Commitment to individual academic goal accomplishment will continue to be a College priority.
- Faculty and staff will possess the cultural competence necessary to respond to the unique needs of diverse learners.
- Collaborative teaching and learning strategies will help students learn, persist, and succeed.
- Demand will grow for more non-traditional and flexible course schedules as well as varied instructional methods.
- Online offerings will increase in number as more programs approach fully-online status.
- Online courses and programs will meet or exceed expectations outlined in the Open SUNY Course Quality Review (OSCQR) Rubric and Process.

- Experiential course offerings will increase in number so that more students are afforded these opportunities within their first two years of college, per the SUNY Chancellor's priorities.
- Curriculum design, pedagogical practice, and evolving technology will be used to optimize student learning.
- Global education will continue to be a priority.

## **DIRECTION TWO: STUDENT SUCCESS**

Monroe Community College, an open-access institution, is committed to the success of a diverse student population, supporting the attainment of students' educational, career, and personal goals. We provide students with comprehensive support services, co-curricular programming, and guided, intentional pathways through the MCC Schools from readiness to completion. The College values partnerships and strategic alliances with not-for-profit, private, and public sector entities that support educational initiatives. Our partnerships and collaborations, both external and internal, build relationships that help leverage learner success and program quality.

**Goal 1:** Improve retention and completion rates for all degree/certificate seeking students.

**Goal 2:** Promote student engagement within the MCC Schools to identify career and transfer pathways.

**Goal 3:** Increase student fall-to-fall persistence rates.

**Goal 4:** Pursue strategic partnerships to strengthen the educational pipeline and to assist learners in attaining their career goals.

**Assumptions:**

- Retention will be an institutional priority.
- Students will be empowered and responsible partners in their educational success.
- The College community will embrace and play an active role in promoting student success.
- Collaboration across College divisions, integral to the Schools model, will provide a support matrix to improve student retention and completion.
- The Schools model will offer structured, navigable academic pathways for all students, providing contextualized and relevant learning.
- The College is committed to supporting the needs of diverse learners with a variety of traditional and non-traditional educational offerings that lead to the achievement of students' educational, career, and personal goals.
- The College will be committed to a student-centered environment that includes both academic and co-curricular programs.
- The College will implement the Strategic Enrollment Management Plan.
- Technology will support student success through intentional outreach and an institutional commitment of appropriate resources.
- Students will explore career options in their program of study, including established milestones that provide students achievable short-term goals.

- Performance-based funding will be tied to student success.
- The community will expect MCC to collaborate with area school districts to prepare students for college in new and innovative ways.
- Strategic partnerships with community-based organizations will allow the College to better support learners in attaining their career goals.
- As efforts to consolidate educational resources within SUNY are encouraged, MCC will benefit from external partnerships in order to develop and sustain programs.
- The College will need to identify and serve new markets as the population of traditional high school graduates declines.
- MCC's programs and services will encourage connections among students, faculty, administration, support staff, mentors, and campus clubs/activities.

## **DIRECTION THREE: CAREER PATHWAYS AND REGIONAL ECONOMIC DEVELOPMENT**

Monroe Community College is committed to developing a highly-skilled workforce which is critical to the economic development and competitive vitality of the Finger Lakes region. Collaborating with business and industry, the College must be responsive and flexible in its curriculum delivery to meet evolving workforce and employer needs. Partnerships and collaborations contribute to the overall economic health of the region and enrichment of the academic experience. Students will be better served through a career pathways framework, an institutional approach that actively structures and aligns programs with support services.

- Goal 1:** Enhance institutional capacity to forecast workforce needs and align resources and programs to meet these requirements.
- Goal 2:** Increase academic and workforce training programs that are industry-driven, relevant, and responsive to community needs.
- Goal 3:** Increase the number of learners exploring, choosing, and completing career technical and STEM (Science, Technology, Engineering, and Mathematics) pathways.
- Goal 4:** Promote regional economic vitality through diverse partnerships including those in community, business, and industry.

### **Assumptions:**

- The demand for middle-skills workers will grow across the region.
- MCC will be looked upon as the primary institution expected to address skill gaps emerging within the local workforce to respond quickly and creatively to business development needs by providing well-trained, qualified workers.
- Use of labor market intelligence and analytics will continue to grow in importance for understanding and documenting the workforce needs of a regional economy.
- Students will be better served with an institutional approach that actively structures and aligns programs and support services to locally documented labor market needs.
- Cohort-based learning models will continue to be seen as an effective instructional strategy.
- MCC will continue to explore opportunities for programs that would draw learners from beyond the immediate community and provide extended access to education and training.
- Career technical education programs will continue to be more expensive to administer and operate than traditional academic programs.

- Developing a pipeline of interested and academically-ready candidates will continue to be a challenge.
- The College will continue to provide leadership in producing, compiling, and sharing local labor market information.
- Support for entrepreneurship will grow in importance for the region's economic development.
- The increased demand for skilled workers will require working beyond the traditional academic model to new program delivery methods that modularizes curricula, expands delivery of programming, accelerates time to completion, and actively links graduates to relevant occupations.
- Securing substantive funding at the federal and state level for the Finger Lakes region's workforce investment strategies will continue to be highly competitive and require inter-institutional collaboration.
- Partnerships will be valuable for increasing enrollment in the College's credit and non-credit programs and in supporting local workforce needs.
- Investments in community partnerships will be prioritized and measured based on their anticipated impact, value, and cost to the College.
- As MCC's stature as a higher education leader continues to grow, more organizations and institutions will look to us for guidance and collaboration.

## **DIRECTION FOUR: ORGANIZATIONAL CULTURE**

Monroe Community College will promote a culture of excellence through a shared commitment to our values and mission. MCC will invest in the College's employees to enhance their commitment and capacities to promote and support the success of our students. The College will succeed with motivated and highly skilled employees. Our values are consistent with sustaining an educational environment and workplace that is diverse, inclusive, respectful, civil, equitable, and fair.

**Goal 1:** Foster a culture that promotes openness, trust, collaboration, accountability, and mutual respect that is shared among students, faculty, staff, and administrators from a range of diverse backgrounds, ideas, and perspectives to enhance student learning and related outcomes and institutional improvement.

**Goal 2:** Develop and implement diversity and inclusion practices focused on recruitment, retention, campus climate, and student success.

**Goal 3:** Further our commitment to talent and knowledge management practices and timely search processes, which include recruiting, retaining, developing, recognizing, and empowering a diverse workforce at all levels.

### **Assumptions:**

- Shared governance will continue to be a best practice.
- All MCC employees will work collaboratively to achieve our shared goal of helping our students succeed.
- MCC will enhance openness, communication, and cross-functional collaboration.
- Change-management strategies will be implemented to facilitate institutional transitions.
- As we continue to experience budgetary constraints, institutional efficiencies in staffing will require continuous cross-functional training and deployment.
- Successes will be recognized and celebrated.
- Diversity and inclusion will remain institutional priorities.
- Employees will continue to delay their retirement plans.
- MCC will ensure that part-time/adjunct employees are engaged and supported.
- MCC will ensure equitable and fair hiring practices.
- MCC will work to limit the length of interim appointments.
- MCC will continue to invest in professional development.

## **DIRECTION FIVE: INSTITUTIONAL EFFECTIVENESS**

Through inquiry, evidence-based analysis, and fiscal accountability, the institution's planning processes, resources, and structures are aligned with each other and structured to support and enhance the student experience. Institutional effectiveness requires purposeful allocation of resources; strategic investment in technology, infrastructure, and facilities; and continuous assessment and improvement in programs and services.

**Goal 1:** Advance institutional effectiveness and organizational efficiency through planning, assessment, and evidence-based decision making across every division in support of the College's mission and goals.

**Goal 2:** Implement judicious resource allocation strategies based on institutional priorities in alignment with current and emerging fiscal reality.

### **Assumptions:**

- Expectations of accreditors, funders, and governmental agencies will include systematized evaluations and accountability in all areas of the College.
- Reauthorization of the Federal Higher Education Act will increase compliance demands.
- MCC will provide an affordable, accessible, quality education.
- Effective use of College resources is crucial to institutional performance.
- Traditional sources of revenue will be declining; thus, sustaining the College's budget will require resource flexibility, creativity, and efficiency from the College community.
- It is anticipated that future funding models will reflect performance-based criteria.
- Greater selectivity will be required when investing in College infrastructure including clear understanding of return on investment, cost-benefit analysis, and impact on stakeholders.
- Sustainability initiatives and energy conservation will remain a priority for our community.
- Decision-making processes for commitment of resources will utilize criteria that are widely known and connected to the institutional planning process, assessments, and priorities.
- The College will benchmark internal offerings and operations against those of competing institutions and community expectations.
- MCC will continue to set aside appropriate financial resources to facilitate partnerships and collaborations.

## **MONROE COMMUNITY COLLEGE**

### **Strategic Planning Process**

#### **STAGE I – STRATEGIC THINKING**

During the strategic thinking process, the team addresses the following:

**Methodology:**

- Analysis of Culture
- Internal and external environment and trends
- PEST and SWOT Analyses
- Mission Review
- Planning Assumptions

#### **STAGE II – DIRECTION & GOAL DEVELOPMENT**

During this stage the team establishes a set of strategic directions and corresponding goals for the College for the duration of the plan. Action steps for implementation are not included in the plan, but are determined by individual College divisions and departments during Stage III.

**Methodology:**

Step I	Draft Directions and goals
Step II	Present <i>DRAFT</i> to Trustees and College Community
Step III	Respond to Feedback
Step IV	Identify Benchmarks and Key Performance Indicators
Step V	Finalize and Submit to Faculty Senate
Step VI	Submit Plan to President and College Officers
Step VII	Adoption by Board of Trustees

#### **STAGE III – IMPLEMENTATION AND INTEGRATION**

Step I	Institutional Endorsement
Step II	Identify focus areas for year
Step III	Develop Strategies at Divisional and Departmental Level
Step IV	Integrate Planning and Budget

#### **STAGE IV – MONITOR AND EVALUATE (Demonstrate Impact)**

Step I	Communicate with stakeholders
Step II	Monitor Implementation Plan
Step III	Monitor progress/impact (Assess)
Step IV	Revise if necessary
Step V	Utilize results for continuous improvement
Step VI	Communicate accomplishments and celebrate success

## Strategic Planning Timeline 2017-2021

*Fall 2015-16*

### *PREPARATION & PLANNING STAGE*

Develop Timeline & Process  
Approval of Planning Team by President  
Orient Planning Team

*Winter/Spring  
2015- 16*

### *STRATEGIC THINKING*

December – May

Planning Team Tasks:

- Analysis of Culture
- Environmental Scanning & Analysis
- Gather other input as necessary ○ Coordinate and charge sub-committees as needed
- PEST & SWOT Analyses
- Mission and Vision Review/update
- Review/update Directions
- Review/update Planning Assumptions
- Review/update Goals
- Communicate progress to College community at appropriate times

*Summer/Fall  
2016*

### *STRATEGIC DIRECTIONS & GOAL DEVELOPMENT*

June – October

Planning Team Tasks:

- Finalize Assumptions
- Finalize Directions & Goals
- Solicit Reaction from College Community
- Present Draft to College Officers and Board of Trustees

*Fall 2016*

*DIRECTIONS & GOALS & MEASURES FINALIZED*

Nov - Dec

Planning Team Tasks:

- Review College feedback and incorporate into Directions and Goals
- Identify Benchmarks and Key Performance Indicators
- Faculty Senate Review/Vote
- President & College Officers Final Review

December

Adoption by Trustees

*Winter 2017*

*STRATEGIES AND ACTION PLANS DEVELOPED*

Dec. – Jan.

Identify any focused areas for the academic year  
Update strategies and action plans as appropriate  
Integrate planning and budgeting

*Ongoing*

*DEMONSTRATE IMPACT (CONTINUOUS IMPROVEMENT)*

Quarterly

Planning Council Tasks:

- Communicate with stakeholders
- Monitor Implementation Plan
- Monitor progress/impact (Assess)
- Revise if necessary
- Utilize results for continuous improvement
- Communicate accomplishments and celebrate successes

## Writing SMART Goals

A goal is an observable and measurable end result, having one or more strategies to be achieved within a more or less fixed timeframe. Departmental goals and strategies should align with a college goal and/or divisional priority. SMART goals are: Specific, Measurable, Achievable, Results focused, and Time bound.

- Goals should clearly define what you plan on doing. Specific is the what, why, and how of the SMART model.
  - Example: By December 31, 2019, implement a new performance review system for faculty and professional staff (**what**) using clearly defined processes and guidelines (**how**) so employees and supervisors can more competently evaluate performance and develop their careers (**why**).
- Goals should be measurable so that you are held accountable and have tangible evidence that you have accomplished the goal.
- Goals should be realistic and attainable.
- Goals that are results-focused measure outcomes, not activities.
- Goals should be grounded within a timeframe that creates a practical sense of urgency.

## **COMPLIANCE ASSIST**

### **TRACKING SP: Compliance Assist - Planning**

The Planning module within Campus Labs' Compliance Assist offers many valuable capabilities:

- Produce strategic planning documents and strategy outcomes assessment reports through a user-friendly interface, custom-created for MCC.
- Each component of the site is customized to suit our strategic planning model, processes, and terminology.
- All documentation is stored electronically on a secure website that can be accessed anytime, anywhere.
- Reports can be printed by the entire college, division, department or SP goal.
- Personalized role-based dashboard displays goals, strategies, and reports assigned to each user.

## Strategy Worksheet

Section I: To create a strategy, complete the fields below.

**Strategy Title (an abbreviated version of your strategy statement):**

**Start Date:**

**End Date**

**Department:**

**Person Responsible for strategy:**

**Strategy Statement (A good strategy tells us WHAT will be done within your department to address the 2017 – 2021 Strategic Plan goal the strategy relates to):**

**Strategic Plan Goal(s) this strategy relates to:**

**Comments/Tasks Associated with Strategy (Not required – can be completed before or after determining the Performance Measure)**

Section II: This section can be completed at a later date with assistance from Institutional Research if necessary.

**Performance Measure (Quantitative or Qualitative) (Description of how you will measure the outcomes of the goal from your strategy)**

**Baseline (as-is state of strategy)**

**Target (Desired Outcome)**

**Section III: This section is to be completed upon completion of the strategy or when progress reports are requested.**

**Review/Assessment (Assess achievement of your strategy – did you accomplish what you planned?)**

**Evaluate (Description of how you will use the results of your assessment. When completing this section, think what the next steps are. The loop/strategy has been closed – how are you moving into the next loop?)**

**Example of Strategy Worksheet – Academic Services**

**Quantitative**

**Section I: To create a strategy, complete the fields below.**

**Strategy Title (an abbreviated version of your strategy statement):**

Cultivate Partnerships

**Start Date:**

7/1/2017

**End Date**

6/30/2018

**Department:**

New World Mathematics

**Person Responsible for strategy:**

Isaac Jay Newton

**Strategy Statement (A good strategy tells us WHAT will be done within your department to address the 2017 – 2022 Strategic Plan goal the strategy relates to):**

The New World Mathematics Department will partner with Acme Inc. to create a strategic alliance to help students in Einstein School No. 1905 minimize their need for remedial mathematics by purchasing licenses to NewMTH math tutor program and creating a computer lab staffed with 30 computers and a full-time staff for 5 years

**Strategic Plan Goal(s) this strategy relates to:**

Goal 2.4 Pursue strategic partnerships to strengthen the educational pipeline and to assist learners in

**Comments/Tasks Associated with Strategy (Not required – can be completed before or after determining the Performance Measure)**

Need to establish a liaison from New World Mathematics to work with the PC Networking department to keep abreast of the project.

Section II: This section can be completed at a later date with assistance from Institutional Research if necessary.

**Performance Measure (Quantitative or Qualitative) (Description of how you will measure the outcomes of the goal from your strategy)**

Percent of entering class from Einstein School No. 1905 who needs remedial math

**Baseline (as-is state of strategy)**

83%

**Target (Desired Outcome)**

75%

Section III: This section is to be completed upon completion of the strategy or when progress reports are requested.

**Review/Assessment (Assess achievement of your strategy – did you accomplish what you planned?):**

This was the first year that the partnership with Acme Inc. was implemented. All of the computers and software was in place and the full-time staff was hired.

The first cohort to take the math placement after utilizing the NewMTH tutor program showed that only 78% need remediation. This is an improvement from the baseline, but we failed to reach our target by 3-percentage points.

**Evaluate (Description of how you will use the results of your assessment. When completing this section, think what the next steps are. The loop/strategy has been closed – how are you moving into the next loop?)**

Analysis of the data has shown that students who spent at least 10 hours per week on NewMTH software were not place in remedial math. Our next objective is to create a time schedule with Einstein School No. 1905 to allow students to use NewMTH for at least 10 per week.

**STRATEGY WORKSHEET**

**Example: Qualitative – Academic Services**

**Section I: To create a strategy, complete the fields below.**

**Strategy Title (an abbreviated version of your strategy statement):**

Improve fall-to-fall Retention Rates

**Start Date:**

9/1/2017

**End Date**

12-24-2018

**Department:**

Innovation for Students

**Person Responsible for strategy:**

John Smith

**Strategy Statement (A good strategy tells us WHAT will be done within your department to address the 2017 – 2022 Strategic Plan goal the strategy relates to):**

Implement the School Pathways model the will place students on a path towards a degree upon entering MCC.

**Strategic Plan Goal(s) this strategy relates to:**

Goal 2.3: Increase student fall-to-fall persistence rates.

**Comments/Tasks Associated with Strategy (Not required – can be completed before or after determining the Performance Measure)**

Section II: This section can be completed at a later date with assistance from Institutional Research if necessary.

**Performance Measure (Quantitative or Qualitative) (Description of how you will measure the outcomes of the goal from your strategy)**

The actual implementation of the School Pathways model

**Baseline (as-is state of strategy)**

No Pathways Model

**Target (Desired Outcome)**

Pathways Implemented

Section III: This section is to be completed upon completion of the strategy or when progress reports are requested.

**Review/Assessment (Assess achievement of your strategy – did you accomplish what you planned?)**

The School Pathways initiative was started fall 2017.  
89% of the incoming student class for fall 2017 was placed into a pathway.

**Evaluate (Description of how you will use the results of your assessment. When completing this section, think what the next steps are. The loop/strategy has been closed – how are you moving into the next loop?)**

Faculty and students have responded well to the new pathway system. We need to develop a consistent training process for adjunct faculty. Since retention rates won't be known until a year later, we won't know if it has benefited retention rates. It may be useful to also look at fall-to-spring persistence rates in addition to fall-to-fall retention.

**Example of Strategy Worksheet – Administrative Services**

**Quantitative**

**Section I: To create a strategy, complete the fields below.**

**Strategy Title (an abbreviated version of your strategy statement):**

Assessment Tracking

**Start Date:**

7/1/2017

**End Date**

6/30/2018

**Department:**

Institutional Planning, Effectiveness, and Accountability

**Person Responsible for strategy:**

John Smith

**Strategy Statement (A good strategy tells us WHAT will be done within your department to address the 2017 – 2022 Strategic Plan goal the strategy relates to):**

The New World Mathematics Department implement a new compliance assist assessment system and will work with individual office on campus and ensure that 100% of the departmental assessment reports are completed and entered into the system.

**Strategic Plan Goal(s) this strategy relates to:**

Goal 5.1 Advance institutional effectiveness and organizational efficiency through planning, assessment, and evidence-based decision making across every division in support of the College’s mission and goals.

**Comments/Tasks Associated with Strategy (Not required – can be completed before or after determining the Performance Measure)**

Section II: This section can be completed at a later date with assistance from Institutional Research if necessary.

**Performance Measure (Quantitative or Qualitative) (Description of how you will measure the outcomes of the goal from your strategy)**

Percent of assessments completed and entered into compliance assist on time.

**Baseline (as-is state of strategy)**

**Target (Desired Outcome)**

Section III: This section is to be completed upon completion of the strategy or when progress reports are requested.

**Review/Assessment (Assess achievement of your strategy – did you accomplish what you planned?):**

This was the first year that the compliance assist system was fully online. 100% of assessment documents have been uploaded into the system.

**Evaluate (Description of how you will use the results of your assessment. When completing this section, think what the next steps are. The loop/strategy has been closed – how are you moving into the next loop?)**

Analysis of the information indicated that 100% of departments uploaded their assessment documents to the compliance assist system. In the near future a new compliance assist upgrade will require additional training in the departments and this could impact upload rates.

**STRATEGY WORKSHEET**

**Example: Qualitative – Administrative Services**

**Section I: To create a strategy, complete the fields below.**

**Strategy Title (an abbreviated version of your strategy statement):**

Work Efficiency

**Start Date:**

9/5/2017

**End Date**

12-24-2017

**Department:**

Facilities

**Person Responsible for strategy:**

John Smith

**Strategy Statement (A good strategy tells us WHAT will be done within your department to address the 2017 – 2022 Strategic Plan goal the strategy relates to):**

Implement the Acme work order tracking system to identify when work orders come in and when they are completed.

**Strategic Plan Goal(s) this strategy relates to:**

Goal 5.2: Implement judicious research allocation strategies.

**Comments/Tasks Associated with Strategy (Not required – can be completed before or after determining the Performance Measure)**

Section II: This section can be completed at a later date with assistance from Institutional Research if necessary.

**Performance Measure (Quantitative or Qualitative) (Description of how you will measure the outcomes of the goal from your strategy)**

The actual implementation of the work order tracking system

**Baseline (as-is state of strategy)**

No tracking system

**Target (Desired Outcome)**

Functioning system

Section III: This section is to be completed upon completion of the strategy or when progress reports are requested.

**Review/Assessment (Assess achievement of your strategy – did you accomplish what you planned?)**

The system was purchased on September 5, 2017 and was up and working 5 days later.  
100% of the work orders for fall 2017 went through the new tracking system

**Evaluate (Description of how you will use the results of your assessment. When completing this section, think what the next steps are. The loop/strategy has been closed – how are you moving into the next loop?)**

The tracking system has allowed the office to track the number of request and the time it takes to fulfil those requests. Tracking the work orders has also been beneficial in projecting the times of the year that are the busiest in terms of work orders and where on campus those orders are concentrated.

**Example of Strategy Worksheet - EDIWS**

**Quantitative – EDIWS**

**Section I: To create a strategy, complete the fields below.**

**Strategy Title (an abbreviated version of your strategy statement):**

Client Contracts

**Start Date:**

7/1/2017

**End Date**

6/30/2018

**Department:**

Resource Development

**Person Responsible for strategy:**

John Smith

**Strategy Statement (A good strategy tells us WHAT will be done within your department to address the 2017 – 2022 Strategic Plan goal the strategy relates to):**

The Resource Development office will work with local agencies to increase the number of client contracts for training from a baseline of 100 to 140 by the end of the academic year.

**Strategic Plan Goal(s) this strategy relates to:**

Goal 3.2 Increase academic and workforce training programs that are industry-driven, relevant, and responsive to the community needs.

**Comments/Tasks Associated with Strategy (Not required – can be completed before or after determining the Performance Measure)**

Need to maintain contact with current clients and reach out to those not currently served.

Section II: This section can be completed at a later date with assistance from Institutional Research if necessary.

**Performance Measure (Quantitative or Qualitative) (Description of how you will measure the outcomes of the goal from your strategy)**

Number of client contracts at the end of the academic year

**Baseline (as-is state of strategy)**

100

**Target (Desired Outcome)**

140

Section III: This section is to be completed upon completion of the strategy or when progress reports are requested.

**Review/Assessment (Assess achievement of your strategy – did you accomplish what you planned?)**

At the end of the current academic year MCC has 142 client contracts for training.

**Evaluate (Description of how you will use the results of your assessment. When completing this section, think what the next steps are. The loop/strategy has been closed – how are you moving into the next loop?)**

The current process of increasing the number of client contracts seems to be effective. There appears to be room for future growth as more industries come to the area and we identify more occupational areas with demand

**STRATEGY WORKSHEET**

**Example: Qualitative – EDIWS**

**Section I: To create a strategy, complete the fields below.**

**Strategy Title (an abbreviated version of your strategy statement):**

Workforce Information

**Start Date:**

9/5/2017

**End Date**

12-24-2018

**Department:**

Workforce Development

**Person Responsible for strategy:**

John Smith

**Strategy Statement (A good strategy tells us WHAT will be done within your department to address the 2017 – 2022 Strategic Plan goal the strategy relates to):**

Using the labor market information identify areas of the workforce that are growing and represent opportunities for program creation.

**Strategic Plan Goal(s) this strategy relates to:**

Goal 3.1: Enhance institutional capacity to forecast workforce needs.

**Comments/Tasks Associated with Strategy (Not required – can be completed before or after determining the Performance Measure)**

Section II: This section can be completed at a later date with assistance from Institutional Research if necessary.

**Performance Measure (Quantitative or Qualitative) (Description of how you will measure the outcomes of the goal from your strategy)**

Identification of labor market areas that have a demand not being fully met.

**Baseline (as-is state of strategy)**

Current Labor Market analysis

**Target (Desired Outcome)**

Improved forecast

Section III: This section is to be completed upon completion of the strategy or when progress reports are requested.

**Review/Assessment (Assess achievement of your strategy – did you accomplish what you planned?)**

The labor market information is in constant flux as supply and demand changes within the Finger Lakes region. Using the most current information allows the division to ensure that current market needs are being met and that our programs are beneficial.

A new analysis of this region was completed and program resources were allocated accordingly.

**Evaluate (Description of how you will use the results of your assessment. When completing this section, think what the next steps are. The loop/strategy has been closed – how are you moving into the next loop?)**

The labor market information is an invaluable tool and allows the division to align its resources to meet current and future demands. I foresee us using this information for the foreseeable future and will continue to evaluate our programs accordingly.

**Example of Strategy Worksheet – Student Services**

**Example: Quantitative**

**Section I: To create a strategy, complete the fields below.**

**Strategy Title (an abbreviated version of your strategy statement):**

Increase Completed Applications

**Start Date:**

7/1/2017

**End Date**

6/30/2018

**Department:**

Admissions

**Person Responsible for strategy:**

John Smith

**Strategy Statement (A good strategy tells us WHAT will be done within your department to address the 2017 – 2022 Strategic Plan goal the strategy relates to):**

The Admissions office will increase the number of completed applications to MCC by 1,500 by the end of the academic year. This will require purchasing more names from third party vendors such as Acme Inc. in order to increase the inquiry pool

**Strategic Plan Goal(s) this strategy relates to:**

Goal 5.1 Advance institutional effectiveness and organizational efficiency through planning, assessment, and evidence-based decision making across every division in support of the College’s mission and goals.

**Comments/Tasks Associated with Strategy (Not required – can be completed before or after determining the Performance Measure)**

Section II: This section can be completed at a later date with assistance from Institutional Research if necessary.

**Performance Measure (Quantitative or Qualitative) (Description of how you will measure the outcomes of the goal from your strategy)**

Increase the number of completed new student applications.

**Baseline (as-is state of strategy)**

8,000

**Target (Desired Outcome)**

10,500

Section III: This section is to be completed upon completion of the strategy or when progress reports are requested.

**Review/Assessment (Assess achievement of your strategy – did you accomplish what you planned?)**

This was the first year that the partnership with Acme Inc. was implemented. Additional names of potential applicants were obtained in time for fall recruiting.  
1,300 new completed applications were filled out for the fall 2017 term.

**Evaluate (Description of how you will use the results of your assessment. When completing this section, think what the next steps are. The loop/strategy has been closed – how are you moving into the next loop?)**

Although we did not reach our goal of 1,500 new completed applications we did see a significant increase in the number of students who attended the college. In the future we will look at targeting specific age groups and students who are more likely to enroll in certain programs, such as online.

**STRATEGY WORKSHEET**

**Example: Qualitative – Student Services**

**Section I: To create a strategy, complete the fields below.**

**Strategy Title (an abbreviated version of your strategy statement):**

Student Advising

**Start Date:**

9/5/2017

**End Date**

12-24-2017

**Department:**

Advisement and Transfer Services

**Person Responsible for strategy:**

John Smith

**Strategy Statement (A good strategy tells us WHAT will be done within your department to address the 2017 – 2022 Strategic Plan goal the strategy relates to):**

Implement the Acme Advisor system that will identify students who attended an advising session and those who did not attend.

**Strategic Plan Goal(s) this strategy relates to:**

Goal 2.3: Increase student fall-to-fall persistence rates.

**Comments/Tasks Associated with Strategy (Not required – can be completed before or after determining the Performance Measure)**

Section II: This section can be completed at a later date with assistance from Institutional Research if necessary.

**Performance Measure (Quantitative or Qualitative) (Description of how you will measure the outcomes of the goal from your strategy)**

The actual implementation of the Advising system by fall 2017

**Baseline (as-is state of strategy)**

No advising system

**Target (Desired Outcome)**

Functioning system

Section III: This section is to be completed upon completion of the strategy or when progress reports are requested.

**Review/Assessment (Assess achievement of your strategy – did you accomplish what you planned?)**

The system was purchased in July and was functional two days before classes started. There are a few bugs and the new patches are being installed.

100% of the advisors have been trained to use the new system.

Our target of full implementation was met, and we are on schedule to have advising appointments tracked in the new system.

**Evaluate (Description of how you will use the results of your assessment. When completing this section, think what the next steps are. The loop/strategy has been closed – how are you moving into the next loop?)**

Advisors have responded well to the new system. We do not have information on how the system has impacted fall-to-fall retention as this point but a preliminary analysis of the fall-to-spring persistence rate indicates an increase in persistence after system implementation.

## **Closing the Loop: Adopting the mindset of *assessment for improvement***

To be meaningful, assessment results must be studied, interpreted, and *used*. Using the results is called “closing the loop.” We conduct outcomes assessment *because* the findings can be used for improvement.

- Sometimes your results support the status quo.
- What do the findings tell us now?
- Did your “treatment” improve a process? Learning, etc.?
- What else do the findings show?
- What’s the next step?
- What have you learned about your assessment process? Infrastructure? What can be improved?
- If results suggest the need for change, here are some things that might be considered:
  - Pedagogy
  - Curriculum
  - Student Support
  - Faculty Support
  - Equipment/Supplies/Space
  - Conduct further assessment
  - Assessment Process (outcome, means of assessment and/or benchmark)
- Be sure to document what you have done.

## OPERATIONAL PLANS

### Tips for how to write a Purpose Statement

A purpose statement is a concise statement outlining the purpose of the unit, program, course or activity. The following is an example:

#### *PURPOSE STATEMENT*

##### *Office of Institutional Planning, Effectiveness and Accountability*

*The purpose of the Office of Institutional Planning, Effectiveness and Accountability is to provide leadership, training, facilitation and support to institution-wide processes for strategic planning, operational planning and, in addition, to monitor progress of goal accomplishments of the College's strategic plan and institutional effectiveness.*

- A purpose statement should only be one sentence – 75 word maximum – be specific
- Questions to consider:
  - What do we do? What is our purpose?
  - What population do we serve?
  - Why do we serve our clients the way we do?
  - What image do we want to convey?
  - What are our major priorities?
- Purpose statements should not be written alone. If you are working on a department purpose statement, include all members of the staff in your respective group.

## Template for Operational Plans

### TITLE OF PLAN/DEPARTMENT/UNIT

#### **Mission**

Monroe Community College, through access to affordable academic programs, leads excellence and innovation in higher education, inspires diverse students to transform their lives and communities, drives regional economic development, and builds global engagement and understanding.

**Purpose Statement:** *(Clarifies the organizational purpose.)*

**Strategic Direction(s):** *(Identifies the critical focus – strategic issue – you desire to pursue, in a more general and overarching nature. Demonstrates clear connections and crosswalks to the Directions of the College’s Strategic Plan.)*

- *Direction One: Learning First*
- *Direction Two: Student Success*
- *Direction Three: Career Pathways and Regional Economic Development*
- *Direction Four: Organizational Culture*
- *Direction Five: Institutional Effectiveness*

**Goal(s):** *(Goals provide a framework for more detailed levels of planning. Goals are more specific than the mission/purpose statement, but remain general enough to stimulate creativity and innovation. Goals indicate the general changes that will take place. Goals describe the “to be” state. The goals should be congruent with those associated with the respective Direction.)*

**Strategies:** *(Strategies, sometimes referred to as action steps, are statements of what steps will be taken to accomplish the goal.)*

# Institutional Research



Monroe Community College  
STATE UNIVERSITY OF NEW YORK

## Structure, Scope, and Responsibilities of Institutional Research Office

The current structure of the Institutional Research Office is:

- 1 Director
- 1 Assistant Director
- 2 Research Specialists
- 1 Secretary

The scope and responsibilities of the IR office are to support all segments of the College community with information during all phases of planning, policy analysis, assessment, and decision-making. The major functions of the office are to collect, analyze, and interpret data and to present research findings to administrators, faculty, and staff to use for advancement of the College mission.

Aside from ad hoc research requests that we fulfill, we also do all the official reports to State and Federal agencies as well as some private agencies for benchmarking.

These are:

IPEDS	Integrated Postsecondary Education Data System
SUNY	State University of New York Administrative system known as SIRIS (SUNY Institutional Research Information System)
NYSED	New York State Education Department
CTEA	Career and Technical Education Improve Act
CUPA –HR	College and University Professional Association for Human Resources
AAUP	American Association of University Professors
NCCBP	National Community College Benchmarking Project
NCCCPP	National Community College Cost & Productivity Project

We also do standard reporting, such as:

*What Happened to the Class of ...?*

Enrollment Reports

Student-Faculty Ratio Report

Enrollment Projections

Graduation Satisfaction Survey

SUNY Student Opinion Survey

Aside from the IR website, we also present data on iDashboards such as the metrics that measure the College's progress of the Strategic Plan as well as Key Performance Indicators.

## Measurement - Overview

**Quantitative:** testing objective theories by examining the relationship among variables. These variables can be measured by instruments so that numbered data can be analyzed using statistical procedures

Methods:

- Statistics
- Surveys with numerical answer choices
- Rubrics

**Qualitative:** exploring and understanding the meaning individuals or groups ascribe to a social or human problem. The process involves emerging questions and procedures with data collected and analyzed looking for themes and the researcher making interpretations.

Methods:

- Interviews
- Focus Groups
- Historical Analysis
- Case Studies

Questions to consider:

- Is your data accessible?
- Does the data already exist?
- If not, what steps need to be taken to record the data or obtain it?
- Will you need assistance gathering the data?

**Baseline:**

- A starting point used for comparison. Where are you now?
- You can't set a goal without knowing where you are starting from.
- Use trend data (if available) when looking at your progress. Are you going up from your baseline? Are you going down? Are you staying stagnant?

## Performance Measures

These can be either quantitative or qualitative and serve as a way to characterize or define performance.

Types of performance measures

Performance Measure Type	Description	Example
<b>Input</b>	Amount of resources that are used in a process. It is a measure of resources that you use in a process or activity	<ul style="list-style-type: none"> <li>• Dollars spent</li> <li>• Staff hours</li> <li>• Number of applications received</li> </ul>
<b>Output</b>	Number of units produced or number of services delivered. This measures the results from a process or activity.	<ul style="list-style-type: none"> <li>• Applications approved</li> <li>• Students advised</li> <li>• Servers utilized</li> </ul>
<b>Process</b>	Describes aspects of an activity, such as a completion rate, yield rate, processing time	<ul style="list-style-type: none"> <li>• Fall-to-fall retention rate</li> <li>• Time to process an application</li> <li>• Waiting time to have a service</li> </ul>
<b>Outcome</b>	Measures the intended purpose associated with an activity or process	<ul style="list-style-type: none"> <li>• Graduation</li> <li>• Completion of a training program</li> <li>• Improvement in service quality</li> </ul>
<b>Efficiency</b>	Unit cost to produce or deliver a product or service – inputs divided by outputs or outcomes – is an attribute of a process	<ul style="list-style-type: none"> <li>• Student-faculty ratio</li> <li>• Net cost per FTE</li> <li>• Service Staff per FTE</li> </ul>
<b>Quality</b>	Degree to which students/employees are satisfied with a program (process), or how accurately or timely a service is provided	<ul style="list-style-type: none"> <li>• Percent of respondents satisfied with a service</li> <li>• Number of PC repairs</li> </ul>

### Writing a Performance Measure

#### Qualitative

These are descriptive observations, for example:

- Conduct inspections for compliance monitoring
- Receive training on the new FERPA law
- Develop a mechanism for reporting suspected violations

Baseline for qualitative indicators can be:

- New, not done before
- Sparingly (or frequently) performed (or accountable)

Target for qualitative indicators can be:

- Implement (a process, training, procedure)
- Office x will be accountable for process y

In essence, the baseline and target match what is being described in the qualitative performance measure.

### **Quantitative**

These are numerical (a count, percentage of a total, etc.), for example:

- 14,000 processed applications
- 80% of total FTE budget
- 62% of survey respondents are satisfied with window service
- Two hours for placement testing

When writing a performance measure, do not:

- explain why the measure is important or how the data is collected
- use acronyms or technical jargon (it should be clear/understandable to non-experts)
- word performance measures as objectives (i.e., avoid words such as “increase” or “decrease”)

Baseline and target are set numerically, for example:

Baseline: 48%

Target: 55%

OR

Baseline: 12,000 applications approved

Target: 14,000 applications approved

Use units to clarify the meaning of the number.

# Institutional Research



**Monroe Community College**  
STATE UNIVERSITY OF NEW YORK

## Benchmarking

There are seven main benchmarking organizations that Monroe Community College participates in. These are:

1. Integrated Postsecondary Education Data System (IPEDS)
  - a. All Title IV (those that provide Federal Aid) institutions must report institutional data to IPEDS which is part of the National Center for Education Statistics within the U.S. Department of Education
  - b. IPEDS data allows the institution to select its own peer group from across the nation and benchmark on fall enrollment, graduation rates, retention rates, student financial aid, finance, human resources, 12-month enrollment, completions, institutional characteristics, pricing and tuition, and to do the comparisons when feasible by demographics.
2. National Community College Benchmark Project (NCCBP)
  - a. The NCCBP was devised to take a “balanced scorecard” approach to benchmarking community colleges. SUNY pays the participation fee and helps in providing some of the data. Participation is a voluntary, so selecting peers for comparison is limited. Usually, we just use the SUNY community colleges.
  - b. Some of the metrics are: credit developmental retention/success, retention/success in core academic skills, institution-wide credit grades, market penetration, instructional faculty load, student to professional student services staff ratio, retirements and departures, and cost per credit hour per FTE student, to name a few.
3. National Community College Cost & Productivity (NCCCP)
  - a. NCCBP organizes cost data at the program discipline level. Reporting is only done for about ten disciplines. SUNY doesn’t pay for participation in this benchmark, but MCC has been participating since 2009 (we were part of the pilot in 2004). Participation is voluntary and not as many community colleges participate in NCCCP as in NCCBP; nonetheless, we’ve done benchmarking on disciplines using national norms. Below are the benchmarks presented at the discipline level:
    - i. Instructional cost per student credit hour
    - ii. Student-faculty ratios
    - iii. Workload by full-time, part-time, other faculty
    - iv. Students taught by full-time, part-time, other faculty

4. Voluntary Framework of Accountability (VFA)
  - a. “The VFA is the principle accountability framework for community colleges with measures defined to encompass the full breadth of the community college mission and the diversity of students’ goals and educational experiences.”  
<http://vfa.aacc.nche.edu/about/Pages/default.aspx>  
MCC was one of the pilot colleges in VFA’s rollout.
  
5. Student Achievement Measure (SAM)
  - a. “SAM tracks student movement across postsecondary institutions to provide a more complete picture of undergraduate student progress and completion within the higher education system. SAM is an alternative to the federal graduation rate, which is limited to tracking the completion of first-time, full-time students at one institution.”  
<http://www.studentachievementmeasure.org/about>  
MCC was an inaugural member of SAM when it first started collecting data based on the 2007 cohort.
  
6. SUNY Student Opinion Survey (SOS)
  - a. Every three years MCC participates in SUNY’s SOS (last year was 2016). The survey asks students questions about their college selection, satisfaction with services and campus environment, as well as academic engagement questions and student demographics. The survey is done with the help of ACT which performs a peer comparisons report with participating SUNY community colleges. Previous reports can be found at:  
<http://www.monroecc.edu/depts/research/staffonly/sunysossurvey.htm>
  
7. SUNY Data Dashboard
  - a. Since all SUNYs submit data via the SIRIS system, SUNY IR has created various data dashboards so that we can produce various benchmarking reports with other SUNY colleges - from enrollment to retention and graduation, retention of transfer to other SUNYs, as well as county of residence.

# Glossary

**APES (Academic Program Enterprise System)** - The inventory of all academic programs offered by the State University of New York. (S)

**Census Date** – The date computed from the part-of-term which is used to officially measure enrollment and workload statistics. For a fifteen week term, it is the end of the third week of classes (i.e., 20 days after the first day of classes). For courses that meet for less than fifteen weeks, the census date is calculated when 20% of class work has been completed. (S)

**CIP (Classification of Instructional Programs)** - A taxonomy of academic disciplines used to classify courses or academic majors.

**Continuing Student** – A student in the current term who was enrolled during the previous term. In the case of the fall term, “previous term” shall mean either the previous summer or spring term. (S)

**Credit Course** – Those courses which can be used to meet the requirements of a degree or certificate granted by Monroe Community College. (S)

**Credit Hours** – The number of academic units assigned to a credit course. A semester credit hour is granted for satisfactory completion of one 50-minute session of classroom instruction per week for a semester of not less than fifteen weeks. This basic measure may be adjusted proportionately to reflect modified academic calendars or formats of study. (S)

**Cross Registration** – A cooperative arrangement between colleges that allows a full-time matriculated undergraduate student to receive instruction and obtain academic credit for courses administered by an institution other than the student’s home institution. These arrangements are to be established on a *quid pro quo* basis. (S)

**Equivalent Credit Hours** – Imputed credit hours for workload calculations for certain instructional activities which generate workload but do not generate academic credit. The relationship between class hours and equivalent credit hours is as follows:

1. Educational activities structured as typical classroom courses (including developmental and remedial courses) would be accounted for on a standard one- for-one basis, i.e., one class contact hour per week per term is awarded one credit hour.
2. A laboratory component, typically related to a lecture, is counted on a three-for one-credit hour.
3. Learning Centers, available for the individualized instruction of the student under the supervision of instructional employees, are counted on a two-for-one basis, i.e., two class contact hours per week per term are awarded one credit hour.

4. Practice Centers, available for the casual use of the student on an as-needed basis, do not generate any equivalent credit hours. (S)

**First-Time Student** – A student who has not been previously enrolled at any college or university and who is enrolled for the first time at Monroe Community College in a term. A student enrolled for the first time during a summer term is classified as first-time in the following fall term. (S)

**Foreign Student** – A student who is neither a citizen of the United States nor holds Permanent Residence Status. (S)

**Full-Time Equivalent (FTE)** – A unit of measure derived from student credit hours. One FTE is equivalent to 15 student credit hours. This measure is used for semester FTEs, for annual, one FTE is equivalent to 30 student credit hours. At Monroe Community College we usually report annual FTEs in our website.

For example: A 3-credit class of 32 students has  $(3 \times 32)/30 = 3.2$  FTEs (S)

**Full-Time Student** – A student who is enrolled for 12 or more credit hours in a given semester. (S)

**IPEDS (Integrated Postsecondary Education Data System)** - A data collection system conducted by the National Center for Educational Statistics ([NCES](#)). IPEDS currently consists of the following data gathering surveys: Institutional Characteristics (IC); Completions (C); Employees by Assigned Position (EAP); Fall Staff (S); Salaries (SA); Enrollment (EF); Graduation Rates (GRS); Finance (F); and Student Financial Aid (SFA).

**Matriculated Student** – A student who has been formally accepted into and is enrolled in a degree/certificate program.

**Non-Credit Courses** – Courses for which regular College credit is not awarded and which cannot be used to meet the requirements for a degree or certificate.

**Non-Credit Courses; State Aidable** – A subgroup of non-credit courses which are eligible for State operating budget aid; only remedial courses are in this subgroup. (S)

**Non-Matriculated Student** – A student who is enrolled at the college to take certain credit courses, but who has neither formally matriculated nor is considered by the institution to be currently pursuing a specific type of degree. (S)

**Part-time Student** – A student who is enrolled for fewer than 12 credit hours in a given semester. (S)

**Returning Student** – A student in the current term who has been enrolled at the college, but was not enrolled in the previous term. In the case of the fall term, "previous term" shall include both the previous summer and spring terms; e.g., a student in the fall of 2006 is a returning student if he/she was previously enrolled at the college but in neither the spring 2006 nor summer 2006 terms. (S)

**STEM** - Science, Technology, Engineering, and Mathematics. MCC categorizes academic programs as being composed of two categories: "Applied STEM" and "Transfer STEM." This [link](#) shows the definition by our advising codes. It was approved by the Academic Leadership Council in 2012, and by the Provost and the Vice President of EDIWS.

**Student/Faculty Ratio-** The ratio of full-time equivalent students (student contact hours divided by 30) to full-time equivalent faculty during a semester. This ratio is calculated by dividing the full-time equivalent student workload by the full-time equivalent faculty. (S)

**Transfer Student** – A student who is enrolled at Monroe Community College for the first time in the current term, but has attended other colleges or universities prior to the current term. (S)

An (S) at the end of the end of a definition signifies that it is an official State University of New York definition.

#### **CONTACT INFORMATION**

##### **Brighton Campus**

Building 3, Room 106

M-F 8:45 a.m. - 4:45 p.m.

**Survey Protocol**  
**Institutional Research Office**  
Effective Since December 17, 2013

Monroe Community College participates in a number of surveys that are intended to collect data involving prospective students, current students, alumni, faculty, and staff for administrative, planning and reporting purposes. In response to the College's ongoing commitment to accountability and to serving the needs of its campus and wider community, there continues to be a strong need for these types of surveys. In addition to internal demands for data collected via surveys, there has also been demand for survey data by external groups.

**A survey is defined as: a series of questions distributed to more than 50 people for the purpose of research or analysis.**

In an effort to best meet the internal and external demands for survey data, a coordinated approach to the administration of surveys to members of the Monroe Community College community is needed.

### **Purpose**

1. To ensure that the same individuals aren't being surveyed multiple times during the same term, which could result in "survey fatigue" and, therefore, less meaningful survey data
2. To keep IR "in the loop" about surveys being conducted at the College
3. To ensure that the data collected is valid, reliable, and used to inform decision-making
4. To categorize, study, and archive survey projects and results, in part, to provide relevant information to individuals who may be considering and designing future surveys
5. To eliminate the collection of duplicate data

### **Procedure**

The following are the steps you should take when planning to administer a survey. Note that the first two steps must be done **at least one month** before you plan to administer the survey.

1. Contact a member of the [Institutional Review Board](http://www.monroecc.edu/depts/grants/institutionalreviewboardirb.htm)<sup>1</sup> to see whether your survey needs approval.
2. Complete the Survey Proposal Form and submit it to IR.
3. Wait to hear whether your survey proposal has been approved. It will take up to five business days.

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<sup>1</sup> <http://www.monroecc.edu/depts/grants/institutionalreviewboardirb.htm>

4. Work with the IR Office to set up the research protocol (survey design, sampling, logistics, analyses, etc.).
5. Administer your survey, analyze the results, and write up your report. (IR can help with all steps of this process if we were involved in Step 4)
6. Send IR a final copy of report, and include a description of how the survey data was used.

IR will post on its website a schedule of routine and other current surveys that are scheduled.

### **Exemptions:**

The following types of surveys are exempt from the protocol:

- Surveys conducted by individual academic staff with students enrolled in their courses as part of the internal process to assess or assure the quality of learning and teaching (e.g. course evaluation questionnaires)
- Surveys conducted by administrative units to obtain immediate feedback on service provisions
- Feedback or evaluation surveys of an event or service gathered at the point of service
- Surveys conducted by labor unions of their members.

**Note 1:** If your survey fails under any of the above exemptions...

- (a) Please notify IR of the population you are surveying, time period, and purpose of your survey. The IR Office would welcome a copy of your survey to add to our survey database.
- (b) The IR Office is willing to help with your survey design.



**Note 2:** IR will not analyze data from any survey that was performed under the above exemptions, unless we were part of the design and implementation.

Please note that, unless you meet the exemptions:

- All surveys require IR approval before they are administered, even if they do not require IRB approval.
- If you plan to administer your survey electronically, an IR staff member<sup>2</sup> can help get you set up with our web-based survey software, [Qualtrics](http://www.qualtrics.com/)<sup>3</sup>.
- IR will not assist with data analyses if the survey has not been approved.
- Students who wish to conduct survey research must be sponsored by a faculty or staff member.

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<sup>2</sup> In particular: Angel Andreu, Mary Ann DeMario, or Andrew Welsh <sup>3</sup>

<http://www.qualtrics.com/>

- Any “do not contact” designations must be respected when creating the survey sample.
- Once a survey is approved, annual approval is not required unless the survey instrument, the survey cycle, or administration of the survey is altered.
- Failure to adhere to the survey protocol presented here will result in a written notification to the survey requester and the relevant Chair or Vice President.

## **Guidelines**

The IR Office recommends that you consider, review, and follow the principles and guidelines listed below in designing your survey project. We will review the survey application using these guidelines and provide a response to you **within five business days** of the date your proposal was received.

### **Importance**

- Will the survey provide useful information for planning purposes?
- Will it provide useful feedback to those providing services to students, faculty, staff, or alumni?
- Will it provide the College with useful information on the experience of students?

### **Overall Impact**

- What is the intended impact of the study?
- What research questions are you attempting to answer?

### **Sample/Population**

- What is the target population?
- Will the entire population or a sample be surveyed?
- Is the sampling methodology appropriate?

### **Content and Design of Survey**

- Is the survey well designed?
- Is the content appropriate?
- Are the questions easily understood?
- Is the survey too short or long?

### **Format/Process**

- Has a strategy been adopted to attain an acceptable response rate or margin of error?
- Has the survey data collection process been well considered?
- Does the survey follow an appropriate format?
- Have you followed the procedures for protecting subject confidentiality?

**Timing**

- Will the survey overlap with other surveys?
- When will the survey be conducted? For example: Will the survey be conducted during a time when your population is available?

**Resources**

- What resources will you need in order to administer the survey? For example: mailing information, web application, data entry, etc.

**Protocol Approved by:**

Angel Andreu	Director, Institutional Research
Kimberley Collins	Assistant Vice President, Academic Services
<b>President's Staff</b>	
Anne Kress	President
Jeff Bartkovich	Interim Provost and Vice President, Academic Services
Heze Simmons	CFO, Vice President, Administrative Services
Lloyd Holmes	Vice President, Student Services
Todd Oldham	Vice President, Economic Development & Innovative Workforce
Ann Topping	Interim Executive Dean, Damon City Campus
Cynthia Cooper	Assistant to the President for Marketing & Community Relations
Melissa Fingar	Assistant to the President
Diane Shoger	Executive Director, MCC Foundation
Sheila Strong	Executive Assistant to the President

**History/Revision Dates**

- Origination Date: December 17, 2013
- Last Amended Date: February 24, 2015
- Next Review Date: November 1, 2016

Name:

Department:

Email:

Phone:

Faculty/Staff Sponsor (if requester is a student):

Please answer the following questions and attach a copy of your survey to this form.

1. What is the title of your survey? \_\_\_\_\_
2. Who will be administering the survey? \_\_\_\_\_
3. What population will be surveyed? \_\_\_\_\_
4. Do you plan to survey:  the entire population  a sample
5. When will the survey be administered?

Begin Date:

End Date:

6. Why is the survey project being done? What are your research questions?

\_\_\_\_\_

7. How will the survey be administered (i.e., in class, by surface mail, electronically)? *(Please describe in detail.)*

\_\_\_\_\_

8. Will survey recipients' contact information (e.g., email addresses, mailing addresses) or any other data be needed from IR or Computing in order to administer the survey?

Yes  No *(If Yes, please explain.)*

\_\_\_\_\_

\_\_\_\_\_

9. How will respondents' confidentiality be maintained?

\_\_\_\_\_

\_\_\_\_\_

10. Who will be doing the data analysis?

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11. To whom will the research results be disseminated, and how will the findings be used?

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12. Will this be a one-time survey or will it administered on a cyclical basis?

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13. If there is anything else you think we should know about this project, please describe it here.

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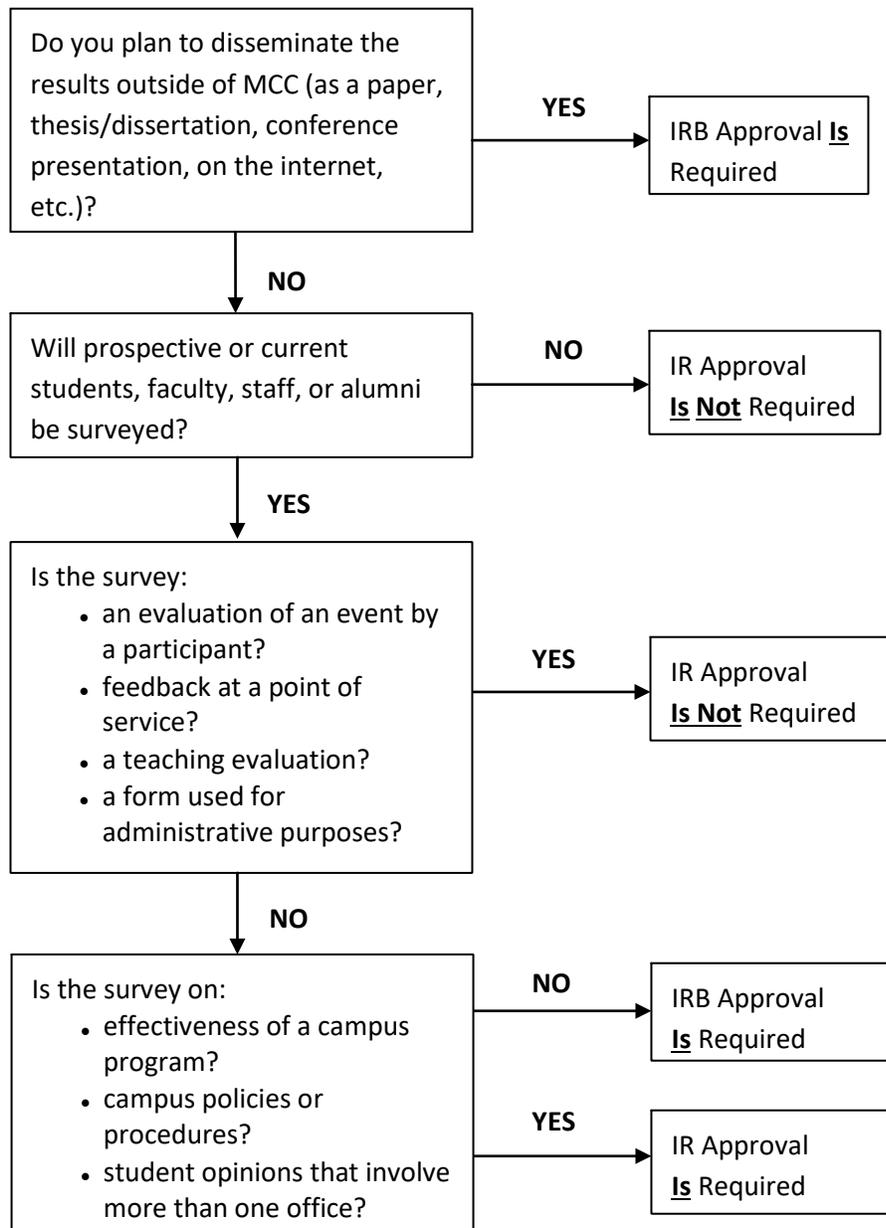
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The purpose of IRB approval is to protect the rights of survey recipients and to protect you and the College from legal liability if the treatment of survey recipients is unethical, if data resulting

from your survey are misused, or any part of the survey violates certain protected rights of individuals.

IRB approval is required if the findings from the survey are to be used for any purposes other than data collection about campus programs, practices, curricula, or outcomes for use solely by the College. Students and faculty using surveys to conduct academic research should contact the IRB.

**The following flow chart can serve as a guideline**



## **Make a Research Request**

In order to track and to prioritize data-related requests, the Institutional Research Office has developed an electronic request form. However, before making a request, please check to see if the data you need is already available by viewing the [Contents of the IR Site](#). Also note that if the data you need is a basic list (e.g., of students' names and addresses), you can submit a request to Computing and Integration Services by completing and submitting its [Technology Request/Change Form](#).

If the data you need cannot be obtained through either of these methods, you can then submit a request through the [Research Request Form](#).

When filling out the request form, you will be asked to:

- Select the date you need the data by
- Describe the data you are requesting and the questions you want it to answer
- Explain the decisions the data will impact or how the data will be used
- Attach a file (optional)

When indicating the date needed, select the latest date possible. Depending on the complexity of the request, the time of year, and the volume of other requests we're receiving, it may take anywhere from a couple of days to several weeks to complete your request.

In describing and explaining your request, please be sure to give as much detail as possible. The better we understand your request, the better we are able to provide you with the most accurate data.

If you have a copy of a previous report we sent you that is similar to what you are currently requesting, you may attach it using the grey button marked "Attach File(s)" on the Request Form. This helps us understand the format and style you would like the data in.

### **The types of requests that we can complete for you are:**

**Lists** – for example, a random sample of students or a list that is to be part of a research project involving the IR office (*Note that if you need a simple list, such as a list of students' names and addresses, you should contact Computing Services.*)

**Descriptive Statistics** – for example, means (i.e., averages) of students' scores on a survey or test

**Higher Level Analysis** – for example, an analysis of whether students' grades in one course are associated with their grades in another course or any other type of analysis that would require a higher level of statistical analysis

**Survey Design** – for example, the design and analysis of paper-and-pencil or web surveys

*If you are a writer from a news organization or agency who would like MCC data, please contact the Public Affairs Office.*

*The IR Office does not have the authority to release data to anyone on individuals (students, faculty, staff, etc.). Requests for data about individuals should go to the relevant office.*

**CONTACT INFORMATION**

**Brighton Campus**

Building 3, Room 106

M-F 8:45 a.m. - 4:45 p.m.

# Research Department

Current Requests By Date    Completed Requests



## New Request

Fill in the fields below and submit request to the Research Dept

Requested By

Name:

Email:

Phone:

Department

Give department staff access to view this request

Division

Copy To:

If you want additional people to receive email notifications and view this request, please enter their email address,

Type the email address or select a name from the Staff Directory field and click the "Add name to Copy To" button.

Staff Directory Listing  
Add name to Copy To

If you are entering emails manually, use a semicolon to separate multiple emails.

Information and Details

Date of Request:

04/27/2018 02:47 PM

Desired Due Date: Is this date flexible?  (Click Calendar)     Yes  No

Request Title:

Please describe the Information/data you are requesting. What questions do you want this research to answer?

What decisions will this data impact or how will this information be used?

Attachments:

## Code of Ethics and Professional Practice

### PREAMBLE

The Code of Ethics and Professional Practice (Code) of the Association for Institutional Research was developed to provide members of the Association with some broad ethical statements with which to guide their professional lives and to identify relevant considerations when ethical uncertainties arise. It also provides a means for individuals new to the profession to learn about the ethical principles and standards that should guide the work of institutional researchers.

Although the Association also serves those institutions that employ our members, our primary service to those institutions is achieved through our individual members. Hence this Code is directed to individuals and not institutions although basic tenets contained within the Code are also applicable to our colleges and universities and should be compatible with institutional codes and values.

The persons who practice institutional research (IR) are a diverse group from many different academic backgrounds and from many different professional experiences. Add to this diversity among IR practitioners the tremendous variation in the practice of IR as defined at individual colleges and universities, and IR professionals would seem to have little common ground. It is precisely for these reasons that this Code of Ethics and Professional Practice is important.

Many of the professions from which IR practitioners come have their own standards or codes for acceptable and even expected performance. This Code adds to those existing documents in recognition of the special and different demands inherent in the practice of institutional research. In many institutions the institutional researcher is viewed as the “guardian of truth” or the “conscience” of the institution. This is an extra burden for institutional researchers, and this Code provides some guidance to practitioners who bear that burden. Along with the other professional standards, this Code defines a normative expectation for institutional researchers in their work. At the same time, the Code provides the foundation for institutional research as a profession.

Although it provides standards, the Code does not provide a set of rules. Reasonable differences of opinion can and do exist with respect to interpretation, and specific application must take into account the context of a given behavior. Adoption of a code of ethics cannot guarantee ethical behavior or resolution of all disputes. Rather, it sets forth standards to which professionals aspire and against which their actions can be judged (both by themselves and others). Ethical behavior should result from a personal commitment to engage in ethical practice and an attempt to act always in a manner that assures integrity. All members of AIR should pledge to maintain their own competence by continually evaluating their research for scientific accuracy, by conducting themselves in accord with the ethical standards expressed in this Code, and by remembering that their ultimate goal is to contribute positively to the field of postsecondary education.

Finally, this Code is a living document that must change and be shaped as the practice of institutional research continues to evolve and develop.

### SECTION I – COMPETENCE

(a) **Claims of Competence:** The institutional researcher shall not, in job application, resume, or the ordinary conduct of affairs, claim or imply a degree of competency he/she does not possess.

- (b) **Acceptance of Assignments:** The institutional researcher shall not accept assignments requiring competencies he/she does not have and for which he/she cannot effectively rely upon the assistance of colleagues, unless the supervisor has been adequately apprised or unless he/she would acquire the necessary competence prior to doing the research. The institutional researcher should use methodologies or techniques that are new to him/her only after appropriate study, training, consultation, and supervision from people who are competent in those methodologies or techniques.
- (c) **Training of Subordinates:** The institutional researcher shall provide subordinates with opportunities for professional growth and development.
- (d) **Professional Continuing Education:** The institutional researcher has the responsibility to develop his/her own professional skills, knowledge, and performance and to keep abreast of changes in the field.

## SECTION II – PRACTICE

### (a) **Objectivity**

- i) Unbiased Attitude: The institutional researcher shall approach all assignments with **acknowledgement of personal biases and make all attempts to minimize the effect of such biases in the conduct of the work.**
  - ii) Conflicts of Interest: **The institutional researcher should disclose situations in which financial or other personal considerations may compromise, or have the appearance of compromising, decisions or the performance of services. Disclosure and proper management of such situations assures that unavoidable conflicts do not interfere with the integrity of performance of duties.**
- (b) **Use of Accepted Technical Standards:** The institutional researcher shall conduct all tasks in accordance with accepted technical standards.
  - (c) **Initial Discussions:** Before an assignment is begun, the institutional researcher shall clarify with the sponsor and/or major users the purposes, expectations, strategies, and limitations of the research.
    - i) Special care shall be taken to recommend research techniques and designs that are appropriate to the purposes of the project.
    - ii) Special care shall be taken to advise the sponsor and/or major users, both at the design phase and, should the occasion arise, at any time during the execution of the project, if there is reason to believe that the strategy under consideration is likely to fail or to yield substantially unreliable results.
  - (d) **Identification of Responsibility:** The institutional researcher shall accept responsibility for the competent execution of all assignments which he/she, or a subordinate, undertakes, and shall display individual and/or office authorship, as appropriate, on all such reports.
  - (e) **Quality of Secondary Data:** The institutional researcher shall exercise reasonable care to ensure the accuracy of data gathered by other individuals, groups, offices, or agencies on which he/she relies, and shall document the sources and quality of such data.
  - (f) **Reports:** The institutional researcher shall ensure that all reports of projects are complete; are clearly written in language understandable to decision-makers; fully distinguish among assumptions, speculations, findings, and judgments; employ appropriate statistics and graphics; adequately

describe the limitations of the project, of the analytical method, and of the findings; and follow scholarly norms in the attribution of ideas, methods, and expression and in the sources of data.

- (g) **Documentation:** The institutional researcher shall document the sources of information and the process of analysis in each task in sufficient detail to enable a technically qualified colleague to understand what was done and to verify that the work meets all appropriate standards and expectations.

### **SECTION III - CONFIDENTIALITY**

- (a) **Atmosphere of Confidentiality:** The institutional researcher shall establish clear guidelines about confidentiality issues within the institutional research office.
- (b) **Storage and Security:** The institutional researcher shall organize, store, maintain, analyze, transfer and/or dispose of data under his/her control in such a manner as to reasonably prevent loss, unauthorized access, or divulgence of confidential information.
- (c) **Release of Confidential Information:** The institutional researcher shall permit no release of information about individual persons that has been guaranteed as confidential, to any person inside or outside the institution except in those circumstances in which not to do so would result in clear danger to the subject of the confidential material or to others; or unless directed by competent authority in conformity with a decree of a court of law.
- (d) **Special Standards for Data Collection**
- i) **Balancing Privacy Risks Against Benefits.** The institutional researcher shall, at the design stage of any project, thoroughly explore the degree of invasion of privacy and the risks of breach of confidentiality that are involved in the project, weigh them against potential benefits, and make therefrom a recommendation as to whether the project should be executed, and under what conditions.
  - ii) **Developing Specific Guidelines.** Where appropriate, the institutional researcher shall adopt a written description of any specific steps beyond the regular guidelines within the institutional research office that are necessary during a specific assignment to ensure the protection of aspects of privacy and confidentiality that may be at specific risk.
  - iii) **Disclosure of Rights.** The institutional researcher shall ensure that all subjects are informed of their right of refusal and of the degree of confidentiality with which the material that they provide will be handled, including where appropriate, the implications of any freedom of information statute. Any limits to confidentiality should be made clear.
  - iv) **Appraisal of Implications.** The institutional researcher shall apprise institutional authorities of the implications and potentially binding obligations of any promise to respondents regarding confidentiality and shall obtain consent from such authorities where necessary.

### **SECTION IV - RELATIONSHIPS TO THE COMMUNITY**

- (a) **Equal Treatment:** The institutional researcher shall promote equal access and opportunity regarding employment, services, and other activities of his/her office, without regard to race, creed, gender, national origin, disability or other accidental quality; and in analysis, demeanor, and expression shall be alert to the sensitivities of groups and individuals.

- (b) **Development of Local Codes of Ethics:** The institutional researcher should develop and promulgate a code of ethics specific to the mission and tasks of the institutional research office and should strive to cooperate with fellow practitioners in the institution in developing an institution-wide code of ethics governing activities in common. The institutional researcher should take reasonable steps to ensure that his/her employers are aware of ethical obligations as set forth in the AIR Code of Ethics and Professional Practice and of the implications of those obligations for work practice.
- (c) **Custody and Archiving:** The institutional researcher shall apply all reasonable means to prevent irrevocable loss of data and documentation during its immediately useful life; and, being aware of the role of data as institutional historic resource, shall act as an advocate for its documentation and systematic permanent archiving.
- (d) **Assessment of Institutional Research:** The institutional researcher shall develop and implement regular assessment tools for the evaluation of institutional research services.
- (e) **Institutional Confidentiality:** The institutional researcher shall maintain in strict confidence and security all information in his/her possession about the institution or any of its constituent parts which by institutional policy is considered to be confidential, and shall pursue from Section III of this Code all processes for that purpose as are appropriate.
- (f) **Integrity of Reports:** The institutional researcher shall make efforts to anticipate and prevent misunderstandings and misuse of reports within the institution by careful presentation and documentation in original reports, and by diligent follow-up contact with institutional users of those reports. If an institutional research report has been altered, intentionally or inadvertently, to the degree that its meaning has been substantially distorted, the institutional researcher shall make reasonable attempts to correct such distortions and/or to insist that institutional research authorship be removed from the product.
- (g) **External Reporting:** The institutional researcher has an obligation to the broader community to submit and/or disseminate accurate information and engage in responsible reporting when requested by legitimate authority, including federal, state, and other governmental agencies and accrediting bodies. With respect to private inquiries, such as those from guidebook editors, journalists, or individuals, the institutional researcher, should he/she respond, is bound by the same standards of accuracy, confidentiality, and professionally responsible interpretation.

Professionally responsible interpretation includes consideration of how the requesting individuals or organizations will employ the information. A sound understanding of how information will be used is fundamental to decisions regarding what type of information and supporting materials is appropriate and whether to participate with the request, if such reporting is not mandatory.

## **SECTION V - RELATIONSHIPS TO THE CRAFT**

### **(a) Research Responsibilities**

- i) The institutional researcher shall seek opportunities to contribute to and participate in research on issues directly related to the craft and in other professional activities, and shall encourage and support other colleagues in such endeavors.
- ii) The institutional researcher should take responsibility and credit, including authorship credit, only for work actually performed and to which he/she has contributed. The institutional researcher should honestly acknowledge the work of and the contributions made by others.

- (b) **Integrity of the Profession:** The institutional researcher should work toward the maintenance and promotion of high standards of practice.
- i) The institutional researcher should uphold and advance the values, ethics, knowledge, and mission of the profession. He/she should protect, enhance, and improve the integrity of the profession through appropriate study and research, active discussion, and responsible criticism of the profession.
  - ii) The institutional researcher should contribute to the knowledge base and share with colleagues knowledge related to practice, research, and ethics. He/she should seek to contribute to the profession's literature and to share knowledge at professional meetings and conferences.
- (c) **False Accusations:** The institutional researcher shall take care not to falsely demean the reputation or unjustly or unfairly criticize the work of other institutional researchers.
- (d) **Incompetence of Colleagues:** The institutional researcher who has direct knowledge of a colleague's incompetence should consult with that colleague when feasible and assist the colleague in taking remedial action. If efforts to change a colleague's incompetent behavior or practice are unsuccessful, the institutional researcher has an ethical and professional obligation to use the institutional or agency guidelines for reporting such conduct.
- (e) **Unethical Conduct of Colleagues**
- i) The institutional researcher shall take appropriate measures to discourage, prevent, identify, and correct unethical conduct of colleagues when their behavior is unwittingly or deliberately in violation of this code or of good general practice in institutional research.
  - ii) The institutional researcher who believes that a colleague has acted unethically should seek resolution by discussing the concerns with the colleague when feasible and when such a discussion is likely to be productive.
  - iii) If efforts to change a colleague's unethical behavior or practice are unsuccessful, the institutional researcher has an ethical and professional obligation to use the institutional or agency guidelines for reporting such conduct.

Adopted by AIR membership 12/18/92

Updates Approved by the AIR Board 12/14/01

Updates Approved by the AIR Board 5/2/13

## KEY PERFORMANCE INDICATORS (KPIs) and iDashboard

### MCC's Key Performance Indicators

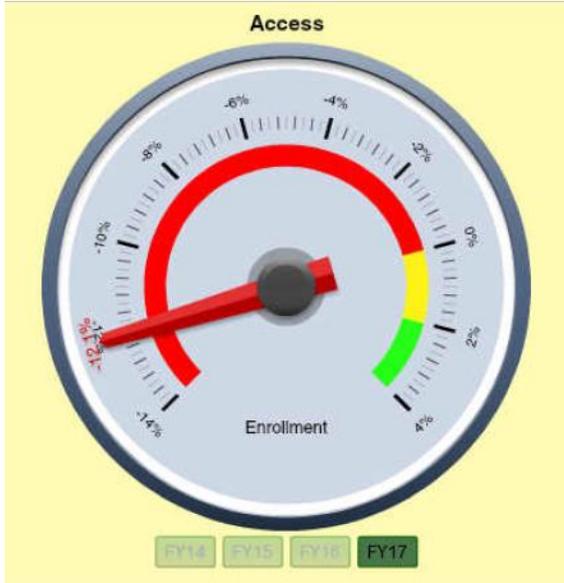
A measure of performance that is used to help an organization define and assess how successful it is, typically in terms of making progress towards its long-term organizational goals.

MCC's primary KPIs are disaggregated and evaluated by defined populations to monitor progress and identify potential shortcomings. The attributes include:

- **Access:** enrollment trends, student demographics, MCC campuses/sites, academic programs, feeder high schools, financial aid (drillable to demographics), grants, scholarships, and loans. These are some of the key metrics that measure people's access to MCC and provide information about the composition of our student body.
- **Success:** grades of C or better can be drilled down to the following – term, site, department within each site, demographics, full-time/part-time, division, program, degree type, success (completion, transfer, and persistence) rates of first-time/full-time students and their demographics.
- **Quality:** faculty workload distribution (i.e., on-load, overload, adjunct, and part-time; drillable to department and term), student-faculty ratio (drillable by term or department), licensure pass rates of graduates in certain programs, satisfaction rates (from SUNY Student Opinion Survey).
- **Financial Responsibility:** total cost per FTE (can be drilled down to department) revenues from grants, contracts, and MCC Foundation graduates in certain programs, revenues vs. expenses, tuition & fees of full-time students, and classroom utilization by campus.

iDashboards enables MCC to quickly measure progress on important metrics and to present succinct information. It assists MCC in measurement of goals and tracks the college's performance over time in key areas.

## Dashboard - KPI



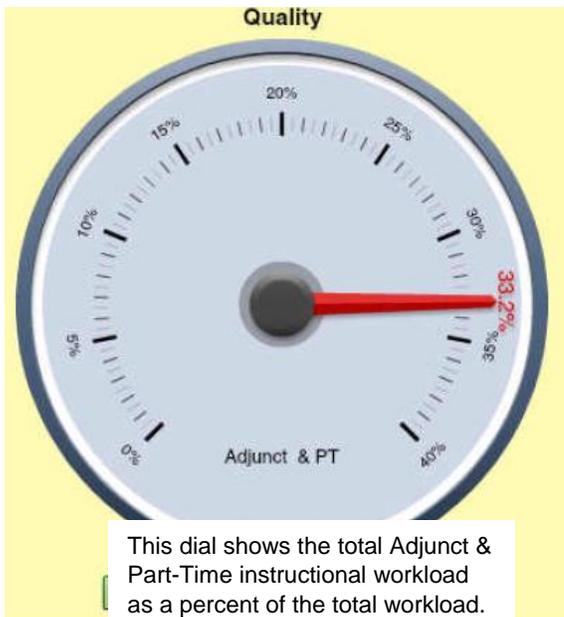
The dial shows the percent change in fall enrollment as compared to the 3-year average.

Click on the dial to see more Access indicators.



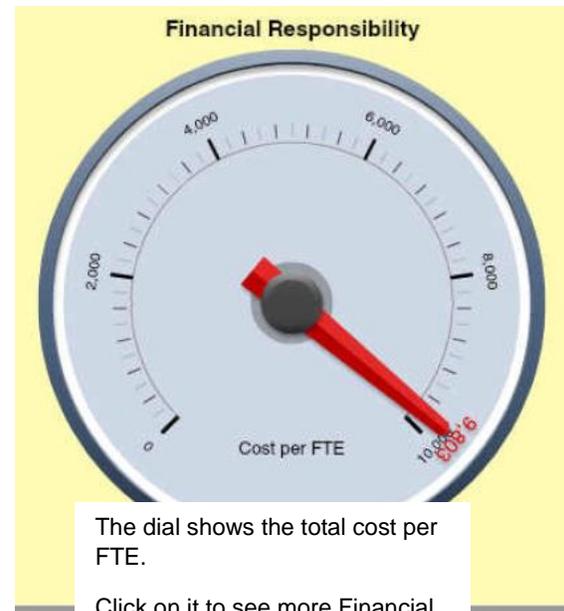
The dial shows the C or better rates by fiscal year.

Click on it to see more Success indicators.



This dial shows the total Adjunct & Part-Time instructional workload as a percent of the total workload.

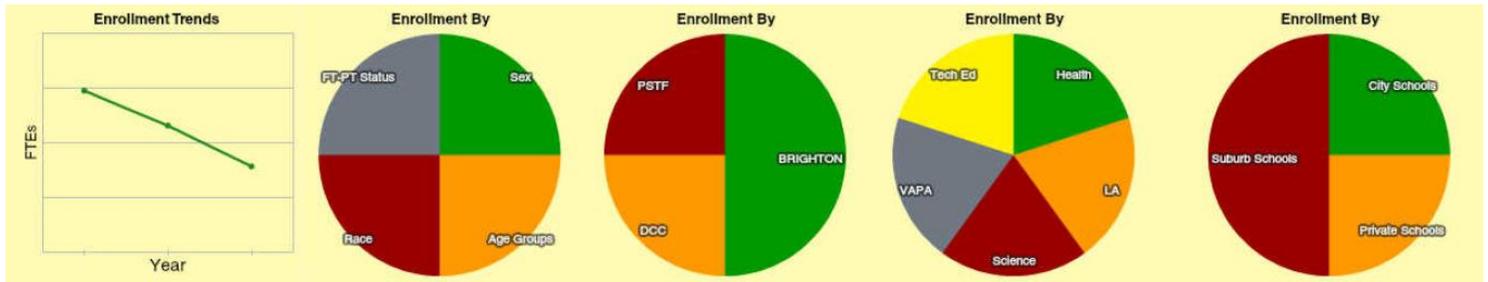
Click on it to see more on Quality indicators.



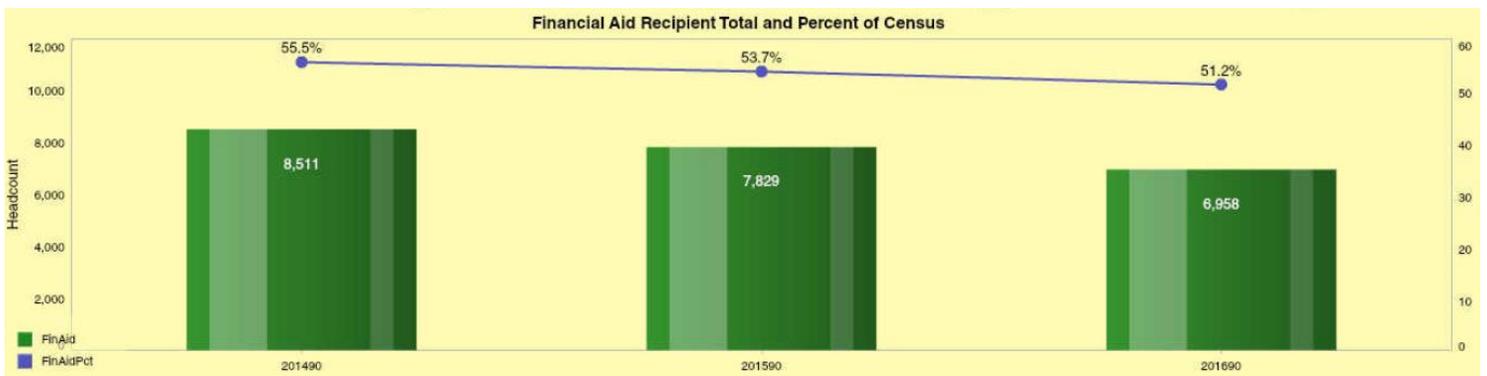
The dial shows the total cost per FTE.

Click on it to see more Financial Responsibility indicators.

These dashboards show enrollment, and can be drilled down on the following:  
 Trends: Actual and Budget, Overall and by Campus  
 Demographics: Sex, Age Groups, and Ethnicity/Race  
 Site: Brighton, DCC, PSTF, Brighton/DCC  
 Programs: Degree Type and Program  
 High School: June Grads by City, Suburban, and Private



Drilldowns to historical Pell, Tap, combination of other types of aid and no aid, as well as demographics within each aid type.



There are:  
 16 different types of Grants  
 136 different types of Scholarships  
 6 different types of Loans

Fall

**Awards Offered**

Year	Fund Type	Total Amo...	Headcount
2009 - 20...	Grants	\$50,602,303	12,685
2009 - 20...	Scholarships	\$795,421	644
2009 - 20...	Loans	\$49,098,238	9,394
2010-2011	Grants	\$53,379,280	11,961
2010-2011	Scholarships	\$866,829	675
2010-2011	Loans	\$45,163,233	7,569

**Awards Accepted**

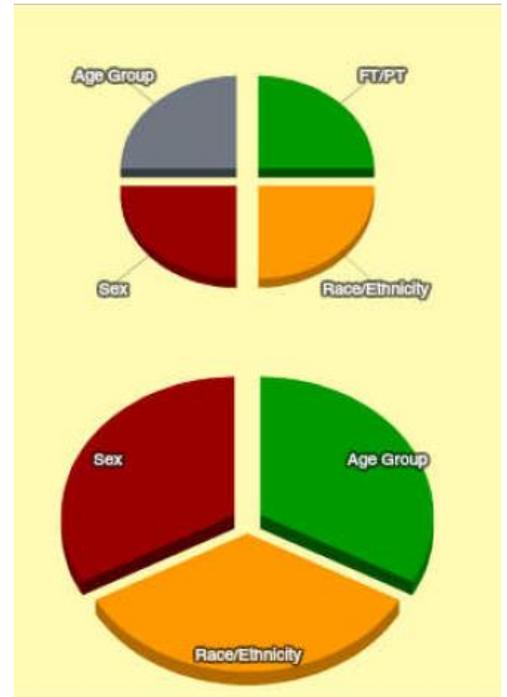
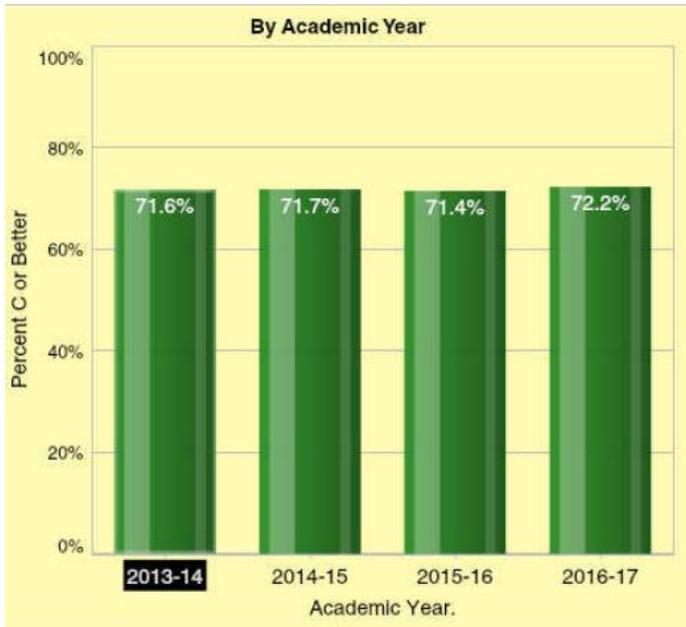
Year	Fund Type	Total Amo...	Headcount
2009 - 2010	Grants	\$48,859,198	12,289
2009 - 2010	Scholarships	\$795,421	644
2009 - 2010	Loans	\$49,098,238	8,394
2010-2011	Grants	\$50,751,757	11,435
2010-2011	Scholarships	\$866,829	675
2010-2011	Loans	\$45,163,233	7,569

Click on the chart's green bar on the right to see success defined by C or Better:

- \*By Academic Year
- \*By Term within Academic Year
- \*By Site
- \*By Department within Site

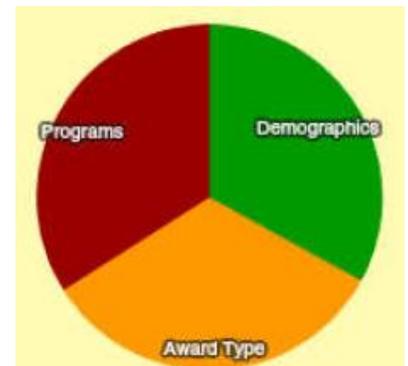
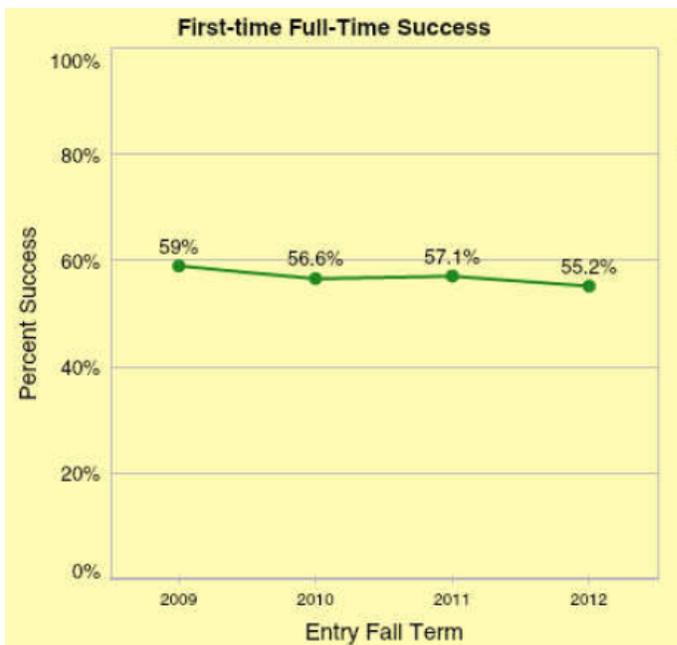
Click on the pie chart on the right to see success defined by C or Better:

- \*By Full/Part-time Status
- \*By Sex
- \*By Race Ethnicity
- \*By Age Group



Click on the pie chart above to see course completion ratios defined by:

- \*Sex
- \*Race Ethnicity
- \*Age Group

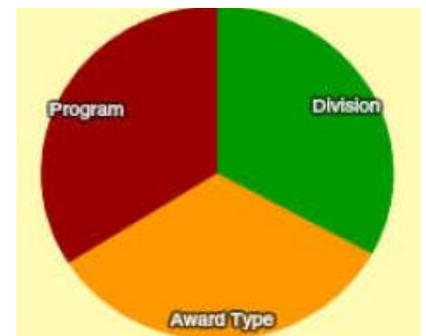


Click on the pie chart above to see the transfer rates of graduates by:

- \*FT and PT transfer
  - \*Race/Ethnicity
- Drill down by award type and program.

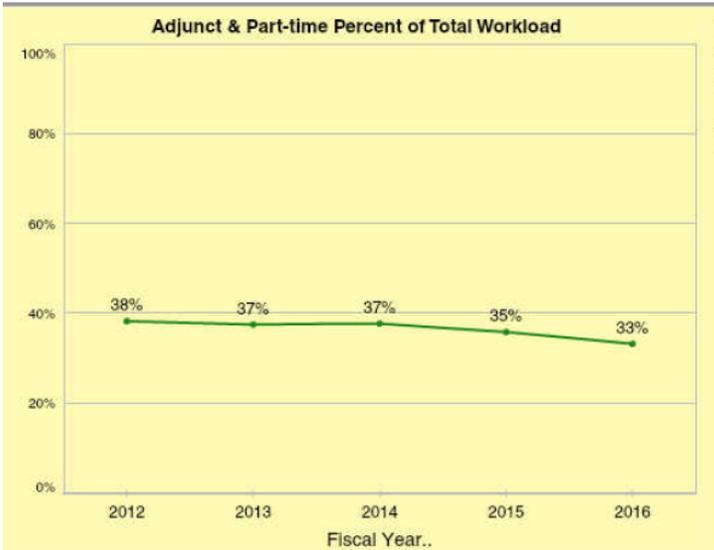
Click on the chart's line above to see the success of first-time full-time degree seeking by:

- \*Sex
- \*Race/Ethnicity
- \*Sex & Race/Ethnicity



Click on the pie chart above to see the employment rates of graduates by:

- Award type, division, and program
- \*Aggregated FT and PT employment



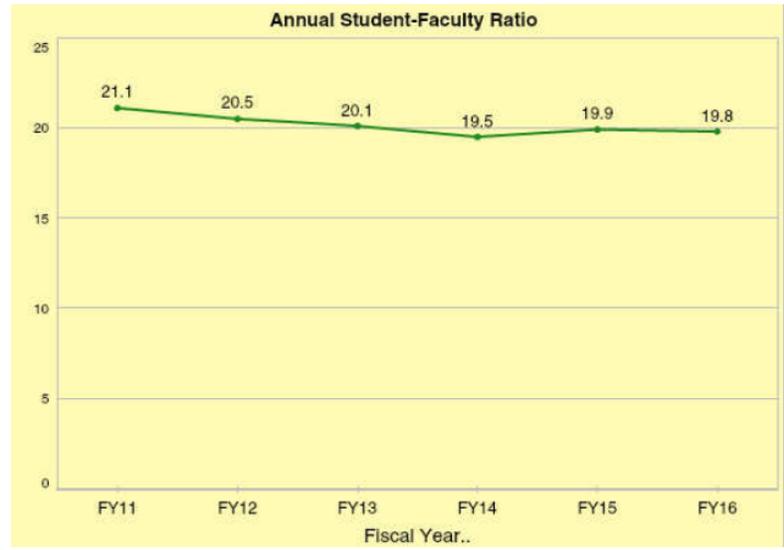
Click on the chart's line above to see annual Faculty workload:

- \*By Semester
- \*By Department

Split by:

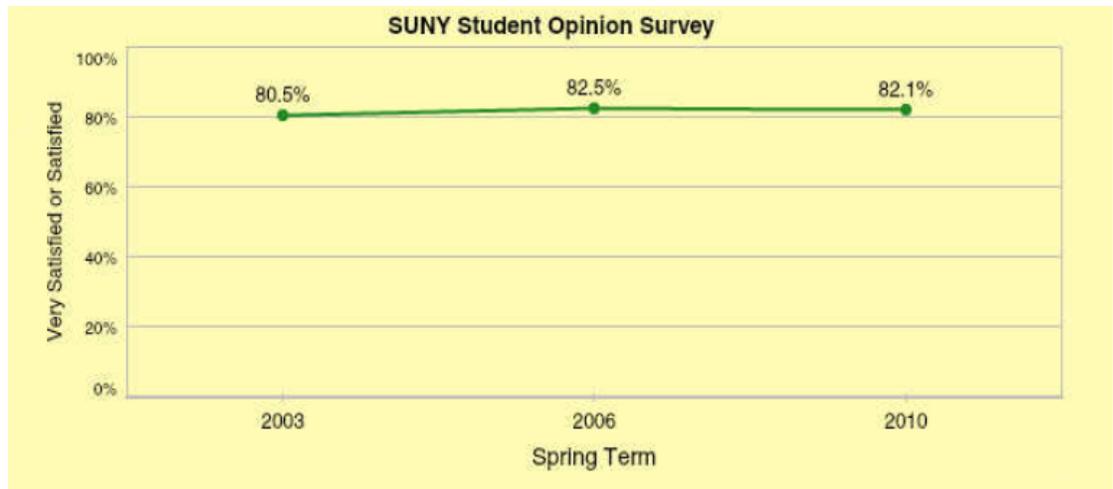
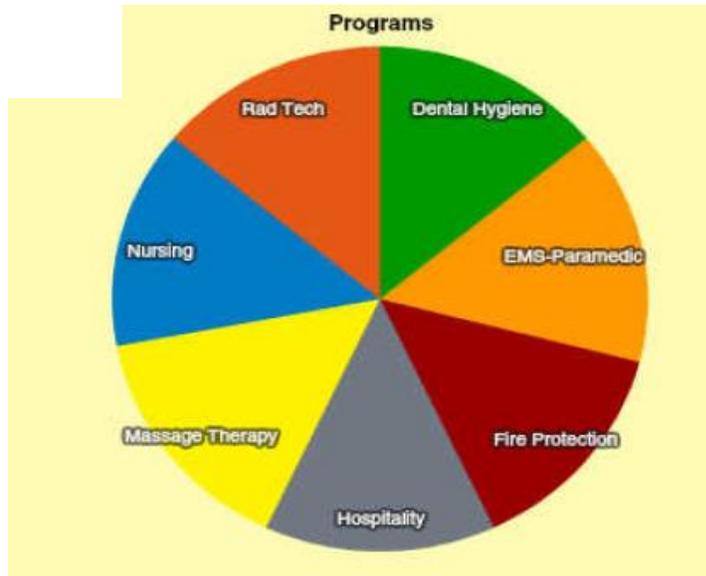
- Onload
- Overload
- Adjunct
- Part-time

Click on the pie chart to the right to see the licensure pass rates of graduates in the programs listed.



Click on the chart's line above to see the distribution of the annual student-faculty ratio by:

- \*Term
- \*Department (annual)

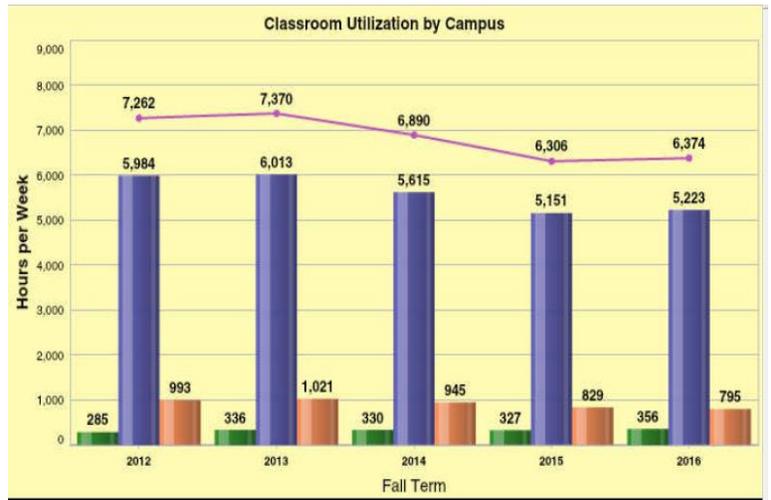




Click on the charts bar above to see Total Cost per FTE.

Organized by:

- \*Division
- \*FTE Department within Division



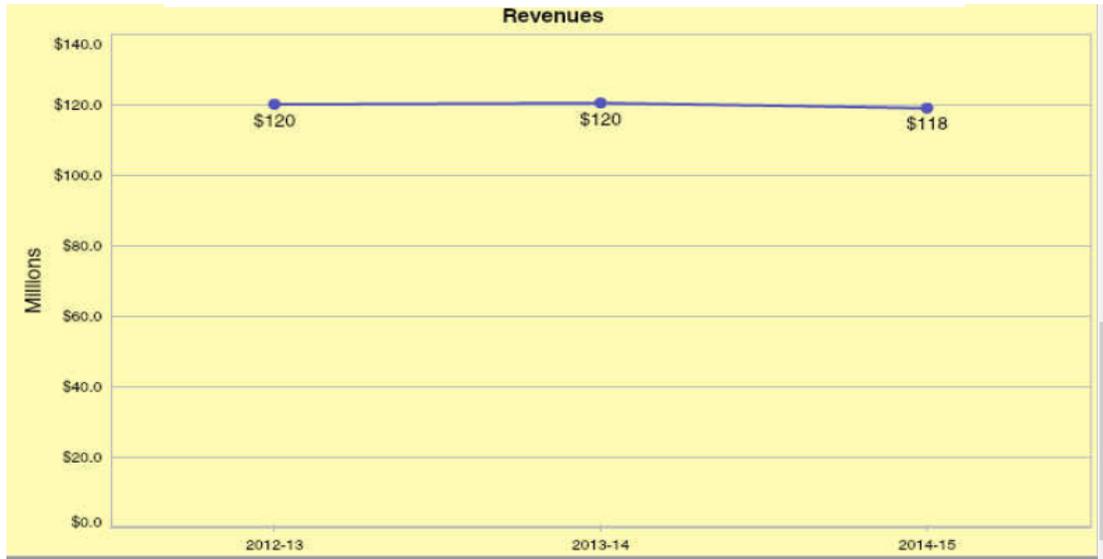
Classroom Utilization is computed by the total hours a classroom is used per week divided by 15 (the number of weeks).

The chart above shows the average utilization by campus.

Revenues are organized into three broad categories:

- MCC Endowment
- Grants & Contracts
- Tuition

Click on the chart below to view the revenues



MCC Endowment is comprised of the following categories:

- Cash & Equivalents
- Pledges
- Interest on Pledges
- Investments

The dashboard has drill downs to amounts by category and percent of total

Revenues from Contracts & Grants are comprised of following:

- Contracts (drilldowns to total amount)
  - \*Homeland Security Management Institute
  - \*Public Safety Training Facility
  - \*Workforce Development
    - \*Agriculture
    - Miscellaneous
- Grants are comprised of over 100 individual grants, only the total amount is shown by fiscal year.

## iDashboard – Strategic Plan

### Charting the Course: Monroe Community College's 2017-2021 Strategic Plan

**VISION:** Monroe Community College will be the nationally recognized leader in championing equity, opportunity, innovation, and excellence while transforming students' lives and communities.

**MISSION:** Monroe Community College, through access to affordable academic programs, leads excellence and innovation in higher education, inspires diverse students to transform their lives and communities, drives regional economic development, and builds global engagement and understanding.

#### MCC values integrity

We believe in promoting an environment of honesty and authenticity, in being accountable and ethically responsible for our policies and actions, and in exemplifying a high standard of civility.

#### MCC values empowerment

We are committed to supporting learners as they develop the skills to overcome obstacles on their paths to intellectual, professional, and personal growth.

#### MCC values excellence

We pursue and develop the highest-educational standards by encouraging creativity and risk-taking; by continuously assessing and improving programs, services, and policies; and by exceeding learner and community expectations.

## **MCC values inclusiveness**

We nurture an institutional culture that ensures fairness and equity for all, while respecting and leveraging our diversity.

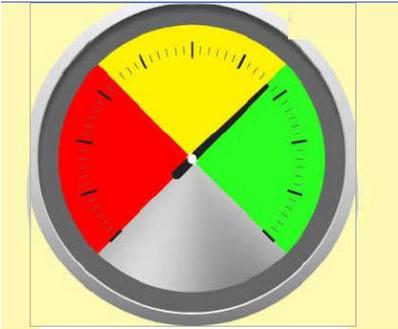
## **MCC values stewardship**

We are accountable to our stakeholders for responsible management of the human, fiscal, physical, and environmental resources and information entrusted to us.

## **MCC values collaboration**

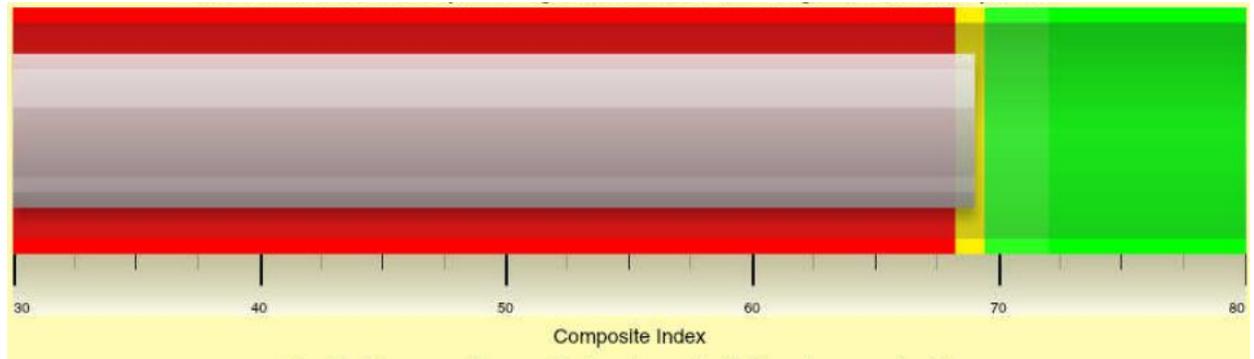
We encourage meaningful partnerships among colleagues, departments, and divisions within MCC as well as with local, regional, and global communities.

## Direction One: Learning First

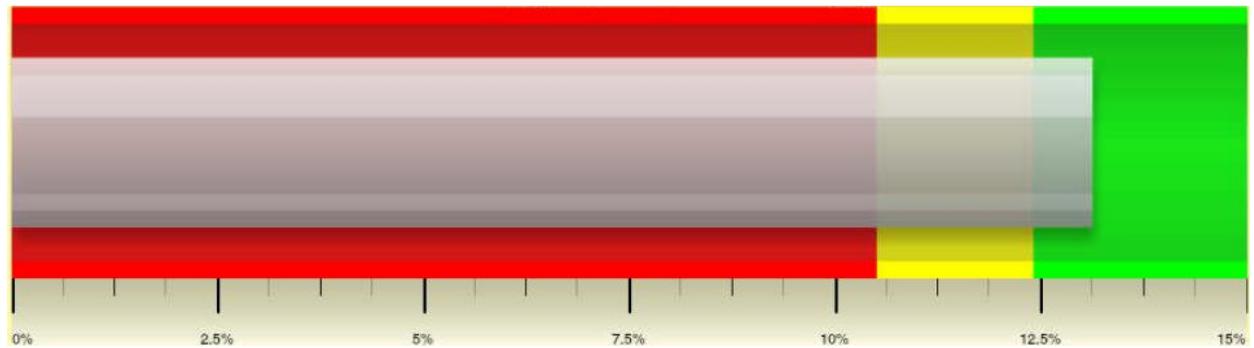


The promise of Monroe Community College is to provide an innovative, supportive, and collaborative learning environment that includes high-impact practices. Our commitment to learner success is strengthened through responsive curricular design and meaningful academic assessment. We are committed to providing students with guided, intentional pathways through the MCC Schools to aid students in achieving their individual goals.

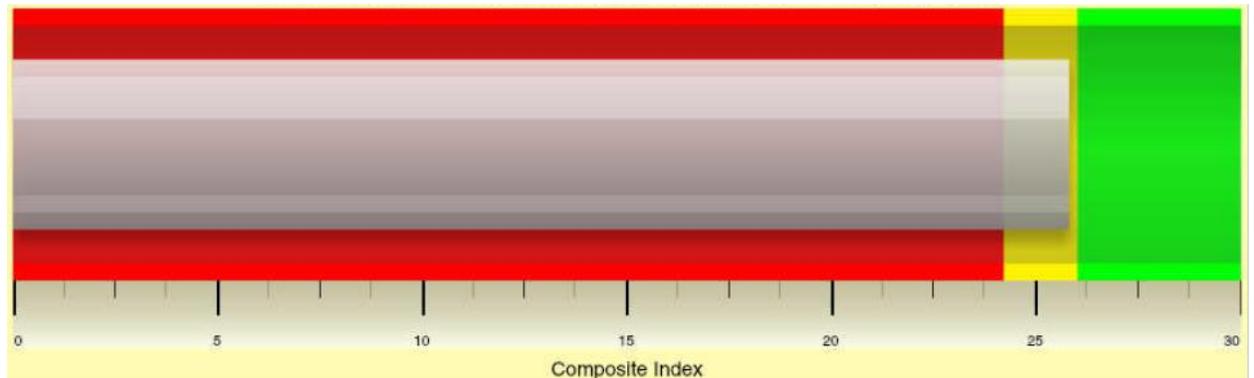
Goal 1: Promote the development of general education knowledge, skills, and competencies



Goal 2: Advance online, applied, and experiential learning opportunities



Goal 3: Leverage information from academic assessment to inform decisions

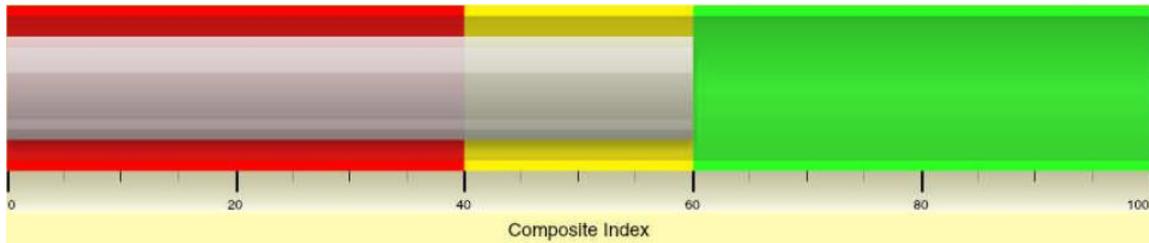


## Direction 2 - Student Success

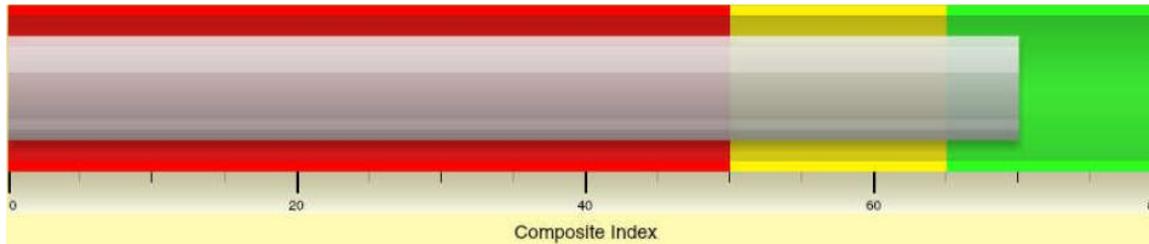


Monroe Community College is committed to workforce development and career technical education. Collaborating with business and industry, the College is responsive and flexible in its curriculum delivery to meet evolving workforce and employer needs within a global economic context. MCC supports economic development for the region through education and training. Our priorities are program quality and customer satisfaction.

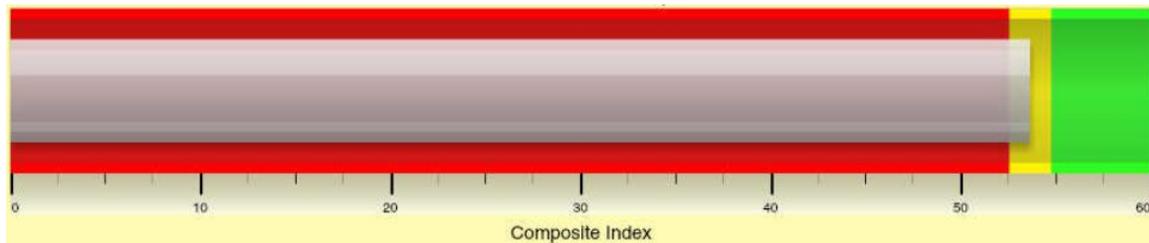
Goal 1: Improve retention and completion rates for all degree/certificate seeking students



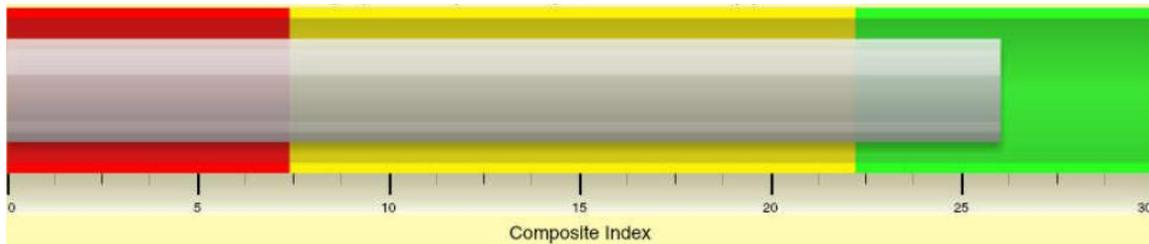
Goal 2: Promote student engagement within the MCC Schools to identify career and transfer pathways



Goal 3: Increase student fall-to-fall persistence rates

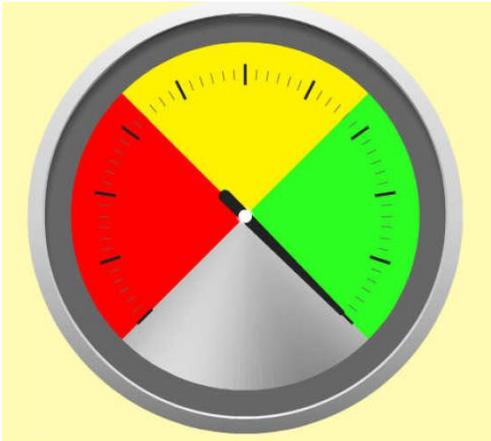


Goal 4: Pursue strategic partnerships to strengthen the education pipeline and to assist learners

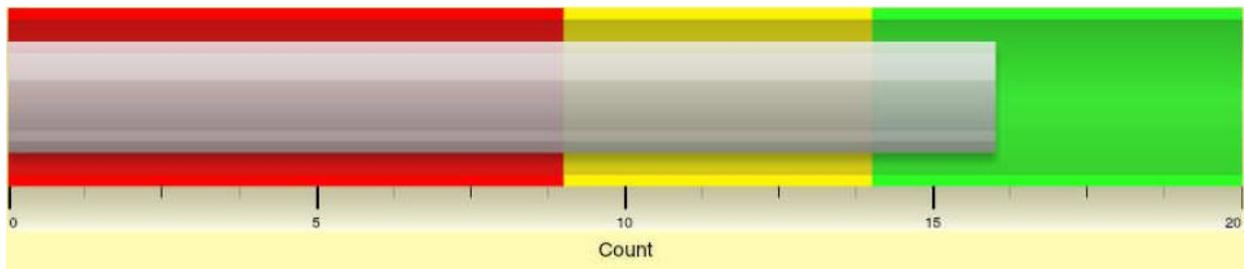


### Direction 3 -- Career Pathways and Regional Economic Development

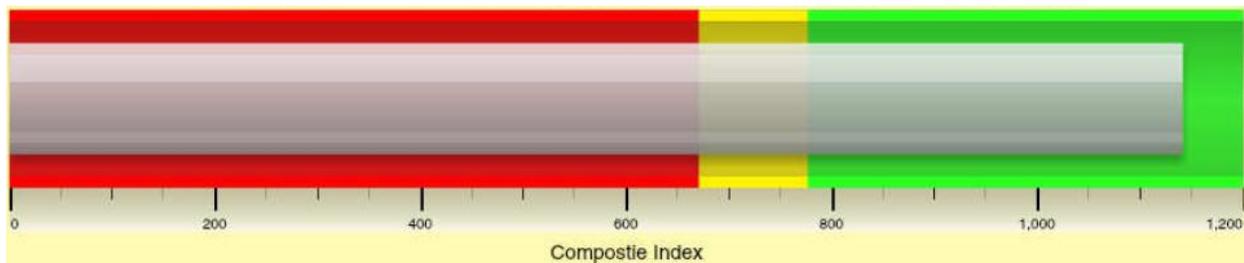
Monroe Community College values partnerships and strategic alliances that support educational, economic, and community initiatives. MCC is committed to closing gaps within the education pipeline in support of college readiness and completion. Our partnerships help leverage learner success, program quality, and workforce development, thus contributing to the overall economic health of the region.



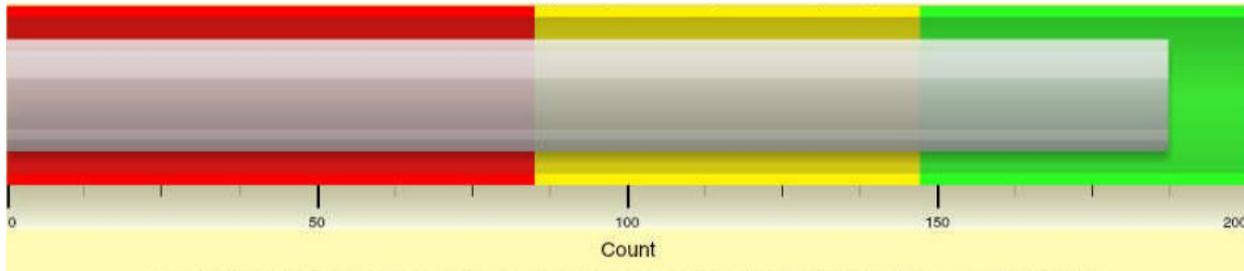
Goal 1: Enhance institutional capacity to forecast workforce needs and align resources and programs.



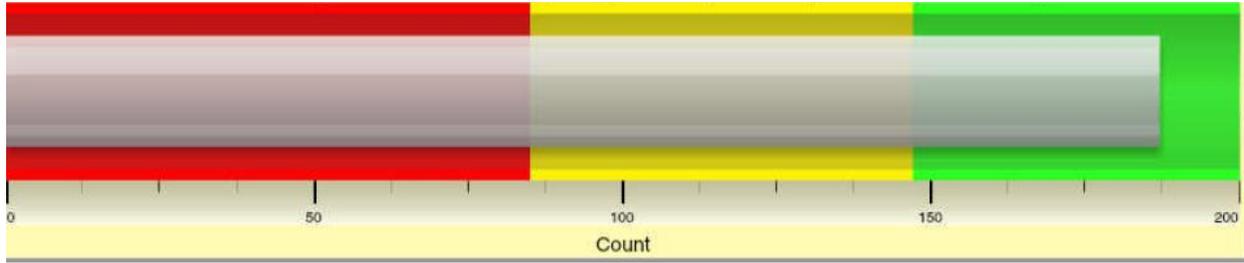
Goal 2: Increase academic and workforce training programs that are industry-driven, relevant....



Goal 3: Increase the number of learners exploring, choosing, and completing career technical/STEM ...



Goal 4: Promote regional economic vitality through diverse partnerships including: community, business ....

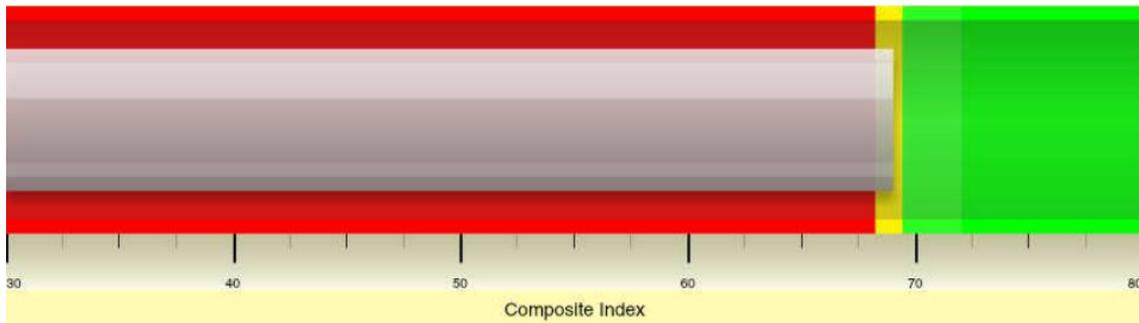


## Direction Four: Organizational Culture

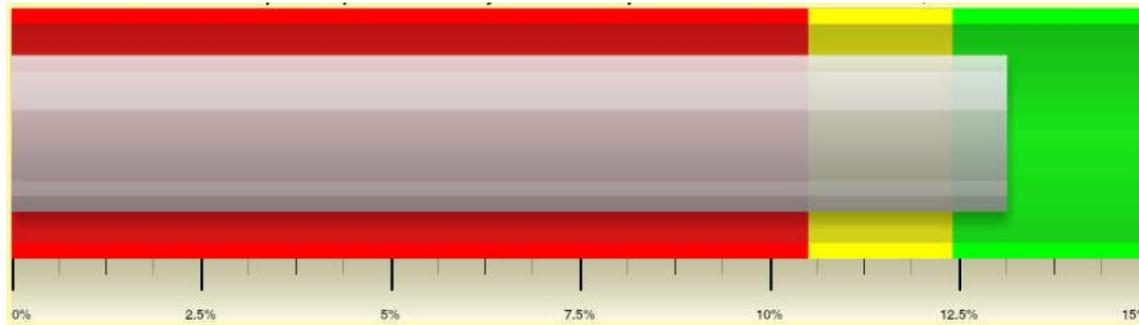


The promise of Monroe Community College is to provide an innovative, supportive, and collaborative learning environment that includes high-impact practices. Our commitment to learner success is strengthened through responsive curricular design and meaningful academic assessment. We are committed to providing students with guided, intentional pathways through the MCC Schools to aid students in achieving their individual goals.

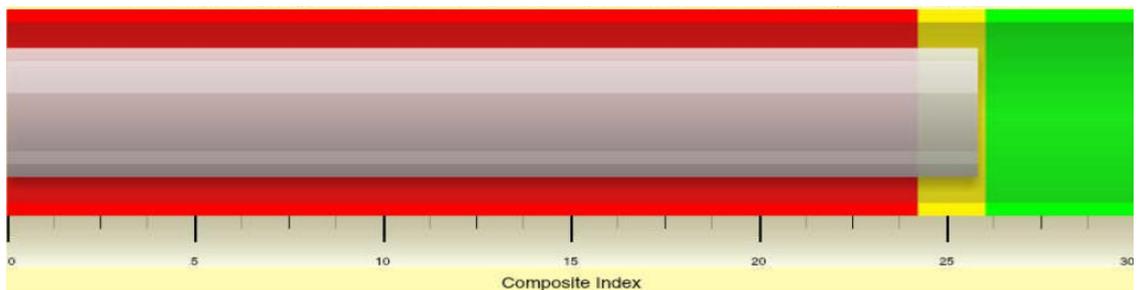
Goal 1: Foster a culture that promotes openness, trust, collaboration, accountability, and mutual ...



Goal 2: Develop and implement diversity and inclusion practices focused on recruitment, retention...



Goal 3: Further our commitment to talent and knowledge management practices and timely search ...

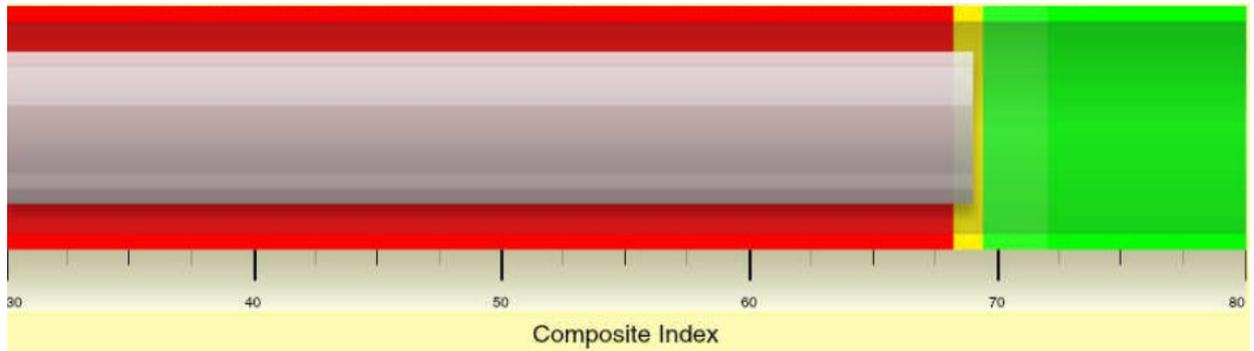


**Direction Five -- Institutional Effectiveness**

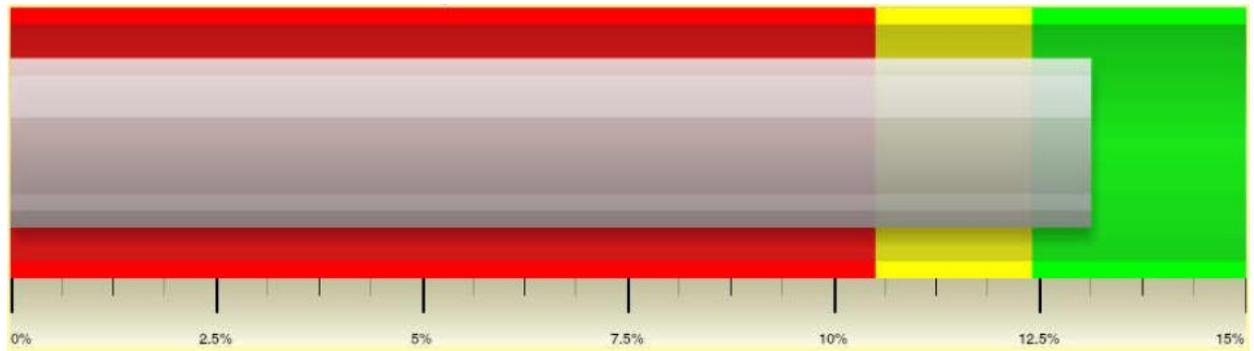


Through inquiry, evidence-based analysis, and fiscal accountability, the institution's planning processes, resources, and structures are aligned with each other and structured to support and enhance the student experience. Institutional effectiveness requires purposeful allocation of resources; strategic investment in technology, infrastructure, and facilities; and continuous assessment and improvement in programs and services.

Goal 1: Advance institutional effectiveness and organizational efficiency through planning, assessment...



Goal 2: Implement judicious resource allocation strategies



## **UNIT ASSESSMENT PLANS (Schedule Matrices) and Documents**

The unit assessment process for non-academic departments continues to evolve and provides an example of continuous improvement in action at MCC. In 2011, administrative units in each division of the College pilot tested an assessment process that was adopted from a well-established academic department assessment process. Each division selected several departments to complete the self-review and then provide feedback on both the effectiveness of the experience and the instrument. This pilot led to significant debate regarding the value of a one-size-fits-all approach given the diverse roles of administrative units across divisions.

Based on this assessment, Academic Services, Administrative Services, and EDIWS each identified the key elements of the instrument that provided value to their organizations and adopted modified versions to meet their needs. Student Services chose to adopt an instrument specifically designed for evaluating student services operations.

Each division has developed a timeline for the ongoing assessment of each unit (plan) within their division.

# Administrative Services Plan

## ASSESSMENT OF ADMINISTRATIVE SERVICES DEPARTMENTS/PROCESSES

Department/Process	Initial Assessment FY 10-11	Initial Assessment FY 13-14	Initial Assessment FY 14-15	FY 15-16	FY 16-17	FY 17-18	FY 18-19	FY 19-20	FY 20-21
Payroll – PT Workflow	X☑			X☑					X
Payroll – Retiree Health Insurance			X☑					X	
Student Accounts – Expanded Drop for Non-Payment		X☑		X☑					X
Student Accounts – Dual Credit Scholarships			X☑					X	
Accounting Services							X		
Combined Building Services Work Shifts		X☑				X			
Facilities Performance Indicator Assessment				X☑	X☑	X	X	X	X
Vacancy Lapse		X☑							
Parking – Collection Notification Process			X☑			X			
Parking Services – Virtual Permitting		X☑				X			
Public Safety – Monthly Data Sheets			X☑			X			
E H & S – Master Schedule of Responsibilities			X☑			X			
Financial Aid Calling Process			X☑				X		
Budget Office – Budget Submission Process						X			
Risk Management – International Travel						X			
Risk Management – Contract Mitigation Strategies							X		
Budget Resource Committee (BRC)			X☑						
IPEA			X☑					X	

<b>Agile Project</b>					X☑				
<b>Department/Process</b>	<b>Initial Assessment FY 10-11</b>	<b>Initial Assessment FY 13-14</b>	<b>Initial Assessment FY 14-15</b>	<b>FY 15- 16</b>	<b>FY 16- 17</b>	<b>FY 17- 18</b>	<b>FY 18- 19</b>	<b>FY 19- 20</b>	<b>FY 20- 21</b>
<b>Classroom Upgrades</b>					X☑				
<b>Upgrade SSP</b>					X☑				
<b>Inst Compliance &amp; Internal Audit/Tech Services (Inf Security Risk Assessment)</b>						X☑	X	X	X

Note: The Administrative Services Division will use a 5-year cycle to assess all of its departments and processes.

Administrative Services  
**Assessment Process – Guidelines**

**I. Assessment Activity**

- A. Assessment is a method of gathering, analyzing and using information from different sources, using measured outcomes, in order to improve a policy, procedure, process, or service.
- B. Areas for assessment may include policy, procedure, process, service or other departmental activity. Priority should be given to areas that impact student success.
- C. The area for assessment should be agreed upon by the Chief Financial Officer and department head and documented on the **Assessment Plan form**.
- D. Assessment is a collaborative process with participation from within the department and if appropriate other departments and experts.
- E. Assessment should be linked with the MCC Strategic Plan and department goals.

**II. Logistics of the Assessment Process**

- A. Create a timeline for each assessment activity.
- B. Define the desired outcome sought or end product for the assessment (eg: performance of a service or process, compliance with regulations, efficiency & effectiveness of operations, revenue enhancement or savings, etc.). Put simply this is what you are trying to do.
- C. Identify individuals, committees, or groups responsible for determining the best measurements and data collection.
- D. Where appropriate, identify how student input should be built into the assessment process.
- E. Analyze results; identify budget needs (if any), note important findings; discuss challenges and areas for improvement.

**III. Assessment Measurements**

- A. Consider assessment methods already in use (eg: student survey, budget analysis, work flow monitoring, other direct and indirect measures). Institutional Research, Controller's and Budget offices are good sources for data.
- B. Work with the Computing Center to access data on the Banner system.
- C. Use assessment instruments already accepted in the field (eg: professional associations, accrediting boards, regulatory guidance, accepted best practices, etc.) to identify benchmarks and assessment tools.
- D. If possible use multiple measures to assess the activity/initiative.

- E. Both qualitative and quantitative measures are acceptable, and a blend of the two is most desired.

**IV: Action Plan**

- A. Use the information from the assessment to maintain or improve the policy, procedure, process or service.
- B. Document the assessment results on the [Assessment Results Summary form](#).
- C. Maintain supporting documentation to support assessment outcomes.

**Report Templates**

**ADMINISTRATIVE SERVICES**

Assessment Plan

Assessment Area	Time Frame	Person/Department Responsible	Outcome Sought	Budget Request	Action Taken

**Administrative Services  
Assessment Results Summary Form**

Assessment Activity:

Period Covered:

Date Submitted:

Submitted by:

Title:

MCC Strategic Direction/Goal:

Linkage to Department Goal:

Intended Outcomes:

Evaluation for Intended Outcome Identified Above:

1. Describe the assessment activity (policy, procedure, process or service) and related goals that were assessed.

---

---

2. List or describe the specific measurements used to assess the activity.

---

---

3. Summarize the analysis of evidence collected identifying both strengths and areas needing improvement if applicable.

- 
- 
4. Identify any staffing, budgetary, policy development, procedure enhancements or process improvements needed to address recommendations.

- 
- 
5. Describe how the results have been used to improve the activity in terms of achieving the outcome listed above.
- 
-

# EDIWS

## Plan: PROPOSED ASSESSMENT SCHEDULE FOR ECONOMIC DEVELOPMENT & INNOVATIVE WORKFORCE SERVICES DEPARTMENTS

Prepared By Matthew O'Connor

April 8, 2015

EDIWS Department	Initial Assessment FY 14-15	FY 15-16	FY 16-17	FY 17-18	FY 18-19	FY 19-20
Office of the Vice President	X☑	X				
Marketing Operations	X☑		X			
Corporate College Workforce Development	X☑			X		
Strategic Resource & Grant Management	X☑				X	
Career Technical Education	Degree programs are assessed via separate academic assessment process.					
Agriculture & Life Sciences	X					X
Public Safety Programs	X				x	
Homeland Security Management Institute	X			X		

Note:

The ECONOMIC DEVELOPMENT & INNOVATIVE WORKFORCE SERVICES Division will use a five-year assessment cycle for all departments and associated workflows and processes. After FY 19-20, the assessments shown for FY 15-16 repeat as the baseline for FY 20-21.

**Report Template**

**Report Template for Assessment of Administrative Departments**

**(Name of Department)**

**Evaluation Report**

**(Insert date)**

Prepared by: (insert author)

**Institutional Planning, Effectiveness & Accountability Office**



**Monroe Community College**  
STATE UNIVERSITY OF NEW YORK

## Table of Contents

Executive Summary	Page
Introduction/Overview	Page
Section 1: Department's Purpose, Organization and Functions/Services	Page
Section 2: Department's Human Capital	Page
Section 3: Department Resources	Page
Section 4: Department Self-Evaluation	Page
Section 5: Institutional Effectiveness	Page
Section 6: Recommendations and Action Plan	Page
Appendices (examples)	

## **EXECUTIVE SUMMARY**

Executive summaries are often the most highly utilized sections of a report as they give the reader a quick thumbnail summary of the larger report. The executive summary should be a significantly abridged form of the overall report, where findings, recommendations and planned actions should be the primary content.

Because the executive summary content focuses on answering the question, “What is the most important information that one should take away from reading this document?” this section should be written last. The executive summary will ideally be no more than one page in length (no more than two pages), and need not be original content. Copying and pasting from other parts of the report is an entirely appropriate time-savings strategy.

## **INTRODUCTION/OVERVIEW**

A brief descriptive overview of the process the department undertook for the project. This outline discussion can present to the reader the timeline of the process delivered as a short narrative. Alternatively, the introduction can serve as a brief discussion of the challenges and successes that the department employees experienced during the assessment project. This section shouldn't be lengthy. A single substantial paragraph, or two shorter paragraphs, is sufficient.

---

## **SECTION 1: DEPARTMENT'S PURPOSE, ORGANIZATION AND FUNCTIONS/SERVICES**

### **A. Department Purpose Statement**

Provide a succinct department statement of purpose. The statement should be congruent with the College's mission statement (<http://www.monroecc.edu/etsdbs/pubaff.nsf/MCCFacts/Mission?OpenDocument>) and should provide a framework for the goals and strategies of the department by addressing the desired outcomes of the department.

### **B. Department Organization**

Provide a functional operation chart for your department.

### **C. Historical Context (optional)**

Some departments at MCC have a history worth noting. With the many different shifts in the College's broad

organizational structure over time, the functions of a particular department may have evolved. The historical context of that evolutionary change may provide important insight in the overall evaluation – revisiting the past as a means of moving forward is a viable means of assessing current success.

Additionally, “historical” context is a bit of a misnomer here because equally relevant to a department’s evaluation might be its very lack of a history. That is to say, relatively newly-formed departments at the College might be struggling with purpose or identity specifically because the department doesn’t have a historical model of experience to follow.

#### **D. Functions/Services/Processes\***

1. List the major functions/services/processes provided by the department.
2. List functions/services/processes which currently exist that could be discontinued or transferred to another department. Be sure to give supporting reasons.
3. List functions/services/processes which currently are needed which do not currently exist. Also give supporting reasons for need.
4. What external developments and trends (such as legislation, compliance, demographic, professional practices) do you believe will have the greatest impact on the department’s functions and services?

**\*Each function/service/process should be assessed separately, using the MCC Template at the end of this document.**

## **SECTION 2: DEPARTMENT’S HUMAN CAPITAL**

### **A. Credentials, Qualifications, and Years of Service of Department Management and Employees**

The most important resources in any department at the College are the people who provide content and organizational expertise. This section of the report gives the opportunity to showcase the quality of the department’s workforce. The value of completing this section is to give the department’s staff an opportunity to “take stock of themselves” and to establish a full “inventory” of the knowledge, skills and experience of the staff of the department. Each person from the department should be listed (full time, part time and special assignment, each clearly indicated) with a full accounting of their knowledge, skills and experience as indicated below.

“Credentials” refers specifically to academic training and degrees, licensure or certification exams, or other similar training that would communicate an individual’s specialization and/or expertise. These credentials should be reported as completely as possible for each individual - their college degrees, subject area (major), college or university, and degree attainment date (year) should be included, listing them in order of attainment (Associate’s degrees, then Bachelor’s, etc.).

For departments where college degrees are unusual and high school diplomas are the most common credential, the report might choose to de-emphasize a full accounting of the degrees, and focus instead on qualifications and years of service.

“Qualifications” refers to work experience gained over the course of one’s career that is or might be relevant to the current job held.

### **B. Distribution of Workload: Full-time, Part-time and Specially-Designated Employees**

A simple accounting of department staff will include a summary of the number of employees, their professional designation (administrative professional, faculty, non-teaching faculty, non-teaching professional staff, etc.) and their work status (full time, part time; part time/temporary, etc.). Aggregate numbers, rather than listing employees by name, is recommended here for ease of review and efficiency.

### **C. Professional Development Activities**

What activities are the department’s members engaging in to update and improve their knowledge and skills? This section is designed to focus the department’s attention on the specific efforts that employees are engaging in to bring added value to their contribution to MCC. In other words, this section is about the human resources investment that the department’s members are making in themselves and in the College. Departments should report professional development activities for the past three full academic years.

### **D. Notable Successes in Employee Contributions (optional)**

Every department has stories that characterize the people of that department – stories that recognize how individuals who go above and beyond normal expectations can serve as examples of excellence for their peers and for the College community as a whole. Those stories can be included here.

## SECTION 3: DEPARTMENT RESOURCES

### A. Facilities and Equipment

1. Describe adequacy of current facilities.
2. Describe adequacy of current equipment inventory (item description and status). If inadequate, list approximate age of equipment.
3. Describe adequacy of current software or specialty software.

### B. Budget Summary

1. Present an overview of budgeting trends over time (minimally a three-year trend).

## SECTION 4: DEPARTMENT SELF-EVALUATION

Self-evaluation is often challenging because determining how and what to improve requires a full understanding of not only what the department is doing, but what the department is also capable of doing. Incorporating a broad set of criteria to structure the evaluation can provide the department with a better understanding of effort versus potential.

A number of different analytical approaches in evaluating the department's level of success can be utilized. The evaluation will likely take on more meaning if at least some of the following areas are addressed:

- Productivity/Performance: To what degree is the department meeting expectations in the quantity of work that the College needs the department to do?
- Effectiveness: To what degree is the department succeeding in those tasks and responsibilities that the department is assigned and expected to complete?
- Efficiency: To what degree is the department providing the College with the "biggest bang for the buck" possible? How well does the department manage its time and resources?
- Impact: To what degree does the output that the department provides enable other departments at the College to similarly succeed in their tasks and responsibilities?

Use a separate template sheet for assessment of each major function/process.

### A. Department Self-Evaluation

1. On a scale of 1-10, how would you describe the level of functioning (effectiveness, efficiency) of this department at this time?
  - a. What are the strengths of the department?
  - b. What are the major weaknesses or deficiencies of the department?
2. Describe how you evaluate the success of your department. Please explain your rating.
3. Gap Analysis -- a technique for determining the steps to be taken in moving from a current state to a desired future state. Clearly delineate what steps, resources, etc. are needed to move to the desired state.

4. What changes have been made as the result of assessments?

## **SECTION 5: INSTITUTIONAL EFFECTIVENESS**

The effectiveness of an institution rests upon the contribution that each of the institution's departments makes toward achieving the goals of the institution as a whole.
--

### **A. Connection to College's Strategic Plan**

1. Demonstrate relationship of department's goals/strategies to the College's Strategic Plan.

### **B. Planning and Effectiveness**

1. Describe in summary the successes of the department's planning efforts for the past three years.
2. Describe in summary any unsuccessful goals/strategies of the department for the past three years.

### **C. Support of Student Learning**

1. Describe how the efforts of your department support student learning (a fundamental component of institutional effectiveness and accreditation).

## **SECTION 6: RECOMMENDATIONS AND ACTION PLAN**

### **A. Proposals for Maintaining and Improving Upon Current Strengths**

1. Drawn from the assessments previously conducted, describe how the department will maintain or improve on identified areas of strength.

### **B. Recommendations for Addressing Weaknesses**

1. Drawn from the assessments previously conducted, describe how the department will address or improve upon identified weaknesses.

## **APPENDICES (examples only)**

- Copy of department's organizational chart
- List(s) of full-time, part-time and special-assignment employees
- Chart summarizing professional development activities of employees
- Equipment Inventory
- Employee Questionnaire sample
- Operational Plan

**MCC Template for**  
**Assessment of Administrative Departments'**  
**Functions/Services/Processes**

Department: \_\_\_\_\_

DATE: \_\_\_\_\_

A. STATE THE FUNCTION/SERVICE/PROCESS ASSESSED:

B. STATE THE METHODS BY WHICH YOU ASSESSED THE STATED FUNCTION/SERVICE/PROCESS:

1:

2:

C. DESCRIBE IN FULL DETAIL THE PROCESS OF ASSESSMENT THAT WAS UNDERTAKEN (For example: How was data and information collected? From whom? Over what period of time?)

D. REPORT THE RESULTS

E. ACTION PLAN

**ATTACH TO THIS FORM (OR INCLUDE IN ELECTRONIC FORMAT) EXAMPLES OF THE ASSESSMENT TOOLS/INSTRUMENTS UTILIZED, ALONG WITH ANY RAW DATA SAMPLES COLLECTED, TO FURTHER DOCUMENT THE ASSESSMENT PROCESS AND THE REPORTED RESULTS.**

## Student Services

### PLAN

#### Assessment Cycle

Cycle 1		Cycle 2		Cycle 3	
2014 - 2015	Status	2015 - 2016	Status	2016 - 2017	Status
Advising & Graduation Services	Complete	Athletics	Complete	Educational Opportunity Program	Complete
Services for Students with Disabilities	Complete	Campus Events	Moved divisions	Career Services	Complete
Student Life and Leadership Development	Complete	Counseling and Veteran Services	Complete	Health Services	Complete
Financial Aid	Complete	DCC Student Services	Skipped	Housing & Residence Life	Complete
Admissions	Skipped	Records and Registration	Complete	Testing Services	Complete

Cycle 4		Cycle 5		Cycle 6	
2017 - 2018	Status	2018 - 2019	Status	2019 - 2020	Status
Advisement and Transfer Services	In progress	Athletics		Educational Opportunity Program	
Counseling and Disability Services	In progress	Registration and Records		Career and Veteran Services	
Admissions	In progress	Student Rights and Responsibilities		Housing and Residence Life	
Financial Aid	In progress	Community Engagement & Single Stop		Testing Services	
Student Life and Leadership	In progress	Downtown Campus Student Services		Health Services	



## Student Services Assessment

The Office of the Vice President of Student Services guides the assessment efforts of the Division of Student Services. These measurements evaluate the effectiveness of programs and services and their impact on students' learning, career and life goals, cultural understanding, and personal growth and development. Through collaborations, the Office supports the ongoing development of a culture of assessment wherein effective and efficient programs and services can be developed and refined to support and complement the College's mission.

### Unit Assessment Cycle

Cycle 1	Cycle 2	Cycle 3
Advising and Graduation Services	Athletics	Educational Opportunity Program
Services for Students with Disabilities	Campus Events	Career Services
Student Life and Leadership Development	Counseling Center and Veterans Services	Health Services
Financial Aid	DCC Student Services	Housing and Residence Life
Admissions	Records and Registration	MCC Association

### Guidelines for Unit Assessment Teams

- Assist units in developing the skills needed to successfully evaluate programs and learning outcomes
- Provide access to current research on outcomes assessment, performance measurement, and evaluation
- Collaborate with campus partners to advance the practice of outcomes assessment

### Demonstration of success:

1. Programs and services will be routinely assessed by the office responsible, and the staff will be better informed to make adjustments accordingly.

2. When possible, decisions will be data driven based upon information obtained through the assessment process.
3. Evidence-based decision making becomes a routine part of Student Services' operating philosophy.

### **Student Services Purpose Statement**

The Division for Student Services is committed to complementing the mission of Monroe Community College to provide a center for learning.

Learning occurs outside, as well as within, the classroom. It is the Division's objective to work in partnership with other areas of the College by offering services, programs, and educationally purposeful activities in order to build an inclusive, supportive, intellectual, and engaging environment for students that augment classroom study.

Through its many services, Student Services works closely with a variety of constituents in the community to enhance and create new partnerships. These external and internal relationships provide the groundwork for a focused learning community for students.

### **Student Services Division's Commitment is to:**

- Provide opportunities for intellectual, personal, and social growth
- Foster high ethical standards
- Encourage participation of students as leaders in the College and within the community
- Promote diversity and a spirit of tolerance
- Meet the contemporary needs of MCC students

### **Values:**

- The learning, personal growth, and development of all students
- Uniqueness of every individual
- Citizenship and civic responsibility for all students
- Partnerships and collaborations that promote learning
- Development of the lifelong learning process



## **Council for the Advancement of Standards in Higher Education (CAS)**

We are pleased you are interested in the Standards and Guidelines developed by the Council for the Advancement of Standards in Higher Education (CAS). This CAS member association has permission to post a link to this standard on their website. Standards are developed through a consensus model of member associations and other experts, including the association on whose page this link is found. You are invited to use the attached CAS statement in the design and assessment of your programs and for your staff training and development. *This statement may not be duplicated for other purposes without permission from CAS.*

This standard and all other standards are available along with information on self-assessment procedures in the most recent edition of the *CAS Professional Standards for Higher Education* book. You are particularly encouraged to examine the learning and developmental outcomes (see [www.cas.edu](http://www.cas.edu) and in the standards book) in the design and assessment of your programs.

This standard has a Self-Assessment Guide (SAG) available for purchase from [www.cas.edu](http://www.cas.edu) for use in program evaluation.

### **CAS MISSION STATEMENT**

CAS, a consortium of professional associations in higher education, promotes the use of its professional standards for the development, assessment, and improvement of quality student learning, programs, and services

### **CAS STANDARDS AND GUIDELINES**

Each CAS standard contains 12 common criteria categories (referred to as “general standards”) that have relevance for each and every functional area, no matter what its primary focus. In addition to the general standards, all functional area standards are comprised of both specialty standards and guidelines. All standards use the auxiliary verbs “must” and “shall” and appear in bold print so that users can quickly identify them. Guidelines are designed to provide suggestions and illustrations that can assist in establishing programs and services that more fully address the needs of students than those mandated by a standard. CAS guidelines appear in regular font and use the auxiliary verbs “should” and “may.”

### **OVER THIRTY YEARS OF PROFESSIONAL SERVICES**

The Council for the Advancement of Standards in Higher Education (CAS) has been the pre-eminent force for promoting standards in student affairs, student services, and student development programs since its inception in 1979. For the ultimate purpose of fostering and enhancing student learning, development, and achievement and in general to promote good citizenship, CAS continues to create and deliver a dynamic and credible professional standards and guidelines and Self-Assessment Guides that are designed to lead to a host of quality-controlled programs and services. These standards respond to real-time student needs, the requirements of sound pedagogy, and the effective management of 45 functional areas, consistent with institutional missions. Individuals and institutions from more than 40 CAS member organizations comprise a professional constituency of over 100,000 professionals.

## DISCLAIMER

The standards and guidelines published in “CAS Professional Standards for Higher Education” by the Council for the Advancement of Standards in Higher Education (CAS) and referred to in each of the “CAS Self-Assessment Guides” (SAGs) are developed through the voluntary efforts of leaders of professional associations in higher education. The purpose of the standards and guidelines is to identify criteria and principles by which institutions may choose to assess and enhance various areas of their academic, administrative, or student affairs programs and services. CAS specifically disclaims any liability or responsibility for any perceived or actual shortcomings inherent in the text or application of the standards. Further, CAS does not certify individuals nor accredit programs. No institution, whether it has met some or all of the CAS standards, is authorized to indicate that it is “approved, endorsed, certified, or otherwise sanctioned by CAS.” Institutions that have conducted a self-assessment of one or more functional areas addressed by CAS Standards and Guidelines using the appropriate CAS Self-Assessment Guide (SAG) may, where that self-assessment provides evidence that an institution meets these standards, are free to make accurate representations to the effect that the designated program or service meets the CAS Standards.

Direct your questions to the CAS Executive Office, P.O. Box 1369, Fort Collins, CO 80522-1369, 202-862-1400, or email Marybeth Drechsler Sharp, Executive Director (executive\_director@cas.edu)

## CAS GENERAL STANDARDS

### CAS Contextual Statement

For more than 35 years, higher education professionals, including members of associations representing student and academic affairs programs and services, have utilized the professional standards, values, and principles developed and promulgated by the Council for the Advancement of Standards in Higher Education (CAS). The CAS standards fulfill a three-fold purpose:

- to foster and enhance student learning and development;
- to recognize and promote fundamental and indispensable standards of practice and the assessment of related programmatic and student outcomes; and
- to provide a foundation to develop, guide, assess, and improve programs and services.

The Oxford Dictionaries (2014) define a standard as a “required or agreed level of quality or attainment” (§1.1). The CAS standards embody the distilled wisdom of higher education professionals with expertise in the specialty of their subject matter and an understanding of the needs of the students they serve and the organizations they represent. The CAS standards describe the practice requirements (known as *standards*) and guidelines for 43 higher education specialties (known as *functional areas*) that touch college students’ lives. CAS standards also comprise a measure, norm, or model useful for self-study or comparative evaluations, and they thereby enhance credibility, demonstrate accountability, and underpin program and service improvement for assessment initiatives and action planning.

Professionals in higher education use the vetted and agreed upon CAS Standards as benchmarks to inform practice, management of programs, delivery of services, and assessment processes. The CAS standards have also been used effectively to help advance or leverage existing or new programs and services. More recently, the student learning and development domains of the standards have provided a framework for identifying the student learning and development outcomes that are intended to result from engagement with programs and services.

With the creation and publication of the first 16 functional area standards in 1986, CAS members noted a number of commonalities, which culminated in two fundamental principles:

- The functional areas must include a core, global set of standards that advance common goals (i.e., relevant to various types of higher education institutions as well as to programs and services, regardless of specialty).
- Student learning and development are fundamental to mission and program and must be incorporated into standards.

These principles led to the creation of the CAS General Standards, the set of core standards statements that apply across functional areas and are embedded in each set of functional area standards.

The CAS General Standards are informed by the expertise and diverse backgrounds of representatives from CAS member associations and by their collective wisdom and experiences across institutional programs and services. The CAS General Standards are reviewed and revised every three years prior to the publication of each new edition of *CAS Professional Standards for Higher Education*.

Although not designed to stand alone, CAS General Standards are presented here to remind and inform educators that despite differences among institutions and within functional areas, significant commonalities exist across the multitude of postsecondary programs and services. The General Standards challenge 'silo' thinking, in which each functional area carries on its own business with limited awareness of the activities, needs, and resources of other divisions and departments'' (Fried, 2007, p. 6) and with limited awareness of the ways they contribute to overall student learning and development. Moreover, the General Standards, as embedded within functional area standards, provide the framework for all those in higher education to develop "programs, services and experiences that contribute to student learning experiences that are valued at their institution and, moreover, that are empirically verified as adding value to the student experience at their institutions'' (Schuh & Gansemer-Topf, 2010, p. 6).

To ensure that the CAS General Standards apply to and benefit all functional areas (e.g., a one-person student support operation as well as complex programs and services staffed by multiple specialists), the CAS Board of Directors consults with member associations and solicits comments from practitioners. The CAS directors consider differences across functional areas and institutions (e.g., mission and goals, programs, organizational structures, culture and values, student populations served, campus environments, facilities, reporting channels, and resources). The regular revision cycle for the General Standards ensures responsiveness to a changing postsecondary environment and recognition of widely acknowledged and accepted practices. When used for self-assessment and program review, each functional area standard (with the embedded General Standards) provides criteria by which leaders in an institution and functional area can judge the quality and effectiveness of current educational efforts. In functional areas with no standards, stakeholders can employ the General Standards as the starting place to create new programs and services and to design assessment of current ones. In settings where multiple areas are using CAS, the General Standards provide a common language and common expectations, enhancing communication and understanding among areas.

CAS directors recognize the potential impact that institutional programs and services can exert upon student learning and development. Following the publication of *Learning Reconsidered* (NASPA & ACPA, 2004), CAS integrated a revised set of student learning outcomes within the General Standards to enhance efforts for promoting student learning and development. CAS hosted a think tank involving writers of *Learning Reconsidered*, CAS directors, and prominent practitioners and faculty members to recommend revisions to the CAS student learning and development domains. In 2008 the CAS Board of Directors adopted revisions to the student learning and development outcomes, contained in the General Standards and referred to as domains:

- knowledge acquisition, construction, integration, and application;
- cognitive complexity;
- intrapersonal development;
- interpersonal competence;
- humanitarianism and civic engagement; and

- practical competence.

Each domain is further defined or clarified by several learning outcome *dimensions*, which allow for more focused program development and assessment. Examples describing achievement of the student learning outcomes for each of the dimensions appear in the CAS Learning and Development Outcomes chart.

The 2008 revision of the General Standards required programs and services to include student learning and development in mission statements, identify relevant and desirable learning from the six domains, assess relevant and desirable learning, and articulate the ways the programs and services contribute to student learning and development. By recognizing the centrality of student learning and development as well as requiring assessment of learning outcomes, CAS affirms and reinforces expectations of leaders in higher education and accrediting associations. Specifically, CAS provides a vetted framework for self-review of student-oriented programs and services.

In 2011 the CAS Board of Directors adopted significant revisions to the General Standards. In support of *Professional Competency Areas for Student Affairs Practitioners* (ACPA & NASPA, 2010), it revised required competencies for professionals to align appropriately with ACPA/NASPA competencies, most notably in the section on Organization and Leadership. The 2011 revisions also indicated recognition of the pervasiveness of distance learning and the need for those in all functional areas to address the needs of distance education students (Shelton, 2011).

The current General Standards, as revised and approved in 2014, include rewritten or added standards that reflect broadly applicable and high quality practices pertaining to issues of access as well as changes and trends in student populations, technologies, and assessment efforts. With a growing focus on accountability and budget planning, as well as environmental and ethical purchasing practices, new standards were added to the section on Financial Resources. CAS also paid particular attention to the growth in distance education and online learning, new venues for accessing higher education, and expectations for program and service delivery. Recognizing the importance of clarity in use of terms or phrases, CAS updated the Glossary of CAS Terms (Appendix D).

An understanding of the General Standards and the Glossary of CAS Terms will enhance and facilitate the appropriate use of the standards for self-study and program review and will ensure that the CAS standards constitute a reliable basis for professionals to share values and expectations across institutional programs and services.

### **References, Readings, and Resources**

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## **CAS GENERAL STANDARDS**

### CAS Standards and Guidelines

#### **Part 1. MISSION**

Programs and services must develop, disseminate, implement, and regularly review their missions, which must be consistent with the mission of the institution and with applicable professional standards. The mission must be appropriate for the institution's students and other constituents. Mission statements must reference student learning and development.

#### **Part 2. PROGRAM**

To achieve their mission, programs and services must contribute to

- students' formal education, which includes both the curriculum and the co-curriculum
- student progression and timely completion of educational goals
- preparation of students for their careers, citizenship, and lives
- student learning and development

To contribute to student learning and development, programs and services must

- identify relevant and desirable student learning and development outcomes
- articulate how the student learning and development outcomes align with the six CAS student learning and development domains and related dimensions
- assess relevant and desirable student learning and development
- provide evidence of impact on outcomes
- articulate contributions to or support of student learning and development in the domains not specifically assessed
- use evidence gathered to create strategies for improvement of programs and services

## STUDENT LEARNING AND DEVELOPMENT DOMAINS AND DIMENSIONS

Domain: knowledge acquisition, integration, construction, and application

- Dimensions: understanding knowledge from a range of disciplines; connecting knowledge to other knowledge, ideas, and experiences; constructing knowledge; and relating knowledge to daily life

Domain: cognitive complexity

- Dimensions: critical thinking, reflective thinking, effective reasoning, and creativity

Domain: intrapersonal development

- Dimensions: realistic self-appraisal, self-understanding, and self-respect; identity development; commitment to ethics and integrity; and spiritual awareness

Domain: interpersonal competence

- Dimensions: meaningful relationships, interdependence, collaboration, and effective leadership

Domain: humanitarianism and civic engagement

- Dimensions: understanding and appreciation of cultural and human differences, social responsibility, global perspective, and sense of civic responsibility

Domain: practical competence

- Dimensions: pursuing goals, communicating effectively, technical competence, managing personal affairs, managing career development, demonstrating professionalism, maintaining health and wellness, and living a purposeful and satisfying life

[LD Outcomes: See *The Council for the Advancement of Standards Learning and Development Outcomes* statement for examples of outcomes related to these domains and dimensions.]

Programs and services must be

- intentionally designed
- guided by theories and knowledge of learning and development
- integrated into the life of the institution
- reflective of developmental and demographic profiles of the student population
- responsive to needs of individuals, populations with distinct needs, and relevant constituencies
- delivered using multiple formats, strategies, and contexts
- designed to provide universal access

Programs and services must collaborate with colleagues and departments across the institution to promote student learning and development, persistence, and success.

### **Part 3. ORGANIZATION AND LEADERSHIP**

To achieve program and student learning and development outcomes, programs and services must be purposefully structured for effectiveness. Programs and services must have clearly stated and current

- goals and outcomes
- policies and procedures
- responsibilities and performance expectations for personnel
- organizational charts demonstrating clear channels of authority

Leaders must model ethical behavior and institutional citizenship.

Leaders with organizational authority for the programs and services must provide strategic planning, management and supervision, and program advancement.

#### Strategic Planning

- articulate a vision and mission that drive short- and long-term planning
- set goals and objectives based on the needs of the populations served, intended student learning and development outcomes, and program outcomes
- facilitate continuous development, implementation, and assessment of program effectiveness and goal attainment congruent with institutional mission and strategic plans
- promote environments that provide opportunities for student learning, development, and engagement
- develop, adapt, and improve programs and services in response to the changing needs of populations served and evolving institutional priorities
- include diverse perspectives to inform decision making

#### Management and Supervision

- plan, allocate, and monitor the use of fiscal, physical, human, intellectual, and technological resources
- manage human resource processes including recruitment, selection, professional development, supervision, performance planning, succession planning, evaluation, recognition, and reward
- influence others to contribute to the effectiveness and success of the unit
- empower professional, support, and student personnel to become effective leaders

- encourage and support collaboration with colleagues and departments across the institution
- encourage and support scholarly contributions to the profession
- identify and address individual, organizational, and environmental conditions that foster or inhibit mission achievement
- use current and valid evidence to inform decisions
- incorporate sustainability practices in the management and design of programs, services, and facilities
- understand appropriate technologies and integrate them into programs and services
- be knowledgeable about codes and laws relevant to programs and services and ensure that programs and services meet those requirements
- assess and take action to mitigate potential risks

#### Program Advancement

- advocate for and actively promote the mission and goals of the programs and services
- inform stakeholders about issues affecting practice
- facilitate processes to reach consensus where wide support is needed
- advocate for representation in strategic planning initiatives at divisional and institutional levels

### **Part 4. HUMAN RESOURCES**

Programs and services must be staffed adequately by individuals qualified to accomplish mission and goals.

Programs and services must have access to technical and support personnel adequate to accomplish their mission.

Within institutional guidelines, programs and services must

- establish procedures for personnel recruitment and selection, training, performance planning, and evaluation
- set expectations for supervision and performance
- provide personnel access to continuing and advanced education and appropriate professional development opportunities to improve their competence, skills, and leadership capacity
- consider work/life options available to personnel (e.g., compressed work schedules, flextime, job sharing, remote work, or telework) to promote recruitment and retention of personnel

Administrators of programs and services must

- ensure that all personnel have updated position descriptions
- implement recruitment and selection/hiring strategies that produce a workforce inclusive of under-represented populations
- develop promotion practices that are fair, inclusive, proactive, and non-discriminatory

Personnel responsible for delivery of programs and services must have written performance goals, objectives, and outcomes for each year's performance cycle to be used to plan, review, and evaluate work and performance. The performance plan must be updated regularly to reflect changes during the performance cycle.

Results of individual personnel evaluations must be used to recognize personnel performance, address performance issues, implement individual and/or collective personnel development and training programs, and inform the assessment of programs and services.

Personnel, when hired and throughout their employment, must receive appropriate and thorough training.

Personnel, including student employees and volunteers, must have access to resources or receive specific training on

- institutional policies pertaining to functions or activities they support
- privacy and confidentiality policies
- laws regarding access to student records
- policies and procedures for dealing with sensitive institutional information
- policies and procedures related to technology used to store or access student records and institutional data
- how and when to refer those in need of additional assistance to qualified personnel and have access to a supervisor for assistance in making these judgments
- systems and technologies necessary to perform their assigned responsibilities
- ethical and legal uses of technology

Personnel must engage in continuing professional development activities to keep abreast of the research, theories, legislation, policies, and developments that affect their programs and services.

Administrators of programs and services must ensure that personnel are knowledgeable about and trained in safety, emergency procedures, and crisis prevention and response. Risk management efforts must address identification of threatening conduct or behavior and must incorporate a system for responding to and reporting such behaviors.

Personnel must be knowledgeable of and trained in safety and emergency procedures for securing and vacating facilities.

#### PROFESSIONAL PERSONNEL

Professional personnel either must hold an earned graduate or professional degree in a field relevant to their position or must possess an appropriate combination of educational credentials and related work experience.

#### INTERNS OR GRADUATE ASSISTANTS

Degree- or credential-seeking interns or graduate assistants must be qualified by enrollment in an appropriate field of study and relevant experience. These students must be trained and supervised by professional personnel who possess applicable educational credentials and work experience and have supervisory experience. Supervisors must be cognizant of the dual roles interns and graduate assistants have as both student and employee.

Supervisors must

- adhere to parameters of students' job descriptions
- articulate intended learning outcomes in student job descriptions
- adhere to agreed-upon work hours and schedules
- offer flexible scheduling when circumstances necessitate

Supervisors and students must both agree to suitable compensation if circumstances necessitate additional hours.

#### STUDENT EMPLOYEES AND VOLUNTEERS

Student employees and volunteers must be carefully selected, trained, supervised, and evaluated. Students must have access to a supervisor. Student employees and volunteers must be provided clear job descriptions, pre-service training based on assessed needs, and continuing development.

### **Part 5. ETHICS**

Programs and services must

- review applicable professional ethical standards and must adopt or develop and implement appropriate statements of ethical practice
- publish and adhere to statements of ethical practice and ensure their periodic review
- orient new personnel to relevant ethical standards and statements of ethical practice and related institutional policies.

Statements of ethical standards must

- specify that programs and services personnel respect privacy and maintain confidentiality in communications and records as delineated by privacy laws
- specify limits on disclosure of information contained in students' records as well as requirements to disclose to appropriate authorities
- address conflicts of interest, or appearance thereof, by personnel in the performance of their work
- reflect the responsibility of personnel to be fair, objective, and impartial in their interactions with others
- reference management of institutional funds
- reference appropriate behavior regarding research and assessment with human participants, confidentiality of research and assessment data, and students' rights and responsibilities
- include the expectation that personnel confront and hold accountable other personnel who exhibit unethical behavior.
- address issues surrounding scholarly integrity

Programs and services personnel must

- employ ethical decision making in the performance of their duties
- inform users of programs and services of ethical obligations and limitations emanating from codes and laws or from licensure requirements
- recognize and avoid conflicts of interest that could adversely influence their judgment or objectivity and, when unavoidable, recuse themselves from the situation
- perform their duties within the scope of their position, training, expertise, and competence
- make referrals when issues presented exceed the scope of the position

## **Part 6. LAW, POLICY, AND GOVERNANCE**

Programs and services must be in compliance with laws, regulations, and policies that relate to their respective responsibilities and that pose legal obligations, limitations, risks, and liabilities for the institution as a whole. Examples include constitutional, statutory, regulatory, and case law; relevant law and orders emanating from codes and laws; and the institution's policies.

Programs and services must have access to legal advice needed for personnel to carry out their assigned responsibilities.

Programs and services must inform personnel, appropriate officials, and users of programs and services about existing and changing legal obligations, risks and liabilities, and limitations.

Programs and services must inform personnel about professional liability insurance options and refer them to external sources if the institution does not provide coverage.

Programs and services must have written policies and procedures on operations, transactions, or tasks that have legal implications.

Programs and services must regularly review policies. The revision and creation of policies must be informed by best practices, available evidence, and policy issues in higher education.

Programs and services must have procedures and guidelines consistent with institutional policy for responding to threats, emergencies, and crisis situations. Systems and procedures must be in place to disseminate timely and accurate information to students, other members of the institutional community, and appropriate external organizations during emergency situations.

Personnel must neither participate in nor condone any form of harassment or activity that demeans persons or creates an intimidating, hostile, or offensive environment.

Programs and services must purchase or obtain permission to use copyrighted materials and instruments. References to copyrighted materials and instruments must include appropriate citations.

Programs and services must inform personnel about internal and external governance organizations that affect programs and services.

## **Part 7. DIVERSITY, EQUITY, AND ACCESS**

Within the context of each institution's mission and in accordance with institutional policies and applicable codes and laws, programs and services must create and maintain educational and work environments that are welcoming, accessible, inclusive, equitable, and free from harassment.

Programs and services must not discriminate on the basis of disability; age; race; cultural identity; ethnicity; nationality; family educational history (e.g., first generation to attend college); political affiliation; religious affiliation; sex; sexual orientation; gender identity and expression; marital, social, economic, or veteran status; or any other basis included in institutional policies and codes and laws.

Programs and services must

- advocate for sensitivity to multicultural and social justice concerns by the institution and its personnel
- ensure physical, program, and resource access for all constituents
- modify or remove policies, practices, systems, technologies, facilities, and structures that create barriers or produce inequities

- ensure that when facilities and structures cannot be modified, they do not impede access to programs, services, and resources
- establish goals for diversity, equity, and access
- foster communication and practices that enhance understanding of identity, culture, self-expression, and heritage
- promote respect for commonalities and differences among people within their historical and cultural contexts
- address the characteristics and needs of diverse constituents when establishing and implementing culturally relevant and inclusive programs, services, policies, procedures, and practices
- provide personnel with diversity, equity, and access training and hold personnel accountable for applying the training to their work
- respond to the needs of all constituents served when establishing hours of operation and developing methods of delivering programs, services, and resources
- recognize the needs of distance and online learning students by directly providing or assisting them to gain access to comparable services and resources

## **Part 8. INTERNAL AND EXTERNAL RELATIONS**

Programs and services must reach out to individuals, groups, communities, and organizations internal and external to the institution to

- establish, maintain, and promote understanding and effective relations with those that have a significant interest in or potential effect on the students or other constituents served by the programs and services
- garner support and resources for programs and services as defined by the mission
- collaborate in offering or improving programs and services to meet the needs of students and other constituents and to achieve program and student outcomes
- engage diverse individuals, groups, communities, and organizations to enrich the educational environment and experiences of students and other constituents • disseminate information about the programs and services

Promotional and descriptive information must be accurate and free of deception and misrepresentation.

Programs and services must have procedures and guidelines consistent with institutional policy for

- communicating with the media
- distributing information through print, broadcast, and online sources
- contracting with external organizations for delivery of programs and services
- cultivating, soliciting, and managing gifts

- applying to and managing funds from grants

## **Part 9. FINANCIAL RESOURCES**

Programs and services must have funding to accomplish the mission and goals.

In establishing and prioritizing funding resources, programs and services must conduct comprehensive analyses to determine

- unmet needs of the unit
- relevant expenditures
- external and internal resources
- impact on students and the institution

Programs and services must use the budget as a planning tool to reflect commitment to the mission and goals of the programs and services and of the institution.

Programs and services must administer funds in accordance with established institutional accounting procedures.

Programs and services must demonstrate efficient and effective use and responsible stewardship of fiscal resources consistent with institutional protocols.

Financial reports must provide an accurate financial overview of the organization and provide clear, understandable, and timely data upon which personnel can plan and make informed decisions.

Procurement procedures must

- be consistent with institutional policies
- ensure that purchases comply with laws and codes for usability and access
- ensure that the institution receives value for the funds spent
- consider information available for comparing the ethical and environmental impact of products and services purchased

## **Part 10. TECHNOLOGY**

Programs and services must have technology to support the achievement of their mission and goals. The technology and its use must comply with institutional policies and procedures and with relevant codes and laws.

Programs and services must use technologies to

- provide updated information regarding mission, location, staffing, programs, services, and official contacts to students and other constituents in accessible formats

- provide an avenue for students and other constituents to communicate sensitive information in a secure format
- enhance the delivery of programs and services for all students

Programs and services must

- back up data on a regular basis
- adhere to institutional policies regarding ethical and legal use of technology
- articulate policies and procedures for protecting the confidentiality and security of information
- implement a replacement plan and cycle for all technology with attention to sustainability
- incorporate accessibility features into technology-based programs and services

When providing student access to technology, programs and services must

- have policies on the use of technology that are clear, easy to understand, and available to all students
- provide information or referral to support services for those needing assistance in accessing or using technology
- provide instruction or training on how to use the technology
- inform students of implications of misuse of technologies

## **Part 11. FACILITIES AND EQUIPMENT**

Programs and services' facilities must be intentionally designed and located in suitable, accessible, and safe spaces that demonstrate universal design and support the program's mission and goals.

Facilities must be designed to engage various constituents and promote learning.

Personnel must have workspaces that are suitably located and accessible, well equipped, adequate in size, and designed to support their work and responsibilities.

The design of the facilities must guarantee the security and privacy of records and ensure the confidentiality of sensitive information and conversations. Personnel must be able to secure their work.

Programs and services must incorporate sustainable practices in use of facilities and purchase of equipment. Facilities and equipment must be evaluated on an established cycle and be in compliance with codes, laws, and accepted practices for access, health, safety, and security.

When acquiring capital equipment, programs and services must take into account expenses related to regular maintenance and life cycle costs.

## **Part 12. ASSESSMENT**

Programs and services must develop assessment plans and processes.

Assessment plans must articulate an ongoing cycle of assessment activities.

Programs and services must

- specify programmatic goals and intended outcomes
- identify student learning and development outcomes
- employ multiple measures and methods
- develop manageable processes for gathering, interpreting, and evaluating data
- document progress toward achievement of goals and outcomes
- interpret and use assessment results to demonstrate accountability
- report aggregated results to respondent groups and stakeholders
- use assessment results to inform planning and decision-making
- assess effectiveness of implemented changes
- provide evidence of improvement of programs and services

Programs and services must employ ethical practices in the assessment process.

Programs and services must have access to adequate fiscal, human, professional development, and technological resources to develop and implement assessment plans.

*Revision approved April 2014*

## **CAS Learning and Development Outcomes**

### **CAS Contextual Statement**

Learning outcomes continue to serve as a way to satisfy the increasing demands for accountability in higher education. These statements, meant to identify the aspects of learning experienced by students through engaging with programs, disciplines, or other learning opportunities, are typically paired with assessment techniques in order to effectively measure their magnitude (AAC&U & NLC, 2007; Bowman, 2013; CHEA, 2003). In a brief published by the National Institute for Learning Outcomes Assessment (NILOA), Bresciani (2011) states that assessment is the only way to demonstrate accountability for student learning.

The Council for the Advancement of Standards in Higher Education (CAS) promotes standards to enhance opportunities for student learning and development from higher education programs and services. CAS supports the integration of learning and development outcomes and assessment tools to guide practice and create quality programs for student learning.

#### **The Role of Student Affairs**

The initial emergence of formal learning outcomes in higher education was centered on academic affairs and educational disciplines (AAC&U & NLC, 2007; Adelman, 2015). However, the philosophy on learning has since shifted from classroom-specific to a more holistic student learning and development approach, a view championed by the American Association of Colleges and University's (AAC&U) Liberal Education and America's Promise (LEAP) Initiative. This initiative defines holistic learning as "liberal education," or "a comprehensive set of aims and outcomes that are essential for all students because they are important to all fields of endeavor" and encompasses curricular and co-curricular components (AAC&U & NLC, 2007, p. 4). This more holistic view is not new in student affairs; in fact, one of the earliest documents in the field argued that a primary task of higher education was to ...assist the student in developing to the limits of his [*sic*] potentialities and in making his contribution to the betterment of society...This philosophy imposes upon educational institutions the obligation to consider the student as a whole...It puts emphasis, in brief, upon the development of the student as a person rather than upon his intellectual training alone. (American Council on Education, 1937/1994, p. 68)

With an increased focus on the whole student experience comes an increased responsibility for student affairs professionals to join faculty in developing outcomes and measuring student learning. While the contribution of student affairs to student learning and development has sometimes been, according to Schuh and Gansemer-Topf (2011), "overlooked and underutilized" (p. 3), the authors present three ways to showcase the contributions of student affairs to student learning:

1. Link the student affairs mission to the institutional mission, purpose, and strategic plan
2. Foster partnerships with faculty
3. Share existing expertise on student learning and development

By incorporating learning outcomes and assessment as a routine part of student affairs work, a more balanced understanding of the elements impacting student learning and development can be achieved.

### **CAS Standards and Outcome Domains**

CAS illustrates support for student affairs professionals' documentation of their contributions to student learning by incorporating the use of learning outcomes as a general standard for all functional areas. To comply with CAS standards, institutional programs and services must identify relevant and desirable learning from specific domains, assess that relevant and desirable learning, and articulate how their programs and services contribute to domains not specifically assessed.

CAS historically had listed desirable outcomes of programmatic efforts, but in the early editions of the book, they were simply examples such as intellectual growth, clarification of values, and achievement of personal goals. Then, in response to the increased focus on student outcomes, CAS in 2003 articulated sixteen domains of learning outcomes, with associated "examples of achievement indicators." Finally, after the publication of *Learning Reconsidered* (NASPA & ACPA, 2004), and *Learning Reconsidered 2* (Keeling, 2006) and other outcomes related literature, CAS reviewed the learning outcomes it had promoted and decided an integration of multiple learning outcomes models would enhance the profession's efforts in promoting student learning and development. Consequently, CAS hosted a "think tank" involving writers of *Learning Reconsidered* and *Learning Reconsidered 2*, CAS directors, and prominent practitioners and faculty members in student affairs to make recommendations for a revised learning outcomes document.

The revised student learning and development outcomes model includes six broad categories (called domains): knowledge acquisition, construction, integration and application; cognitive complexity; intrapersonal development; interpersonal competence; humanitarianism and civic engagement; and practical competence.

This learning outcomes model further defines or clarifies each of the six domains by identifying more specific learning outcome dimensions within each domain. Offering dimensions of learning allows for a more focused assessment approach and more opportunities for alignment with institutional mission and priorities. For each of the dimensions, CAS also offers examples illustrating achievement of the student learning outcomes.

The CAS Board of Directors reviewed and approved the six domains, learning outcome dimensions, and examples of learning and development outcomes at its October 2008 meeting. The domains and learning outcome dimensions are embedded in each functional area standard within the 'Program' section, demonstrating that the identification, facilitation, and assessment of student outcomes must be an integral part of the work in every program and service.

## Additional Resources

While CAS promotes the incorporation of learning and development outcomes centered on these domains, CAS also recognizes the existence of several other related resources. Among these are AAC&U's LEAP (2011), *Learning Reconsidered* (NASPA & ACPA, 2004) and *Learning Reconsidered 2* (Keeling, 2006), learning outcomes detailed by academic accrediting agencies (Drechsler Sharp, Komives, & Fincher, 2011), and the *Degree Qualifications Profile* (DQP) (Adelman, Ewell, Gaston, & Schneider, 2011), which focuses on the knowledge and skills students should have upon degree completion. Each of these resources offers learning domains similar to those promoted by CAS, as detailed in the following chart:

CAS Domains	LEAP (AAC&U)	Learning Reconsidered	Disciplines	Degree Qualifications Profile (DQP)
☐ Knowledge acquisition, construction, integration, & application	☐ Knowledge of Human Cultures & the Physical & Natural World	☐ Knowledge acquisition, integration, & application	☐ Knowledge bases	☐ Specialized Knowledge; Broad and Integrative Knowledge
☐ Cognitive Complexity	☐ Intellectual & Practical Skills	☐ Cognitive complexity	☐ Critical thinking	☐ Intellectual Skills
<ul style="list-style-type: none"> <li>• Intrapersonal Development</li> <li>• Interpersonal Competence</li> <li>• Humanitarianism &amp; Civic Engagement</li> </ul>	☐ Personal & Social Responsibility	<ul style="list-style-type: none"> <li>• Interpersonal &amp; intrapersonal competence</li> <li>• Humanitarianism</li> <li>• Civic engagement</li> </ul>	<ul style="list-style-type: none"> <li>• Intrapersonal attributes and competencies</li> <li>• Interpersonal relations with diverse others</li> <li>• Ethics</li> <li>• Management &amp; collaborative leadership</li> </ul>	☐ Civic and Global Learning
☐ Practical Competence	☐ Integrative & Applied Learning	<ul style="list-style-type: none"> <li>• Practical competence</li> <li>• Persistence &amp; academic achievement</li> </ul>	<ul style="list-style-type: none"> <li>• Professional skills</li> <li>• Life-long learning</li> </ul>	☐ Applied and Collaborative Learning

Similarities in themes and values are easily recognized across these resources, with word choice being the primary difference. Adelman (2015) advocates for the adoption of a common language for learning outcomes, but no such agreement currently exists. Regardless of specific terminology, CAS advocates for incorporation of learning outcomes, generally, in efforts to enhance the work of student affairs and create quality programs for student learning and development across higher education.

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### **Contextual Statement Contributors:**

#### **Current Edition**

Lindsey L. Templeton, CAS Intern

Laura A. Dean, CAS President (2011-2014) and Editor (2004-2011)

#### **Previous Editions**

Jan Arminio, CAS President (2005-2008)

**Council for the Advancement of Standards Learning and Developmental Outcomes**  
Integrating CAS and *Learning Reconsidered* Outcomes<sup>1</sup>

<b>Student Outcome Domain<sup>2</sup></b>	<b>Dimensions of Outcome Domain</b>	<b>Examples of Learning and Development Outcomes</b>
<b>Knowledge acquisition, construction, integration and application</b>	Understanding knowledge from a range of disciplines	Possesses knowledge of human cultures and the physical world; possesses knowledge of [a specific] one or more subjects
	Connecting knowledge to other knowledge, ideas and experiences	Uses multiple sources of information and their synthesis to solve problems; knows how to access diverse sources of information such as the internet, text observations, and data bases
	Constructing knowledge	Personalizes learning; makes meaning from text, Instruction and experience; uses experience and Other sources of information to create new insights; Generates new problem-solving approaches based on new insights; recognizes one's own capacity to create new understandings from learning activities and dialogue with others
	Relating knowledge to daily life	Seeks new information to solve problems; relates Knowledge to major and career decisions; makes connections between classroom and out-of-classroom learning; articulates career choices based on assessment of interests, values, skills and abilities; provides evidence of knowledge, skills and accomplishments resulting from formal education, work experience, community service and volunteer experiences, for example in resumes and portfolios
<b>Cognitive complexity</b>	Critical thinking	Identifies important problems, questions and issues; assesses assumptions and considers alternative perspectives and solutions <sup>3</sup>
	Reflective thinking	Applies previously understood information, concepts and experiences to a new situation or setting; rethinks previous assumptions
	Effective reasoning	Uses complex information from a variety of sources including personal experience and observation to form a decision or opinion; is open to new ideas and perspectives
	Creativity	Integrates mental, emotional and creative processes for increased insight; formulates a new approach to a particular problem
<b>Intrapersonal Development</b>	Realistic self-appraisal, self-understanding, and self-Respect	Assesses, articulates and acknowledges personal skills, abilities and growth areas; uses self-knowledge to make decisions such as those related to career choices; articulates rationale for personal behavior; seeks and considers feedback from others; critiques and subsequently learns from past experiences; employs self-reflection to gain insight; functions

	Identity development	without need for constant reassurance from others; balances needs of self with needs of others Integrates multiple aspects of identity into a coherent whole; recognizes and exhibits interdependence in accordance with environmental, cultural and personal values; identifies and commits to important aspects of self
	Commitment to ethics and integrity	Incorporates ethical reasoning into action; explores and articulates the values and principles involved in personal decision-making; acts in congruence with personal values and beliefs; exemplifies dependability, honesty and trustworthiness; accepts personal accountability
	Spiritual awareness	Develops and articulates personal belief system; understands roles of spirituality in personal and group values and behaviors; critiques, compares and contrasts various belief systems; explores issues of purpose, meaning and faith
<b>Interpersonal Competence</b>	Meaningful relationships	Establishes healthy, mutually beneficial relationships with others; treats others with respect; manages interpersonal conflicts effectively; demonstrates appropriately assertive behavior
	Interdependence	Seeks help from others when needed and offers assistance to others; shares a group or organizational goal and works with others to achieve it; learns from the contributions and involvement of others; accepts supervision and direction as needed
	Collaboration	Works cooperatively with others, including people different from self and/or with different points of view; seeks and values the involvement of others; listens to and considers others' points of view
	Effective leadership	Demonstrates skill in guiding and assisting a group, organization or community in meeting its goals; identifies and understands the dynamics of a group; exhibits democratic principles as a leader or group member; communicates a vision, mission or purpose that encourages commitment and action in others
<b>Humanitarianism and Civic Engagement</b>	Understanding and appreciation of cultural and human differences	Understands one's own identity and culture, seeks involvement with people different from oneself; articulates the advantages and impact of a diverse society; identifies systematic barriers to equality and inclusiveness, then advocates and justifies means for dismantling them; in interactions with others, exhibits respect and preserves the dignity of others
	Global perspective	Understands and analyzes the interconnectedness of societies worldwide; demonstrates effective stewardship of human, economic and environmental resources
	Social responsibility	Recognizes social systems and their influence on people; appropriately challenges the unfair, unjust or uncivil behavior of other individuals or groups;

		<p>participates in service/volunteer activities that are characterized by reciprocity; articulates the values and principles involved in personal decision-making; affirms and values the worth of individuals and communities</p>
	Sense of civic responsibility	<p>Demonstrates consideration of the welfare of others in decision-making; engages in critical reflection and principled dissent; understands and participates in relevant governance systems; educates and facilitates the civic engagement of others</p>
<b>Practical competence</b>	Pursuing goals	<p>Sets and pursues individual goals; articulates rationale for personal and educational goals and objectives; articulates and makes plans to achieve long-term goals and objectives; identifies and works to overcome obstacles that hamper goal achievement</p>
	Communicating effectively	<p>Conveys meaning in a way that others understand by writing and speaking coherently and effectively; writes and speaks after reflection; influences others through writing, speaking or artistic expression; effectively articulates abstract ideas; uses appropriate syntax and grammar; makes and evaluates presentations or performances; listens attentively to others and responds appropriately</p>
	Technological competence	<p>Demonstrates technological literacy and skills; demonstrates the ethical application of intellectual property and privacy; uses technology ethically and effectively to communicate, solve problems and complete tasks; stays current with technological innovations</p>
	Managing personal affairs	<p>Exhibits self-reliant behaviors; manages time effectively; develops strategies for managing finances</p>
	Managing career development	<p>Takes steps to initiate a job search or seek advanced education; constructs a resume based on clear job objectives and with evidence of knowledge, skills and abilities; recognizes the importance of transferrable skills</p>
	Demonstrating professionalism	<p>Accepts supervision and direction as needed; values the contributions of others; holds self accountable for obligations; shows initiative; assesses, critiques and then improves the quality of one's work and one's work environment</p>
	Maintaining health and wellness	<p>Engages in behaviors and contributes to environments that promote health and reduce risk; articulates the relationship between health and wellness in accomplishing goals; exhibits behaviors that advance the health of communities</p>

Living a purposeful and  
Satisfying life

Makes purposeful decisions regarding balance  
among education, work and leisure time; acts in  
congruence with personal identity, ethical, spiritual  
and moral values

<sup>1</sup>This document is an adaptation of *Learning Reconsidered* and the CAS Learning Outcomes

<sup>2</sup>Categories adapted from *Learning Reconsidered (2004)* and Kuh, Douglas, Lund, & Ramin Gyurmek (1994)

<sup>3</sup> These examples are adopted from the George Mason University *Critical Thinking Assessment Report (2006)*

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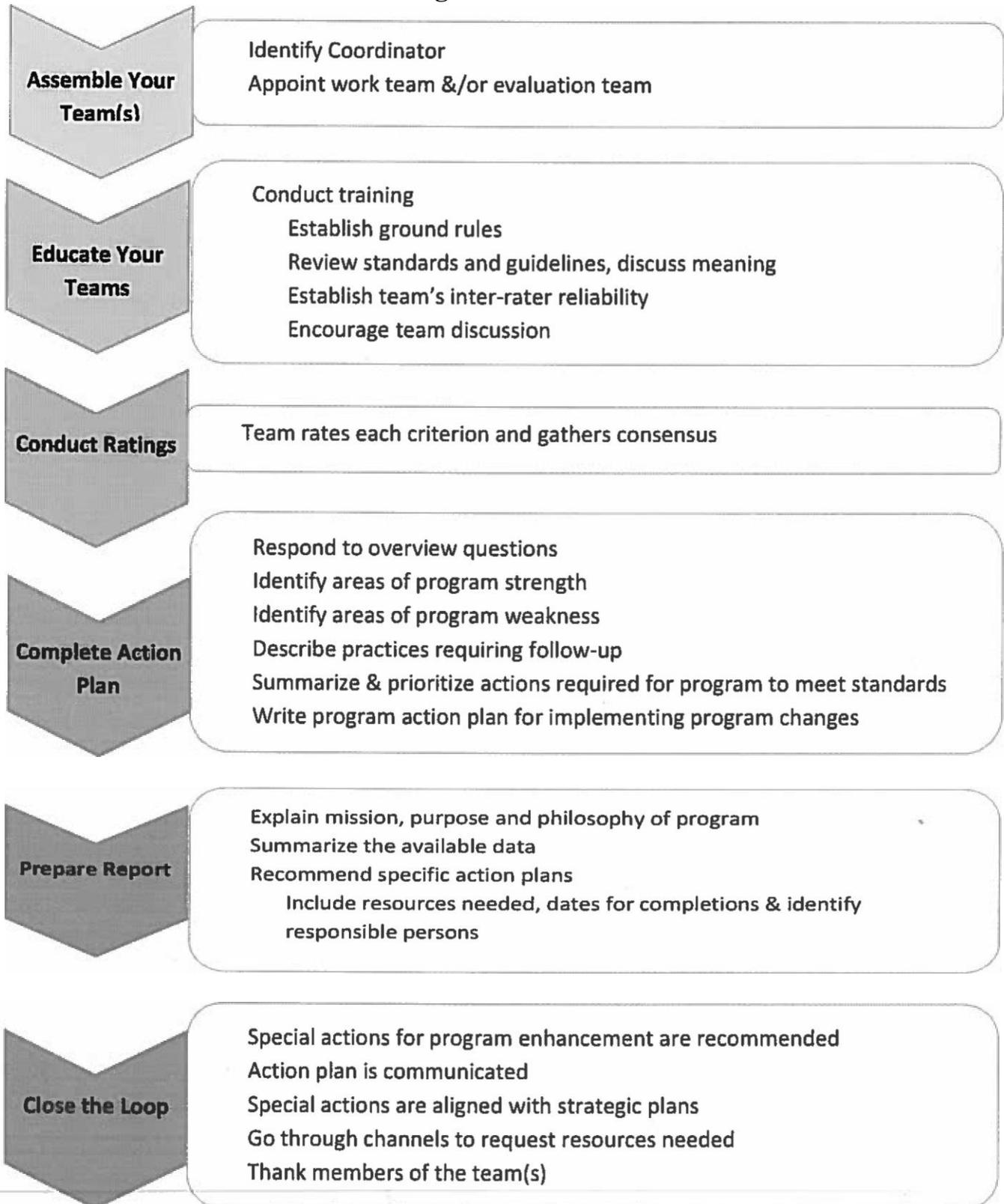
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*Approved as revised by CAS Board of Directors, October 19, 2008*

## CAS Program Review Process





**CAS Functional Area Final Report Template**

Council for the Advancement of Standards in  
Higher Education

**(Functional Area)**  
**Final Report**

Presented By:

(Person)

(Title)

(Date)

**CAS Program Review and Self-Assessment**  
**Final Report**  
**(Functional Area)**

## Executive Summary of Review Process

During the months of (dates), a review team met to conduct a self-study using the (functional area) *Self-Assessment* developed by the Council for the Advancement of Standards in Higher Education (CAS) organization. The CAS self-assessment guide (SAG) was chosen by (person who assigned self-studies, e.g., Vice President or Director) as the tool to assess the departments within Student Affairs. The SAG consists of standards and guidelines used to evaluate the strengths and deficiencies of functional area and to plan for improvement opportunities within the (department name).

(Title of person that conducted the self-assessment) collected information and data regarding the goals, programs, services, policies and procedures to be evaluated for the assessment process. The CAS SAG consists of a total of twelve parts that all departments within Student Services would. The CAS Standards and Guidelines used for the review of (functional area) are as follows:

- Part 1: Mission
- Part 2: Program
- Part 3: Organization and Leadership
- Part 4: Human Resources
- Part 5: Ethics
- Part 6: Law, Policy and Governance
- Part 7: Diversity, Equity, and Access
- Part 8: Institutional and External Relations
- Part 9: Financial Resources
- Part 10: Technology
- Part 11: Facilities and Equipment
- Part 12: Assessment and Evaluation

The review team for (functional area) consisted of (#) members. Members were appointed by Vice President, Dr. Lloyd Holmes. (List the members of the team, titles, and who they represent.) All team members were given:

- CAS Program Review for Raters.
- CAS (functional area) Self-Assessment Guide (SAG): Introduction and Instructions.
- CAS SAG for (functional area).
- CAS Work Forms.

(Discuss how and when the team met to do the ratings, answer the questions and determine the priorities- EXAMPLE: The CAS team met weekly to review and analyze information received from the Advisement and Graduation Services Office. We attended Advisement and Graduation Services department meetings, emailed the director and assistant director for more information as well has invited department employees to attend our meetings. We engaged in conversations regarding the questions utilizing the information we had received to come to an agreement on ratings. The following rating scale was used during the assessment).

The following rating scale was used during the assessment.

### **CAS Raters Definitions**

- Not Done - Does not apply
- 0 – Insufficient Evidence/Unable to rate
- 1 – Does not meet
- 2 - Partially Met
- 3 - Meets
- 4 - Exceeds
- 5 - Exemplary

### **Summary of Initial Findings**

- Describe conclusions (description of what you learned that was significant)
- Describe meaningful limitations to completion of the program review (such as if you could not score all of them and why or if you lacked data/evidence) and why
- Describe the primary strengths of the functional area and how have these changed over time. Describe the innovative programs/services/practices that the functional area has initiated with respect to “best practices” in the field.

### **Recommendations**

List the improvements/recommendations needed. (See Example Below)

### **FUNCTIONAL AREA**

#### **Advisement and Graduation office Recommendations**

#### **Part 1. MISSION**

1.1 Offer mission statement in additional formats (handouts, brochures, etc)

1.3 Modify wording to align with CAS Standards and clarify the expectations of the advisee (what is their role?)

#### **Part 2. PROGRAM**

2.1.3 Support students to achieve their goals and realize their potential. In addition, recommend other resources based on their conversation with the student.

#### **Part 3. ORGANIZATION AND LEADERSHIP**

#### **Part 4. HUMAN RESOURCES**

#### **Part 5. ETHICS**

Part 6. LAW, POLICY, AND GOVERNANCE

Part 7. DIVERSITY, EQUITY, AND ACCESS

Part 8. INSTITUTIONAL AND EXTERNAL RELATIONS

Part 9. FINANCIAL RESOURCES

Part 10. TECHNOLOGY

Part 11. FACILITIES AND EQUIPMENT

Part 12. ASSESSMENT AND EVALUATION

**Self-Assessment**

The following pages represent the review team's collective responses and serves as the initial report.  
(At this point, **include a copy of the completed SAG.**)

**For the department being assessed-**

**List Actions Taken with Completion Dates**

1.

**Describe Lessons Learned that Can Be Applied to the Next Program Review Cycle**

1.

**List Student Learning Outcomes and Program Outcomes to be Measured in the Next Two Years in Anticipation of the Next Program Review Cycle**

Student Learning Outcomes

1.

Program Outcomes

1.

**Final Comments**

# **CAS Sample Self-Assessment Guide**

## **Undergraduate Admissions Programs and Services**

August 2012

### **Part 1. MISSION**

**The mission of Undergraduate Admissions Programs and Services (UAPS) is to enroll undergraduate applicants who will, both individually and collectively, benefit from the collegiate learning environment through academic and personal enrichment and development.**

**UAPS must recruit, admit, and encourage enrollment of applicants whose academic and personal credentials are consistent with the overall priorities and mission of the institution.**

This may include applicants who may be underprepared for post-secondary study.

**To accomplish this mission UAPS must**

- **assess and evaluate the abilities, needs, and expectations of prospective students as they move from secondary to postsecondary education, as they move from one postsecondary institution to another, or as they return from a period of non-enrollment**
- **establish, promulgate, and implement admission criteria that accurately represent the mission, goals, purposes and resources of the institution, and that accommodate the abilities, needs, and interests of potential students**
- **clearly and accurately present the mission, goals, policies, procedures, facilities, and characteristics of the institution**
- **develop and regularly review enrollment goals for admission with appropriate individuals within the institution**

**UAPS must develop, disseminate, implement, and regularly review their missions. The mission must be consistent with the mission of the institution and with professional standards. The mission must be appropriate for the institution's student populations and community settings. Mission statements must reference student learning and development.**

<b>ND</b>	<b>0</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Does Not Apply	Insufficient Evidence/ Unable to Rate	Does Not Meet	Partly Meets	Meets	Exceeds	Exemplary

<b>Criterion Measures</b>		<b>Rating</b>
1.1	The mission of the Undergraduate Admissions Program or Service (UAPS) is to enroll undergraduate applicants who will benefit from the collegiate learning environment	

1.2	The UAPS recruits, admits, and encourages enrollment of applicants whose academic and personal credentials are consistent with the priorities and mission of the institution	
1.3	To accomplish this mission, the UAPS	
1.3.1	assesses and evaluates the abilities, needs, and expectations of prospective students as they move from secondary to postsecondary education, as they move from one postsecondary institution to another, or as they return from a period of non-enrollment	
1.3.2	establishes, promulgates, and implements admission criteria that accurately represent the mission, goals, purposes, and resources of the institution and that accommodate the abilities, needs, and interests of potential students	
1.3.3	clearly and accurately presents the mission, goals, policies, procedures, facilities, and characteristics of the institution	
1.3.4	develops and regularly reviews with appropriate individuals within the institution the enrollment goals for admission	
1.4	The UAPS	
1.4.1	develops, disseminates, and implements its mission	
1.4.2	regularly reviews its mission	
1.5	The UAPS mission statement	
1.5.1	is consistent with that of the institution	
1.5.2	is consistent with professional standards	
1.5.3	is appropriate for student populations and community settings	
1.5.4	references learning and development	

## Part 1. Mission Overview Questions

- A. What is the program mission?
  
- B. How does the mission embrace student learning and development?
  
- C. In what ways does the program mission complement the mission of the institution?

## Part 2. PROGRAM

**The formal education of students, consisting of the curriculum and the co-curriculum, must promote student learning and development outcomes that are purposeful, contribute to students' realization of their potential, and prepare students for satisfying and productive lives.**

**Undergraduate Admissions Programs and Services (UAPS) must collaborate with colleagues and departments across the institution to promote student learning and development, persistence, and success.**

**Consistent with the institutional mission, programs and services must identify relevant and desirable student learning and development outcomes from among the six domains and related dimensions:**

**Domain: knowledge acquisition, integration, construction, and application**

- **Dimensions: understanding knowledge from a range of disciplines; connecting knowledge to other knowledge, ideas, and experiences; constructing knowledge; and relating knowledge to daily life**

**Domain: cognitive complexity**

- **Dimensions: critical thinking, reflective thinking, effective reasoning, and creativity**

**Domain: intrapersonal development**

- **Dimensions: realistic self-appraisal, self-understanding, and self-respect; identity development; commitment to ethics and integrity; and spiritual awareness**

**Domain: interpersonal competence**

- **Dimensions: meaningful relationships, interdependence, collaboration, and effective leadership.**

**Domain: humanitarianism and civic engagement**

- **Dimensions: understanding and appreciation of cultural and human differences, social responsibility, global perspective, and sense of civic responsibility**

**Domain: practical competence**

- **Dimensions: pursuing goals, communicating effectively, technical competence, managing personal affairs, managing career development, demonstrating professionalism, maintaining health and wellness, and living a purposeful and satisfying life**

[LD Outcomes: See *The Council for the Advancement of Standards Learning and Developmental Outcomes* statement for examples of outcomes related to these domains and dimensions.]

**UAPS must**

- **assess relevant and desirable student learning and development**
- **provide evidence of impact on outcomes**
- **articulate contributions to or support of student learning and development in the domains not specifically assessed**

- **articulate contributions to or support of student persistence and success**
- **use evidence gathered through this process to create strategies for improvement of programs and services**

**UAPS must be**

- **intentionally designed**
- **guided by theories and knowledge of learning and development**
- **integrated into the life of the institution**
- **reflective of developmental and demographic profiles of the student population**
- **responsive to needs of individuals, populations with distinct needs, and relevant constituencies**
- **delivered using multiple formats, strategies, and contexts**

**Where institutions provide distance education, UAPS must assist distance learners to achieve their educational goals by providing access to information about programs and services, to staff members who can address questions and concerns, and to counseling, advising, or other forms of assistance.**

**UAPS must develop recruitment and admission procedures and strategies designed to establish and meet the institution's enrollment plan and diversity goals.**

UAPS should have recruitment plans for targeted groups such as

- first generation
- TRIO-eligible and other underrepresented populations
- veterans
- international

**UAPS must accurately represent and promote their institutions by providing current information about academic majors and degree programs. Information must include factual and accurate descriptions of majors, minors, concentrations and/or interdisciplinary offerings, information about bridge programs, dual high school/college enrollment programs, diploma, certificate, and other special admissions programs.**

**UAPS must clearly articulate the requirements of admission and enrollment processes.**

These should include processes for the first-year and transfer students, including secondary school preparation, standardized testing, financial aid, housing, and notification deadlines and refund procedures.

UAPS should establish procedures to review and admit, as appropriate, applicants with criminal and disciplinary records in compliance with local, state/provincial, and federal law.

**UAPS must clearly explain the process by which applicants bring credit to the institution including transfer credit or life experience, if applicable at the institution.**

**UAPS must be responsible for the accurate representation and promotion of the admission calendar, separate admissions to majors, academic offerings, financial aid and cost of attendance, housing application and deposit deadlines, and other related services.**

**UAPS must offer recruitment opportunities including community venues for potential adult students.**

UAPS should utilize currently enrolled students, alumni, staff, and faculty members in the recruitment process. Examples include ambassador programs, tour guides, student panels, faculty interviews, or other opportunities for prospective students and their families to interact with current students and faculty.

UAPS should use a variety of strategies to introduce postsecondary opportunities to students and their families.

**UAPS must provide students, families, and secondary schools with comprehensive information about costs of attendance and opportunities for financial aid.**

The cost of attendance should include course materials, fees, and other non-tuition related expenses.

**UAPS must include a current and accurate admission calendar in publications and websites. If the institution offers special admission options, the publication must define these programs and state deadlines dates, notification dates, required deposits, and refund policies.**

Special admission options may include Early Admission, Early Action, Early Decision, wait lists, or Restrictive Early Admission.

UAPS should provide current wait-listed applicants notification outlining the number of students from the previous year offered admission, the number who accepted spaces, the number of offered places on the wait list, as well as the availability of financial aid and housing.

**UAPS must have policies and procedures for managing special admissions requests from politically sensitive constituencies, such as legislators, governing board members, donors, and alumni.**

**UAPS offices must have policies and procedures for managing applications and communicating to students who do not meet traditional admission criteria.**

<b>ND</b>	<b>0</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Does Not Apply	Insufficient Evidence/ Unable to Rate	Does Not Meet	Partly Meets	Meets	Exceeds	Exemplary

<b>Criterion Measures</b>	<b>Rating</b>
2.1 The Undergraduate Admissions Program or Service (UAPS) promotes student learning and development outcomes that	
2.1.1 are purposeful	
2.1.2 contribute to students' realization of their potential	
2.1.3 prepare students for satisfying and productive lives	
2.2 The UAPS collaborates with colleagues and departments across the institution to promote student learning, development, persistence, and success	
2.3 The UAPS	
2.3.1 assesses relevant and desirable student learning and development	
2.3.2 provides evidence of impact on outcomes	
2.3.3 articulates contributions to or support of student learning and development in the domains not specifically assessed	
2.3.4 articulates contributions to or support of student persistence and success	
2.3.5 uses evidence gathered through assessment to create strategies for improvement	
2.4 The UAPS is	
2.4.1 intentionally designed	
2.4.2 guided by theories and knowledge of learning and development	
2.4.3 integrated into the life of the institution	
2.4.4 reflective of developmental and demographic profiles of the student population	
2.4.5 responsive to needs of individuals, populations with distinct needs, and relevant constituencies	
2.4.6 delivered using multiple formats, strategies, and contexts	
2.5 When distance education is provided, the UAPS assists learners in achieving their education goals by providing access to	
2.5.1 information about programs and services	
2.5.2 staff members who can address questions and concerns	
2.5.3 counseling, advising, or other forms of assistance	
2.6 The UAPS	
2.6.1 develops recruitment and admission procedures and strategies designed to establish and meet the institution's enrollment plan and diversity goals	
2.6.2 accurately represents and promotes its institution by providing current information about academic majors and degree programs	
2.6.3 clearly articulates admissions requirements and enrollment processes	
2.6.4 clearly explains the process by which applicants bring credit to the institution	
2.6.5 accurately represents and promotes the admission calendar, separate admissions to majors, academic offerings, financial aid and cost of attendance, housing application and deposit deadlines, and other related services	

2.6.6	offers recruitment opportunities including community venues for potential adult students	
2.6.7	provides students, families, and secondary schools with comprehensive information about costs of attendance and opportunities for financial aid	
2.6.8	includes in publications and websites a current and accurate admission calendar	
2.6.9	has policies and procedures for managing special admissions requests from politically sensitive constituencies	
2.6.10	has policies and procedures for managing applications and communicating to students who do not meet admission criteria	

## **Part 2. Program Overview Questions**

- A. What are the primary elements of the program?
  
- B. What evidence exists that confirms the contributions of the program to student learning and development?
  
- C. What evidence is available to confirm achievement of program goals?

## **Part 3. ORGANIZATION AND LEADERSHIP**

**To achieve student and program outcomes, Undergraduate Admissions Programs and Services (UAPS) must be structured purposefully and organized effectively. UAPS must have**

- **clearly stated goals**
- **current and accessible policies and procedures**
- **written performance expectations for employees**
- **functional work flow graphics or organizational charts demonstrating clear channels of authority**

**Leaders with organizational authority for the programs and services must provide strategic planning, supervision, and management; advance the organization; and maintain integrity through the following functions:**

### **Strategic Planning**

- **articulate a vision and mission that drive short- and long-term planning**
- **set goals and objectives based on the needs of the population served and desired student learning or development and program outcomes**
- **facilitate continuous development, implementation, and assessment of goal attainment congruent with institutional mission and strategic plans**
- **promote environments that provide meaningful opportunities for student learning, development, and engagement**
- **develop and continuously improve programs and services in response to the changing needs of students served and evolving institutional priorities**
- **intentionally include diverse perspectives to inform decision making**

### **Supervising**

- **manage human resource processes including recruitment, selection, development, supervision, performance planning, evaluation, recognition, and reward**
- **influence others to contribute to the effectiveness and success of the unit**
- **empower professional, support, and student staff to accept leadership opportunities**
- **offer appropriate feedback to colleagues and students on skills needed to become more effective leaders**
- **encourage and support professional development, collaboration with colleagues and departments across the institution, and scholarly contribution to the profession**

### **Managing**

- **identify and address individual, organizational, and environmental conditions that foster or inhibit mission achievement**
- **plan, allocate, and monitor the use of fiscal, physical, human, intellectual, and technological resources**
- **use current and valid evidence to inform decisions**
- **incorporate sustainability practices in the management and design of programs, services, and facilities**
- **understand appropriate technologies and integrate them into programs and services**
- **be knowledgeable about codes and laws relevant to programs and services and ensure that staff members understand their responsibilities through appropriate training**
- **assess potential risks and take action to mitigate them**

### **Advancing the Organization**

- **communicate effectively in writing, speaking, and electronic venues**
- **advocate for programs and services**
- **advocate for representation in strategic planning initiatives at appropriate divisional and institutional levels**
- **initiate collaborative interactions with internal and external stakeholders who have legitimate concerns about and interests in the functional area**
- **facilitate processes to reach consensus where wide support is needed**
- **inform other areas within the institution about issues affecting practice**

### **Maintaining Integrity**

- **model ethical behavior and institutional citizenship**
- **share data used to inform key decisions in transparent and accessible ways**
- **monitor media used for distributing information about programs and services to ensure the content is current, accurate, appropriately referenced, and accessible**

UAPS leaders should provide training, orientation, and consultation assistance to faculty members, administrators, staff, institution officials (e.g., trustees), and high school and transfer counselors to assist them in responding to the enrollment needs of students and their families.

**UAPS must function as an independent unit or as part of an overall enrollment management structure.**

ND	0	1	2	3	4	5
Does Not Apply	Insufficient Evidence/ Unable to Rate	Does Not Meet	Partly Meets	Meets	Exceeds	Exemplary

Criterion Measures	Rating
3.1 The Undergraduate Admissions Program or Service (UAPS) has	
3.1.1 clearly stated goals	
3.1.2 current and accessible policies and procedures	
3.1.3 written performance expectations for employees	
3.1.4 functional work flow graphics or organizational charts demonstrating clear channels of authority	
3.2 In providing strategic planning, UAPS leaders	
3.2.1 articulate a vision and mission that drive short- and long-term planning	
3.2.2 set goals and objectives based on the needs of the population served and desired student learning or development and program outcomes	
3.2.3 facilitate continuous development, implementation, and assessment of goal attainment congruent with institutional mission and strategic plans	
3.2.4 promote environments that provide meaningful opportunities for student learning, development, and engagement	
3.2.5 develop and continuously improve programs and services in response to the changing needs of students served and evolving institutional priorities	
3.2.6 intentionally include diverse perspectives to inform decision making	
3.3 In providing supervision, UAPS leaders	
3.3.1 manage human resource processes including recruitment, selection, development, supervision, performance planning, evaluation, recognition, and reward	
3.3.2 influence others to contribute to the effectiveness and success of the unit	
3.3.3 empower professional, support, and student staff to accept leadership opportunities	
3.3.4 offer appropriate feedback to colleagues and students on skills needed to become more effective leaders	
3.3.5 encourage and support professional development, collaboration with colleagues and departments across the institution, and scholarly contribution to the profession	
3.4 In providing management, UAPS leaders	
3.4.1 identify and address individual, organizational, and environmental conditions that foster or inhibit mission achievement	
3.4.2 plan, allocate, and monitor the use of fiscal, physical, human, intellectual, and technological resources	
3.4.3 use current and valid evidence to inform decisions	

3.4.4	incorporate sustainability practices in the management and design of programs, services, and facilities	
3.4.5	understand appropriate technologies and integrate them into programs and services	
3.4.6	are knowledgeable about codes and laws relevant to programs and services and ensure that staff members understand their responsibilities through appropriate training	
3.4.7	assess potential risks and take action to mitigate them	
3.5	In advancing the organization, UAPS leaders	
3.5.1	communicate effectively in writing, speaking, and electronic venues	
3.5.2	advocate for programs and services	
3.5.3	advocate for representation in strategic planning initiatives at appropriate divisional and institutional levels	
3.5.4	initiate collaborative interactions with internal and external stakeholders who have legitimate concerns about and interests in the functional area	
3.5.5	facilitate processes to reach consensus where wide support is needed	
3.5.6	inform other areas within the institution about issues affecting practice	
3.6	In maintaining integrity, UAPS leaders	
3.6.1	model ethical behavior and institutional citizenship	
3.6.2	share data used to inform key decisions in transparent and accessible ways	
3.6.3	monitor media used for distributing information about programs and services to ensure the content is current, accurate, appropriately referenced, and accessible	
3.7	UAPS functions as an independent unit or as part of an enrollment management structure	

### **Part 3. Organization and Leadership Overview Questions**

- A. In what ways are program leaders positioned and empowered to accomplish the program mission?
  
- B. How do program leaders advance the organization?
  
- C. How are program leaders accountable for their performance?
  
- D. What leadership practices best describe program leaders?

### **Part 4. HUMAN RESOURCES**

**Undergraduate Admissions Programs and Services (UAPS) must be staffed adequately by individuals qualified to accomplish mission and goals.**

**Within institutional guidelines, UAPS must**

- **establish procedures for staff recruitment and selection, training, performance planning, and evaluation**
- **set expectations for supervision and performance**
- **assess the performance of employees individually and as a team**
- **provide access to continuing and advanced education and appropriate professional development opportunities to improve the leadership ability, competence, and skills of all employees.**

**UAPS must maintain position descriptions for all staff members.**

**To create a diverse staff, UAPS must institute recruitment and hiring strategies that encourage individuals from under-represented populations to apply for positions.**

**UAPS must develop promotion practices that are fair, inclusive, proactive, and non-discriminatory.**

**UAPS staff must recognize and appreciate individual differences among students and integrate an understanding of this information into the recruitment relationship.**

Examples of these differences may include aptitude, intelligence, age, interests, first generation, socio-economic status, cultures and cultural identities, and achievements.

**To further the recruitment and retention of staff, UAPS must consider work life initiatives, such as compressed work schedules, flextime, job sharing, remote work, or telework.**

**UAPS professional staff members must hold an earned graduate or professional degree in a field relevant to the position they hold or must possess an appropriate combination of educational credentials and related work experience.**

**UAPS professional staff members must engage in continuing professional development activities to keep abreast of the research, theories, legislation, policies, and developments that affect their programs and services.**

UAPS staff should possess individual and group communication skills to assist students and their families in the admissions process.

Professional staff in UAPS should have knowledge in the following areas:

- institutional curriculum offerings
- student involvement options
- referrals for appropriate institutional community resources in response to particular needs
- various levels of academic preparation and ability
- life planning
- financial aid opportunities and deadlines

- academic advising and student orientation programs and activities

Professional staff members in UAPS should be competent in providing assistance to prospective students regarding their educational goals, including, but not limited to,

- ethical and objective presentation of the institution's programs and opportunities
- careful and concerned analysis of each student's goals
- responsible decision-making in the selection of an institution
- knowledge of admission issues and concerns

UAPS staff should have an understanding of the psychology of adolescents, young adults, and adult learners, as well as concepts of student development and learning.

**UAPS staff must demonstrate an awareness of and sensitivity to the unique social, cultural, and economic circumstances of students including but not limited to age; cultural heritage; disability; ethnicity; gender identity and expression; nationality; political affiliation; race; religious affiliation; sex; sexual orientation; economic, marital, social, or veteran status; and any other bases included in applicable laws.**

**UAPS staff must have an understanding of the proper administration and uses of standardized tests and be able to interpret test scores and test-related data to students, parents, families, educators, institutions, agencies, and the public.**

Examples include, but are not limited to, the following tests: The ACT, ACT PLAN, CLEP, DANTES, GED, Preliminary SAT/National Merit Scholarship Qualifying Test (PSAT/NMSQT), SAT I and SAT II, and Advanced Placement exams.

**UAPS staff must be able to interpret transcripts with honors courses, AP or CLEP credits, when evaluating undergraduate applications.**

**UAPS staff must have an understanding of the needs of students with unique pre-collegiate experiences when evaluating undergraduate applications.**

Examples of experiences and characteristics include home schooling, foster youth and homeless, international education, GED graduation, veterans, undocumented, and International Baccalaureate programs.

**UAPS must provide appropriate training for staff involved with the processing of admission applications, including data integrity, transcript authentication, file management, customer service, and the use of technology in the admission process.**

UAPS staff should remain current in emerging recruitment strategies, including the use of call centers, tele-counseling, on-line and social media, and the use of paid and volunteer staff in the recruitment process.

**UAPS must have technical and support staff members adequate to accomplish their mission. All members of the staff must be technologically proficient and qualified to perform their job functions, be knowledgeable about ethical and legal uses of**

**technology, and have access to training and resources to support the performance of their assigned responsibilities.**

**Degree- or credential-seeking interns or graduate assistants must be qualified by enrollment in an appropriate field of study and by relevant experience. These individuals must be trained and supervised adequately by professional staff members holding educational credentials and related work experience appropriate for supervision. Supervisors must be cognizant of the roles of interns and graduate assistants as both student and employee and closely adhere to all parameters of their job descriptions, work hours, and schedules. Supervisors and the interns or graduate assistants must agree to compensatory time or other appropriate compensation if circumstances necessitate additional hours**

**Student employees and volunteers must be carefully selected, trained, supervised, and evaluated. They must be educated on how and when to refer those in need of additional assistance to qualified staff members and must have access to a supervisor for assistance in making these judgments. Student employees and volunteers must be provided clear job descriptions, pre-service training based on assessed needs, and continuing development.**

**All UAPS staff members, including student employees and volunteers, must receive specific training on institutional policies pertaining to functions or activities they support and to privacy and confidentiality policies and laws regarding access to student records and other sensitive institutional information.**

**All UAPS staff members must receive training on policies and procedures related to the use of technology to store or access student records and institutional data.**

**UAPS must ensure that staff members are knowledgeable about and trained in emergency procedures, crisis response, and prevention efforts. Prevention efforts must address identification of threatening conduct or behavior of students, faculty and staff members, and others and must incorporate a system for responding and reporting.**

**UAPS must ensure that staff members are knowledgeable of and trained in safety and emergency procedures for securing and vacating facilities.**

ND	0	1	2	3	4	5
Does Not Apply	Insufficient Evidence/ Unable to Rate	Does Not Meet	Partly Meets	Meets	Exceeds	Exemplary

Criterion Measures	Rating
4.1 The Undergraduate Admissions Program or Service (UAPS) is staffed adequately to accomplish mission and goals	
4.2 Within institutional guidelines, the UAPS	
4.2.1 establishes procedures for staff recruitment and selection, training, performance planning, and evaluation	
4.2.2 sets expectations for supervision and performance	

4.2.3	assesses the performance of employees individually and as a team	
4.2.4	provides access to continuing and advanced education and appropriate professional development opportunities to improve the leadership ability, competence, and skills of all employees	
4.3	The UAPS	
4.3.1	maintains position descriptions for all staff members	
4.3.2	institutes recruitment and hiring strategies that encourage applications from under-represented populations	
4.3.3	develops promotion practices that are fair, inclusive, proactive, and non-discriminatory	
4.3.4	considers work life initiatives, such as compressed work schedules, flextime, job sharing, remote work, or telework	
4.3.5	provides appropriate training for staff involved with the processing of admission applications	
4.3.6	has technical and support staff members adequate to accomplish the mission	
4.4	UAPS professional staff members	
4.4.1	hold earned graduate or professional degrees in fields relevant to the position or possess an appropriate combination of educational credentials and related work experience	
4.4.2	engage in continuing professional development activities	
4.5	UAPS staff	
4.5.1	demonstrate awareness of and sensitivity to the unique social, cultural, and economic circumstances of students	
4.5.2	understand the proper administration and uses of standardized tests and can interpret test scores and test-related data to students, parents, families, educators, institutions, agencies, and the public	
4.5.3	can interpret transcripts with honors courses and AP or CLEP credits	
4.5.4	understand needs of students with unique pre-collegiate experiences when evaluating applications	
4.6	Degree- or credential-seeking interns or graduate assistants in the UAPS	
4.6.1	are qualified by enrollment in an appropriate field of study and by relevant experience	
4.6.2	are trained and supervised adequately by professional staff members	
4.7	Supervisors of UAPS interns or graduate students adhere to all parameters of job descriptions, work hours, and schedules	
4.8	Student employees and volunteers	
4.8.1	are carefully selected, trained, supervised, and evaluated	
4.8.2	are educated on how and when to refer those in need of additional assistance to qualified staff members and have access to a supervisor for assistance in making these judgments	
4.8.3	are provided clear job descriptions, pre-service training based on assessed needs, and continuing development	
4.9	All UAPS staff members, including student employees and volunteers,	
4.9.1	receive specific training on institutional policies pertaining to functions or activities they support	
4.9.2	receive specific training on privacy and confidentiality policies and laws regarding access to student records and other sensitive institutional information	
4.9.3	receive training on policies and procedures related to the use of technology to store or access student records and institutional data	
4.9.4	are knowledgeable about and trained in emergency procedures, crisis response, and prevention efforts and in safety and emergency procedures for securing and vacating facilities	

#### **Part 4. Human Resources Overview Questions**

A. In what ways are staff members' qualifications examined?

B. In what ways are staff members' performance judged?

#### **Part 5. ETHICS**

**Undergraduate Admissions Programs and Services (UAPS) must review relevant professional ethical standards and must adopt or develop and implement appropriate statements of ethical practice.**

**UAPS must publish and adhere to statements of ethical practice and ensure their periodic review by relevant constituencies.**

**UAPS must orient new staff members to relevant ethical standards and statements of ethical practice and related institutional policies.**

**UAPS staff and volunteers must not disseminate biased, unflattering, and/or potentially inaccurate information about other secondary or postsecondary institutions, their admission criteria, their curricular offerings, or other related information.**

**UAPS staff must be compensated in the form of a fixed salary, rather than commissions or bonuses based on the number of students recruited, and must not contract with secondary school personnel for remunerations for referred students.**

**UAPS staff must not offer or accept any reward or remuneration from a college, university, agency, or organization for placement or recruitment of students.**

**UAPS must cite the source and year of study when institutional publications and communications reference academic programs, academic rigor or reputations, or athletic rankings.**

**Except for Early Decision programs, UAPS must not require or ask secondary schools to indicate the order of prospective students' college or university preferences, and must not require or ask candidates to indicate the order of their college or university preferences.**

**UAPS must not offer exclusive incentives that provide opportunities for students applying or admitted under Early Decision that are not available to students admitted under other admission options.**

Examples of incentive programs include special residence halls, honors programs, full need-based financial aid packages, or special scholarships in addition to any other promise of an advantage in the admission process if student(s) convert from Regular Admission to Early Decision.

Categories might include student athletes, underprepared students, veterans, or those with a unique talent.

**UAPS must develop and use notification practices that protect the confidentiality of an applicant's admission or denial status. Specific efforts must be made to protect privacy when using web based technologies or group email announcements.**

**Statements of ethical standards must specify that staff members respect privacy and maintain confidentiality in all communications and records to the extent that such communications and records are protected under relevant privacy laws.**

**Statements of ethical standards must specify limits on disclosure of information contained in students' educational records as well as requirements to disclose to appropriate authorities.**

**Statements of ethical standards must address personal and economic conflicts of interest, or appearance thereof, by staff members in the performance of their work.**

**Statements of ethical standards must reflect the responsibility of staff members to be fair, objective, and impartial in their interactions with others.**

**Statements of ethical standards must reference management of institutional funds.**

**Statements of ethical standards must reference appropriate behavior regarding research and assessment with human participants, confidentiality of research and assessment data, and students' rights and responsibilities.**

**Statements of ethical standards must include the expectation that UAPS staff members confront and hold accountable other staff members who exhibit unethical behavior.**

**Statements of ethical standards must address issues surrounding scholarly integrity.**

**As appropriate, UAPS staff members must inform users of programs and services of ethical obligations and limitations emanating from codes and laws or from licensure requirements.**

**UAPS staff members must recognize and avoid conflicts of interest that could adversely influence their judgment or objectivity and, when unavoidable, recuse themselves from the situation.**

**UAPS staff members must perform their duties within the limits of their position, training, expertise, and competence.**

**When these limits are exceeded, individuals in need of further assistance must be referred to persons possessing appropriate qualifications.**

**Promotional and descriptive information must be accurate and free of deception.**

**UAPS must adhere to institutional policies regarding ethical and legal use of software and technology.**

<b>ND</b>	<b>0</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Does Not Apply	Insufficient Evidence/ Unable to Rate	Does Not Meet	Partly Meets	Meets	Exceeds	Exemplary

<b>Criterion Measures</b>		<b>Rating</b>
5.1	The Undergraduate Admissions Program or Service (UAPS) reviews relevant professional ethical standards and implements appropriate statements of ethical practice	
5.2	The UAPS publishes and adheres to statements of ethical practice and ensures periodic review by relevant constituents	
5.3	The UAPS orients new staff members to relevant statements of ethical practice and related institutional policies	
5.4	The UAPS staff and volunteers do not disseminate biased, unflattering, or potentially inaccurate information about other institutions, their admission criteria, or their offerings	
5.5	The UAPS staff	
5.5.1	are compensated by salary rather than commissions or bonuses	
5.5.2	do not contract for remuneration for referring students	
5.5.3	do not offer or accept any reward or remuneration for placement or recruitment of students	
5.6	The UAPS must cite the source and year of study when institutional publications and communications reference academic programs, rigor, reputation, or athletic rankings	
5.7	The UAPS	
5.7.1	does not require or ask prospective students or their secondary schools to indicate the order of their college or university preference, except in Early Decision programs	
5.7.2	offers in Early Decision programs only incentives available to students admitted otherwise	
5.7.3	develops and uses notification practices that protect confidentiality of applicants' admission or denial status	
5.8	The UAPS's statement of ethical standards	
5.8.1	specifies that staff members respect privacy and maintain confidentiality as appropriate	
5.8.2	specifies limits on disclosure of student records as well as requirements to disclose to appropriate authorities	
5.8.3	addresses personal and economic conflicts, or appearance thereof, by staff members in the performance of their work	
5.8.4	reflects the responsibility of staff members to be fair, objective, and impartial in their interactions with others	
5.8.5	references management of institutional funds	

5.8.6	references appropriate behavior regarding research and assessment with human participants, confidentiality of research and assessment data, and students' rights and responsibilities	
5.8.7	includes the expectation that UAPS staff members confront and hold accountable other staff members who exhibit unethical behavior	
5.8.8	addresses issues surrounding scholarly integrity	
5.9	UAPS staff members	
5.9.1	inform users of programs of ethical obligations and limitations emanating from codes and laws or from licensure requirements	
5.9.2	recognize and avoid conflicts of interest that could influence their judgment and objectivity	
5.9.3	perform duties within the limits of the position, training, expertise, and competence, and when limits are exceeded make referrals to persons possessing appropriate qualifications	
5.10	Promotional and descriptive information are accurate and free of deception	
5.11	The UAPS adheres to institutional policies regarding ethical and legal use of software and technology	

## Part 5. Ethics Overview Questions

- A. What ethical principles, standards, statements, or codes guide the program and its staff members?
  
- B. What is the program's strategy for managing student and staff member confidentiality and privacy issues?
  
- C. How are ethical dilemmas and conflicts of interest managed?
  
- D. In what ways are staff members informed and supervised regarding ethical conduct?

## Part 6. LAW, POLICY, AND GOVERNANCE

**Undergraduate Admissions Programs and Services (UAPS) must be in compliance with laws, regulations, and policies that relate to their respective responsibilities and that pose legal obligations, limitations, risks, and liabilities for the institution as a whole. Examples include constitutional, statutory, regulatory, and case law; relevant law and orders emanating from codes and laws; and the institution's policies.**

**UAPS staff members must establish policies with respect to the release of student names during the admission process. Any policy that authorizes the release of students' names must indicate that the release be made only with the students' permission and be consistent with applicable laws and regulations.**

**UAPS must abide by regulations in the *Family Educational Rights and Privacy Act (FERPA)*, or equivalent privacy laws in other states/provinces, or countries, when developing policies that authorize the release of student names during the admission process.**

**UAPS must inform staff members, appropriate officials, and users of programs and services about existing and changing legal obligations, risks and liabilities, and limitations.**

**UAPS must have written policies on all relevant operations, transactions, or tasks that have legal implications.**

**UAPS must regularly review policies. The revision and creation of policies must be informed by best practices, available evidence, and policy issues in higher education.**

**UAPS staff members must use reasonable and informed practices to limit the liability exposure of the institution and its officers, employees, and agents. UAPS staff members must be informed about institutional policies regarding risk management, personal liability, and related insurance coverage options and must be referred to external sources if the institution does not provide coverage.**

**The institution must provide access to legal advice for staff members as needed to carry out assigned responsibilities.**

**UAPS must have procedures and guidelines consistent with institutional policy for responding to threats, emergencies, and crisis situations. Systems and procedures must be in place to disseminate timely and accurate information to students, other members of the institutional community, and appropriate external organizations during emergency situations.**

**UAPS staff members must neither participate in nor condone any form of harassment or activity that demeans persons or creates an intimidating, hostile, or offensive environment.**

**UAPS must obtain permission to use copyrighted materials and instruments. UAPS must purchase the materials and instruments from legally compliant sources or seek alternative permission from the publisher or owner. References to copyrighted materials and instruments must include appropriate citations.**

**UAPS staff members must be knowledgeable about internal and external governance systems that affect programs and services.**

<b>ND</b>	<b>0</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Does Not Apply	Insufficient Evidence/ Unable to Rate	Does Not Meet	Partly Meets	Meets	Exceeds	Exemplary

Criterion Measures		Rating
6.1	The Undergraduate Admissions Program or Service (UAPS)	
6.1.1	is in compliance with laws, regulations, and policies that relate to its respective responsibilities and that pose legal obligations, limitations, risks, and liabilities for the institution as a whole	
6.1.2	establishes policies with respect to release of student names during the admission process	
6.1.3	abides by regulations in the Family Educational Rights and Privacy Act (FERPA) or equivalent privacy laws in other countries or states/provinces, when developing policies that authorize release of student names during the admission process	
6.1.4	informs staff members, appropriate officials, and users of programs and services about existing and changing legal obligations, risks and liabilities, and limitations	
6.1.5	has written policies on all relevant operations, transactions, or tasks that have legal implications	
6.1.6	regularly reviews policies to ensure that they reflect best practices, available evidence, and policy issues in higher education	
6.1.7	has procedures and guidelines consistent with institutional policy for responding to threats, emergencies, and crisis situations	
6.1.8	has systems and procedures to disseminate timely and accurate information to students, other members of the institutional community, and appropriate external organizations during emergency situations	
6.1.9	obtains permission to use copyrighted materials and instruments	
6.1.10	purchases the materials and instruments from legally compliant sources or seeks permission from the publisher or owner	
6.1.11	references copyrighted materials and instruments with appropriate citations	
6.2	UAPS staff members	
6.2.1	use reasonable and informed practices to limit the liability exposure of the institution and its officers, employees, and agents	
6.2.2	are informed about institutional policies regarding risk management, personal liability, and related insurance coverage options and are referred to external sources if the institution does not provide coverage	
6.2.3	neither participate in nor condone any form of harassment that demeans persons or creates an intimidating, hostile, or offensive environment	
6.2.4	are knowledgeable about internal and external governance systems that affect programs	
6.3	The institution provides access to legal advice for UAPS staff members as needed to carry out assigned responsibilities	

## Part 6. Law, Policy, and Governance Overview Questions

- A. What are the crucial legal, policy and governance issues faced by the program?
  
- B. How are staff members instructed, advised, or assisted with legal, policy and governance concerns?
  
- C. How are staff members informed about internal and external governance systems?

## **Part 7. DIVERSITY, EQUITY, AND ACCESS**

**Within the context of each institution's unique mission and in accordance with institutional policies and all applicable codes and laws, Undergraduate Admissions Programs and Services (UAPS) must create and maintain educational and work environments that are**

- **welcoming, accessible, and inclusive to persons of diverse backgrounds**
- **equitable and non-discriminatory**
- **free from harassment**

**UAPS must not discriminate on the basis of ability; age; cultural identity; ethnicity; family educational history (e.g., first generation to attend college); gender identity and expression; nationality; political affiliation; race; religious affiliation; sex; sexual orientation; economic, marital, social, or veteran status; or any other basis included in institutional policies and codes and laws.**

**UAPS must**

- **advocate for greater sensitivity to multicultural and social justice concerns by the institution and its personnel**
- **modify or remove policies, practices, facilities, structures, systems, and technologies that limit access, discriminate, or produce inequities**
- **include diversity, equity, and access initiatives within their strategic plans**
- **foster communication that deepens understanding of identity, culture, self-expression, and heritage**
- **promote respect about commonalities and differences among people within their historical and cultural contexts**
- **address the characteristics and needs of a diverse population when establishing and implementing culturally relevant and inclusive programs, services, policies, procedures, and practices**
- **provide staff members with access to multicultural training and hold staff members accountable for integrating the training into their work**
- **respond to the needs of all students and other populations served when establishing hours of operation and developing methods of delivering programs, services, and resources**
- **ensure physical, program, and resource access for persons with disabilities**
- **recognize the needs of distance learning students by providing appropriate and accessible services and resources or by assisting them in gaining access to other appropriate services and resources in their geographic region**

**Students inquiring about disability services accommodations must be referred to the appropriate institution staff and resources.**

**UAPS must accurately describe and depict images of the diversity of the institution in admission material and media.**

<b>ND</b>	<b>0</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Does Not Apply	Insufficient Evidence/ Unable to Rate	Does Not Meet	Partly Meets	Meets	Exceeds	Exemplary

Criterion Measures		Rating
7.1	The Undergraduate Admissions Program or Service (UAPS) creates and maintains educational work environments that are	
7.1.1	welcoming, accessible, and inclusive to persons of diverse backgrounds	
7.1.2	equitable and non-discriminatory	
7.1.3	free from harassment	
7.2	The UAPS does not discriminate on the basis of ability; age; cultural identity; ethnicity; family educational history; gender identity and expression; nationality; political affiliation; race; religious affiliation; sex; sexual orientation; economic, marital, social, or veteran status; or any other basis included in institutional policies and codes and laws	
7.3	The UAPS	
7.3.1	advocates for sensitivity to multicultural and social justice concerns by the institution and its personnel	
7.3.2	modifies or removes policies, practices, facilities, structures, systems, and technologies that limit access, discriminate, or produce inequities	
7.3.3	includes diversity, equity, and access initiatives within its strategic plan	
7.3.4	fosters communication that deepens understanding of identity, culture, self-expression, and heritage	
7.3.5	promotes respect about commonalities and differences among people within their historical and cultural contexts	
7.3.6	addresses the characteristics and needs of a diverse population when establishing and implementing culturally relevant and inclusive programs, services, policies, procedures, and practices	
7.3.7	provides staff members with access to multicultural training and holds staff members accountable for integrating the training into their work	
7.3.8	responds to the needs of all students and other populations served when establishing hours of operation and developing methods of delivering programs, services, and resources	
7.3.9	ensures physical, program, and resource access for persons with disabilities	
7.3.10	recognizes the needs of distance learning students by providing appropriate and accessible services and resources or by assisting them in gaining access to other appropriate services and resources in their geographic region	
7.4	The UAPS refers to the appropriate staff and resources any students inquiring about disability accommodations	
7.5	UAPS accurately describes and depicts images of the diversity of the institution in admission materials and media	

## Part 7. Diversity, Equity, and Access Overview Questions

A. How does the program ensure non-discriminatory, fair, and equitable treatment to all constituents?

- B. What policies and/or practices are in place to address imbalances in participation among selected categories of students and imbalances in staffing patterns among selected categories of program staff members?
- C. How does the program create and maintain the educational and work environment to comply with institutional policies and all applicable codes and laws?

## **Part 8. INSTITUTIONAL AND EXTERNAL RELATIONS**

**Undergraduate Admissions Programs and Services (UAPS) must reach out to relevant individuals, groups, communities, and organizations internal and external to the institution to**

- **establish, maintain, and promote understanding and effective relations with those that have a significant interest in or potential effect on the students or other constituents served by the programs and services**
- **garner support and resources for programs and services as defined by the mission statement**
- **disseminate information about the programs and services**
- **collaborate, where appropriate, to assist in offering or improving programs and services to meet the needs of students and other constituents and to achieve program and student outcomes**
- **engage diverse individuals, groups, communities, and organizations to enrich the educational environment and experiences of students and other constituents**

**UAPS must work collaboratively with institutional marketing and communications departments in developing publications, websites, video, and other related media that accurately represent the institution to prospective students and their families.**

**UAPS must work collaboratively with academic departments throughout the recruitment and enrollment process. UAPS staff must provide appropriate training to faculty and campus administrators about the admissions process and their role in the recruitment process.**

**UAPS must provide appropriate training to alumni and other volunteers who participate in the recruitment process to delineate their role in representing the institution with prospective students and their families.**

**UAPS must work collaboratively with the registrar and institutional research staff when analyzing yield and conversion rates and other related data for admitted students.**

UAPS should coordinate and provide linkages to other campus units such as housing and residential life, campus and visitor information services, financial aid, orientation, registrar,

student activities, athletics, academic advising, campus bookstore, student accounts, academic support, disability services, counseling, and career services.

UAPS should identify students deficient in required academic skills and preparation and refer to the appropriate campus units.

**UAPS must have procedures and guidelines consistent with institutional policy for**

- **communicating with the media**
- **contracting with external organizations for delivery of programs and services**
- **cultivating, soliciting, and managing gifts**
- **applying to and managing funds from grants**

<b>ND</b>	<b>0</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Does Not Apply	Insufficient Evidence/ Unable to Rate	Does Not Meet	Partly Meets	Meets	Exceeds	Exemplary

<b>Criterion Measures</b>	<b>Rating</b>
8.1 The Undergraduate Admissions Program or Service (UAPS) reaches out to internal and external populations to	
8.1.1 establish, maintain, and promote understanding and effective relations with those that have a significant interest in or potential effect on the students or other constituents served by the programs and services	
8.1.2 garner support and resources for programs and services as defined by the mission statement	
8.1.3 disseminate information about the programs and services	
8.1.4 collaborate, where appropriate, to assist in offering or improving programs and services to meet the needs of students and other constituents and to achieve program and student outcomes	
8.1.5 engage diverse individuals, groups, communities, and organizations to enrich the educational environment and experiences of students and other constituents	
8.2 The UAPS	
8.2.1 works collaboratively with institutional marketing and communications departments in developing publications, websites, video, and other related media that accurately represent the institution to prospective students and their families	
8.2.2 works collaboratively with academic departments throughout the recruitment and enrollment process and trains faculty and administrators about their recruiting roles and about admissions	
8.2.3 provides appropriate training to alumni and other volunteers who participate in the recruitment process	
8.2.4 works collaboratively with the registrar and institutional research staff to analyze yield and conversion rates and related data for admitted students	
8.3 The UAPS has procedures and guidelines consistent with institutional policy to	
8.3.1 communicate with the media	
8.3.2 contract with external organizations for delivery of programs and services	
8.3.3 cultivate, solicit, and manage gifts	
8.3.4 apply to and manage funds from grants	

**Part 8. Institutional and External Relations Overview Questions**

- A. With which relevant individuals, campus offices, and external agencies must the program maintain effective relations?
  
- B. What evidence confirms effective relationships with program constituents?

**Part 9. FINANCIAL RESOURCES**

**Undergraduate Admissions Programs and Services (UAPS) must have funding to accomplish the mission and goals. In establishing funding priorities and making significant changes, a comprehensive analysis must be conducted to determine the following elements: unmet needs of the unit, relevant expenditures, external and internal resources, and impact on students and the institution.**

**UAPS must demonstrate efficient and effective use and responsible stewardship of fiscal resources consistent with institutional protocols.**

UAPS should have processes to waive admission application fees for prospective students who meet institutionally defined criteria.

<b>ND</b>	<b>0</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Does Not Apply	Insufficient Evidence/ Unable to Rate	Does Not Meet	Partly Meets	Meets	Exceeds	Exemplary

Criterion Measures		Rating
9.1	The Undergraduate Admissions Program or Service (UAPS) has adequate funding to accomplish its mission and goals	
9.2	The UAPS demonstrates fiscal responsibility, responsible stewardship, and cost-effectiveness consistent with institutional protocols	
9.3	An analysis of expenditures, external and internal resources, and impact on the campus community is completed before	
9.3.1	establishing funding priorities	
9.3.2	making significant changes	

**Part 9. Financial Resources Overview Questions**

- A. What is the funding strategy for the program?
  
- B. What evidence exists to confirm fiscal responsibility, responsible stewardship, and cost-effectiveness?

## **Part 10. TECHNOLOGY**

**Undergraduate Admissions Programs and Services (UAPS) must have adequate technology to support the achievement of their mission and goals. The technology and its use must comply with institutional policies and procedures and be evaluated for compliance with relevant codes and laws.**

**UAPS must use current technology to provide updated information regarding mission, location, staffing, programs, services, and official contacts to students and designated clients.**

**UAPS must explore the use of technology to enhance delivery of programs and services, especially for students at a distance or external constituencies.**

UAPS staff should have expertise in utilizing appropriate technologies in recruiting students, including, but not limited to, social networking, broadcast text messages, instant messaging, electronic financial aid resources, and student record-keeping.

**When technology is used to facilitate student learning and development, UAPS must select technology that reflects intended outcomes.**

### **UAPS must**

- **maintain policies and procedures that address the security, confidentiality, and backup of data, as well as compliance with privacy laws**
- **have clearly articulated plans in place for protecting confidentiality and security of information when using Internet-based technologies**
- **develop plans for replacing and updating existing hardware and software as well as plans for integrating new technically-based or supported programs, including systems developed internally by the institution, systems available through professional associations, or private vendor-based systems**

**Technology, as well as workstations or computer labs maintained by programs and services for student use, must be accessible to all designated clients and must meet established technology standards for delivery to persons with disabilities.**

### **When providing student access to technology, UAPS must:**

- **have policies on the use of technology that are clear, easy to understand, and available to all students**
- **provide assistance, information, or referral to appropriate support services to those needing help accessing or using technology**
- **provide instruction or training on how to use the technology**
- **inform students on the legal and ethical implications of misuse as it pertains to intellectual property, harassment, privacy, and social networks**

**Student violations of technology policies must follow established institutional student disciplinary procedures.**

**Students who experience negative emotional or psychological consequences from the use of technology must be referred to support services provided by the institution.**

<b>ND</b>	<b>0</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Does Not Apply	Insufficient Evidence/ Unable to Rate	Does Not Meet	Partly Meets	Meets	Exceeds	Exemplary

<b>Criterion Measures</b>		<b>Rating</b>
10.1	The Undergraduate Admissions Program or Service (UAPS) has adequate technology to support its mission and goals	
10.2	Use of technology in the UAPS complies with institutional policies and procedures and legal requirements	
10.3	The UAPS uses current technology to provide updated information regarding mission, location, staffing, programs, services, and official contacts to students and designated clients	
10.4	The UAPS explores use of technology to enhance delivery of programs and services, especially for students at a distance and external constituencies	
10.5	The UAPS uses technology that facilitates learning and development and reflects intended outcomes	
10.6	The UAPS	
10.6.1	maintains policies and procedures that address the security, confidentiality, and backup of data, as well as compliance with privacy laws	
10.6.2	has plans in place for protecting confidentiality and security of information when using Internet-based technologies	
10.6.3	develops plans for replacing and updating existing hardware and software as well as for integrating new technically-based or -supported programs	
10.7	Workstations and computer labs maintained by the UAPS for student use are accessible to all designated clients and meet standards for delivery to persons with disabilities	
10.8	The UAPS provides	
10.8.1	access to policies on technology use that are clear, easy to understand, and available to all students	
10.8.2	assistance, information, or referral to appropriate support services to those needing help accessing or using technology	
10.8.3	instruction or training on how to use technology	
10.8.4	information on the legal and ethical implications of misuse as it pertains to intellectual property, harassment, privacy, and social networks	
10.9	Student violations of technology are addressed in student disciplinary procedures	
10.10	A referral support system is available for students who experience negative emotional or psychological consequences from the use of technology	

**Part 10. Technology Overview Questions**

A. How is technology inventoried, maintained, and updated?

B. What evidence exists to confirm that technology is available for all who are served by the program?

**Part 11. FACILITIES AND EQUIPMENT**

**Undergraduate Admissions Programs and Services (UAPS) must have adequate, accessible, and suitably located facilities and equipment to support the mission and goals. If acquiring capital equipment as defined by the institution, UAPS must take into account expenses related to regular maintenance and life cycle costs. Facilities and equipment must be evaluated on an established cycle, including consideration of sustainability, and be in compliance with codes and laws to provide for access, health, safety, and security.**

**UAPS staff members must have workspace that is well equipped, adequate in size, and designed to support their work and responsibilities. For conversations requiring privacy, staff members must have access to a private space.**

**UAPS staff members who share workspace must be able to secure their own work.**

**The design of the facilities must guarantee the security and privacy of records and ensure the confidentiality of sensitive information.**

**The location and layout of the facilities must be sensitive to the needs of persons with disabilities as well as the needs of other constituencies.**

UAPS should encourage the maintenance of attractive and appealing campus facilities that complement the recruitment and admissions process as well as a welcome facility that provides appropriate first stop information and greeting service to all visitors.

<b>ND</b>	<b>0</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Does Not Apply	Insufficient Evidence/ Unable to Rate	Does Not Meet	Partly Meets	Meets	Exceeds	Exemplary

<b>Criterion Measures</b>		<b>Rating</b>
11.1	The Undergraduate Admissions Program or Service (UAPS)	
11.1.1	has adequate, accessible, and suitably located facilities and equipment to support its mission and goals	
11.1.2	takes into account expenses related to regular maintenance and life-cycle costs when purchasing capital equipment	
11.2	UAPS facilities and equipment	
11.2.1	are evaluated regularly	
11.2.2	are in compliance with relevant legal and institutional requirements that ensure access, health, safety, and security of students and other users	

11.3	UAPS staff members have	
11.3.1	workspace that is well equipped, adequate in size, and designed to support their work	
11.3.2	access to appropriate space for private conversations	
11.3.3	the ability to adequately secure their work	
11.4	The facilities guarantee security and privacy of records and ensure confidentiality of sensitive information	
11.5	The location and layout of the facilities are sensitive to the needs of persons with disabilities as well as with the needs of other constituencies	

## Part 11. Facilities and Equipment Overview Questions

- A. How are facilities inventoried and maintained?
- B. What evidence exists to confirm that access, health, safety, and security of facilities and equipment are available for all who are served by the program?

## Part 12. ASSESSMENT AND EVALUATION

**Undergraduate Admissions Programs and Services (UAPS) must have a clearly articulated assessment plan to document achievement of stated goals and learning outcomes, demonstrate accountability, provide evidence of improvement, and describe resulting changes in programs and services.**

**UAPS must have adequate fiscal, human, professional development, and technological resources to develop and implement assessment plans.**

**Assessments must include direct and indirect evaluation and use qualitative and quantitative methodologies and existing evidence, as appropriate, to determine whether and to what degree the stated mission, goals, and intended outcomes are being met as effectively and efficiently as possible. The process must employ sufficient and sound measures to ensure comprehensiveness. Data collected must include responses from students and other constituencies, and aggregated results must be shared with those groups. Results of assessments must be shared appropriately with multiple constituents.**

**Results of assessments and evaluations must be used to identify needs and interests in revising and improving programs and services, recognizing staff performance, maximizing resource efficiency and effectiveness, improving student achievement of learning and development outcomes, and improving student persistence and success. Changes resulting from the use of assessments and evaluation must be shared with stakeholders.**

**UAPS must employ data-based strategic enrollment management principles when identifying prospective students.**

Predictive modeling should be used to identify prospective students and yield data when evaluating the effectiveness of specific recruitment programs and admissions strategies.

Feedback about admission processes should be sought from relevant participants including prospective students, faculty members, staff, and families.

<b>ND</b>	<b>0</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Does Not Apply	Insufficient Evidence/ Unable to Rate	Does Not Meet	Partly Meets	Meets	Exceeds	Exemplary

Criterion Measures	Rating
12.1 The Undergraduate Admissions Program or Service (UAPS) has a clearly-articulated assessment plan to	
12.1.1 document achievement of stated goals and learning outcomes	
12.1.2 demonstrate accountability	
12.1.3 provide evidence of improvement	
12.1.4 describe resulting changes	
12.2 The UAPS has adequate resources in the following dimensions to develop and implement assessment plans:	
12.2.1 fiscal	
12.2.2 human	
12.2.3 professional development	
12.2.4 technology	
12.3 The UAPS employs direct and indirect evaluation and qualitative and quantitative methodologies to	
12.3.1 determine achievement of mission and goals	
12.3.2 determine achievement of learning and development outcomes and whether they are met effectively and efficiently	
12.3.3 ensure comprehensiveness	
12.4 Data are collected from students and other constituencies	
12.5 Assessments are shared appropriately with multiple constituencies	
12.6 Assessment and evaluation results are used to	
12.6.1 identify needs and interests in revising and improving programs and services	
12.6.2 recognize staff performance	
12.6.3 maximize resource efficiency and effectiveness	
12.6.4 improve student learning and development outcomes	
12.6.5 improve student persistence and success	
12.7 Changes resulting from assessment and evaluation are shared with stakeholders	
12.8 The UAPS employs data-based strategic enrollment management principles when identifying prospective students	

## **Part 12. Assessment and Evaluation Overview Questions**

- A. What is the comprehensive assessment strategy for the program?
- B. How are tangible, measurable outcomes determined to ensure program achievement of mission and goals?

*General Standards revised in 2011; UAPS (formerly AP) content developed/revised in 1987, 1997, & 2010*

## **Other Institutional Assessments**

### **Accreditations:**

Monroe Community College's accredited academic and other programs are listed below including the accrediting agency for the College itself.

- Middle States Commission on Higher Education: The Middle States Commission on Higher Education is the unit of the Middle States Association of Colleges and Schools that accredits degree-granting colleges and universities in the Middle States region.

- Accreditation Commission for Education in Nursing, Inc: Nursing, A.A.S.
- Commission on Accreditation for Health Informatics and Informational Management Education: Health Information Technology/Medical Records, A.A.S.
- Commission on Accreditation of Allied Health: Paramedic, A.A.S.
- Commission on Dental Accreditation of the American Dental Association: Dental Hygiene, A.A.S., and Dental Assisting, Certificate
- Engineering Technology Accreditation Commission of the Accreditation Board for Engineering and Technology (ETAC/ABET): Electrical Engineering Technology - Electronics, A.A.S.
- Joint Review Committee on Education in Radiologic Technology (JRCERT): Radiologic Technology, A.A.S.
- National Accrediting Agency for Clinical Laboratory Sciences: Clinical Laboratory Technician/Medical Laboratory Technician, A.A.S.
- CALEA, Public Safety Accreditation (initial accreditation in progress)

**Note:** For further information, go to <http://www.monroecc.edu/depts/currprog/accreditations/>

### **Other Assessments:**

- Annual Financial Audits
- Moran Report
- Noel Levitz Report
- Serving Students Best Report