



## Institutional Effectiveness Committee Report to the College President May 2019

### **Membership:**

Matthew Carr  
Ann Damiano, Chair  
Deanna Errico  
Erin Knight  
Kim Lambert  
Carl Lohmann  
Halina Lotyczewski  
Wendy Moore  
Stephanie Nesbitt  
James Scannell

### **Meeting Dates:**

January 15, 2019  
January 29, 2019  
February 26, 2019  
March 26, 2019  
April 9, 2019

Agendas for each meeting are accessible on the Institutional Effectiveness webpage: <https://www.utica.edu/academic/Assessment/new/ie.cfm>. Agendas and minutes are stored on the committee's Google drive.

### **Summary of the Committee's Progress:**

The assessment processes for administrative departments as outlined in the *Guide to Annual Assessment and Program Review: Co-Curricular and Non-Academic Departments* were approved by the Joint Cabinet in January 2019. Following this endorsement, the Institutional Effectiveness Committee (IEC) designed a rubric to assess the annual reports from administrative departments and created a 5-year program review schedule. Program reviews will start in 2023-2024. Annual assessments will begin in 2019-2020.

The committee created a *Resource Guide for Assessment Plans and Annual Reports* to provide assistance with the various components that constitute an effective assessment plan and quality report. This report is accessible on the assessment resources site:

<https://www.utica.edu/academic/Assessment/new/resources.cfm>). It will be shared with participants in the assessment workshops scheduled from April 2019 through September 2019.

The IEC modified the SUNY Council on Assessment’s Institutional Effectiveness rubric to reflect Utica College. (A copy may be found appended to this report.) This rubric will serve as an instrument to measure the College’s progress with respect to its assessment processes and how they integrate with planning and resource allocations. Committee members scored the rubric in order to document the current status of institutional effectiveness at UC and identify where we need to strengthen our processes. The results, which are shared in the next section of this report, will provide direction regarding next steps.

Procedures regarding the annual performance review for administrative staff were added to the *Utica College Guide to Institutional Effectiveness* to show how goal setting processes for individual personnel and administrative departments might integrate. Specifically, goals that are not personal in nature (i.e. those related to personal performance or professional development) should align with or even duplicate departmental goals. The department’s annual assessment report will serve as evidence of how well the goals have been achieved.

Finally, the IEC met with Pam Salmon, Vice President for Financial Affairs, to review budget procedures and how they currently align with planning processes.

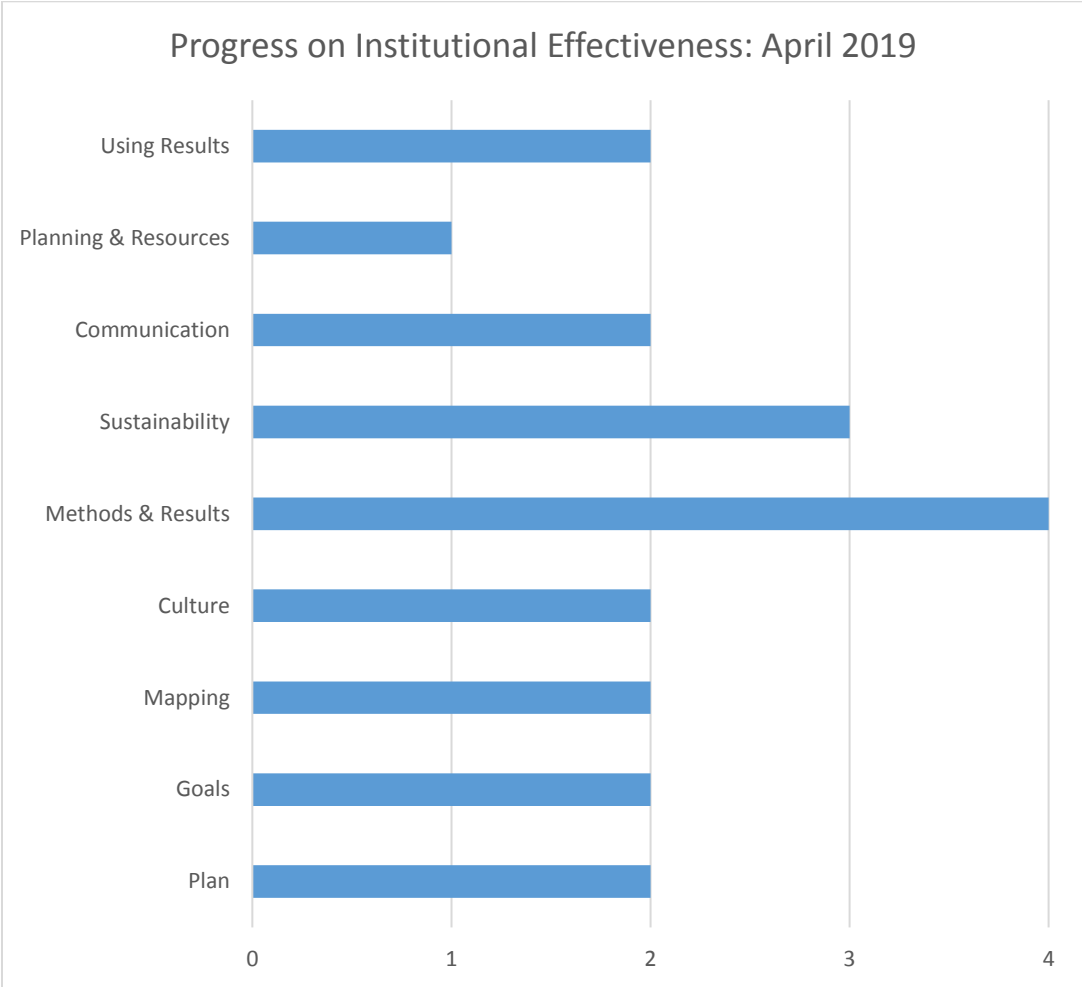
### **Status Report on Institutional Effectiveness at Utica College**

Based on the descriptive criteria on the Institutional Effectiveness rubric, the IEC concluded that the College’s processes are developing. What this specifically means is that some, but not all, areas have clearly articulated goals and systematic assessment processes. This reflects the fact that administrative departments have not historically engaged in systematic assessment. Those areas that do engage in ongoing assessment—i.e. academic departments and co-curricular operations—have sustainable processes that utilize multiple measures of performance.

In general, the IEC was satisfied with where the College ranks in institutional effectiveness, given how college-wide assessment is in its early stages. Assessment planning in administrative units has been scheduled from April 2019 through September 2019, and ongoing professional development and consultation will be available to administrative departments. The committee is confident that once these processes are fully implemented, the College will have sustainable and effective assessment practices that are well integrated with the institution’s planning procedures. To this end, the IEC set a target that the College will be at the established-level in all areas by 2022 and at the exemplary-level by 2025.

Specific rubric scores are reported in the following figure:

Key Legend: 1=No evidence 2=Developing 3=Established 4=Exemplary



## Status Report on Middle States Recommendations:

The following table provides a status update on recommendations from the Middle States Visiting Team report (April 2018). It indicates what evidence we currently have that each recommendation has been addressed and what we need to do.

Recommendations	Status Updates & Evidence	Person(s) Responsible
<i>Standard III:</i> Determine a comprehensive approach to integrating adjunct faculty members into the life of the College and into their academic departments.	Arts and Sciences School hired coordinators for ENG 100 and MAT 124 to work with adjuncts to ensure consistency in developmental educational offerings; Business & Economics adjuncts are invited to semester end retreats, and starting in 2019-2020, they will be invited to all departmental faculty meetings; adjunct rep on strategic planning committee	Provost, school deans, department chairs and program directors
<i>Standard III:</i> Develop an effective teaching practices strategy across all instructional delivery modes to inform, share, and improve teaching and learning.	5-year program review self-studies (question that addresses quality of teaching), departmental peer reviews (e.g. Business), department-based teaching and professional creativity committee (e.g. Business & Economics), reflective statements on teaching, SOPAs, awards or grants given to faculty in support of teaching (e.g. Crisafulli Funds), presentations at Faculty Research Day and Annual Teaching Day, NSSE and SSI questions related to satisfaction with faculty teaching effectiveness, Faculty Survey on Pedagogical Practices.	Provost, school deans, department chairs and program directors, Office of Assessment
<i>Standard III:</i> Reexamine the role that faculty and staff members play in advising, provide more opportunities for collaboration in defining those roles and areas of shared responsibility, and ensure that all members of the College community fully understand the role that faculty advisors, navigators, and success coaches play in improving student success.	Retention and Completion Task Force proposed “Roles and Responsibilities of the Undergraduate Care Team.” Submitted draft to Provost Cabinet (April 2019) and with President’s Cabinet (April 2019). Will be forwarded to schools for their information.	School deans, department chairs and program directors, Student Success coaches (on-ground and online)
<i>Standard IV:</i> Develop an institutionally agreed upon definition of student success, and further develop tools to	Model developed by academic leadership that operationalizes a student success definition, articulates outcomes, and identifies assessment measures. Model	Provost Cabinet, faculty

<p>systematically assess students' preparedness and the extent to which they retain and achieve academic goals to graduate from the College.</p>	<p>informed by the Higher Learning Commission and York, Gibson, &amp; Rankin. Model shared with Retention &amp; Completion Task Force and brought to Provost Cabinet &amp; Faculty Senate (April 2019). Model was approved by the President's Cabinet with minor revisions(April 2019).</p> <p><b>Process for collecting evidence of student success as per the recommended measures?</b></p> <p><i>Defining Student Success Data: Recommendations for Changing the Conversation</i> (pp. 1-12, Working paper). (2018). Chicago, IL: Higher Learning Commission.</p> <p>York, Travis T., Gibson, Charles, &amp; Rankin, Susan. (March 2015). Defining and Measuring Academic Success. <i>Practical Assessment, Research &amp; Evaluation</i>, 20(5). Available online: <a href="http://pareonline.net/getvn.asp?v=20&amp;n=5">http://pareonline.net/getvn.asp?v=20&amp;n=5</a></p>	
<p><i>Standard V:</i> Continue the cycle of assessment in academic and co-curricular programs, and demonstrate utilization of student learning outcomes to inform course and program content, delivery, and pedagogy.</p>	<p><i>Guide to Institutional Effectiveness, Guide to Academic Assessment, AACC Handbook, Co-Curricular Assessment Committee Handbook</i>, annual goal reports and assessment plans from academic and co-curricular units, 5-year program reviews, minutes from department-based retreats, AACC semi-annual report to the Provost and Faculty Senate</p> <p><a href="https://www.utica.edu/academic/Assessment/aacc.cfm">https://www.utica.edu/academic/Assessment/aacc.cfm</a>, Co-CA semi-annual report, and IEC semi-annual report to the College President</p> <p><a href="https://www.utica.edu/academic/Assessment/new/ie.cfm">https://www.utica.edu/academic/Assessment/new/ie.cfm</a></p>	<p>Dean for Assessment, AACC, Co-CA, faculty, directors of co-curricular units and student support operations</p>
<p><i>Standard V:</i> Develop a process to communicate student learning outcomes assessment findings linking General Education outcomes to student achievement.</p>	<p>TaskStream generated report mapping program-level learning to key intellectual skills (KIS); results posted on assessment website</p> <p><a href="https://www.utica.edu/academic/Assessment/new/results.cfm">https://www.utica.edu/academic/Assessment/new/results.cfm</a></p>	<p>Dean for Assessment, Provost, Oversight Committee for Core, Director of Core, faculty</p>

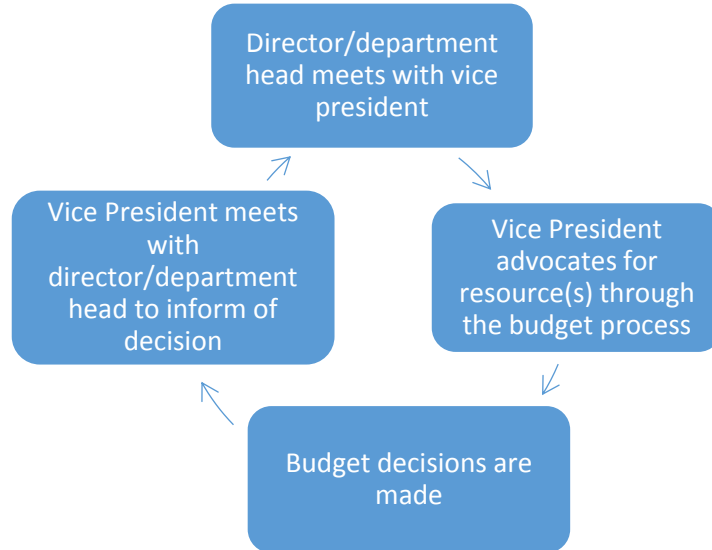
	Standards IV and V suggest the need for greater clarity regarding what are the institutional learning goals or “general education outcomes.” Oversight Committee for Core redrafted the program’s mission statement and integrated the Key Intellectual Skills and current goals into two overarching goals and 8 learning objectives. Proposal sent to Faculty Senate (May 2019).	
<i>Standard VI:</i> Develop a new strategic plan in tandem with the re-examination of the College’s mission statement, developing goals that are appropriate, realistic, and measurable, and also develop effective strategies to measure and communicate that progress.	Strategic Planning committee assembled and began meeting in December 2018. Agendas, minutes, notes related to process, and a final plan approved by the Board of Trustees will serve as evidence. <a href="https://www.utica.edu/college/plan/spc.cfm?">https://www.utica.edu/college/plan/spc.cfm?</a>  Mission statement being drafted by the strategic planning committee (April 2019).	College President and the Strategic Planning Committee.
<i>Standard VI:</i> Develop an academic plan and enrollment management plan to address goals for institutional sustainability and provide a foundation for long-range financial planning, facilities and information planning, and annual budgeting. The long-range financial plan should include specific goals for financial reserves and maintenance of the key financial ratios. All plans are to be integrated with the strategic plan.	Will be developed in tandem with the strategic plan.	Provost and SVP Student Life & Enrollment
<i>Standard VI:</i> Implement a comprehensive plan for the organized, systematic, and sustainable assessment of institutional effectiveness that	<i>Report to the College President from the Task Force on Institutional Effectiveness; Guide to Institutional Effectiveness, AACC Handbook, Guide to Academic Assessment, and Guide to Annual</i>	Institutional Effectiveness Committee, Joint Cabinet

<p>provides evidence that the College is using assessment results for institutional improvement in meeting its mission and goals. This plan will build congruence with student learning outcomes assessment efforts.</p>	<p><i>Assessment and Program-Review: Non-Academic Units</i>; semi-annual reports from the Institutional Effectiveness Committee, AACC, and Co-CA; and minutes from IEC.</p> <p>Evidence that assessment is used for continuous improvement less apparent, except in academic departments and co-curricular operations (including athletics). At the institutional-level, this information will become more easily available once the assessment processes are implemented and the strategic plan is launched.</p>	
<p><i>Standard VII:</i> Review the College’s governance structures and processes, considering how best to support and enhance timely communication among all members and groups in the campus community, and provide a route to participate in shared governance and decision-making as appropriate. The review will examine the role of full-time and adjunct faculty, trustees, administrators, staff, and all students, including online and graduate students, in shared governance.</p>	<p>Ongoing review and ratification of the Bylaws, Faculty Senate surveys (Fall 2017 and Spring 2018); FS report on survey findings (December 4, 2018). List of College committees &amp; committee membership, including membership on Strategic Planning Committee; Amended Student Government Constitution; Board assessment planned for 2019 after new chair is elected.</p>	

**IEC Recommendations to the College President:**

- The 2018-2019 Institutional Effectiveness Committee reiterates the recommendation made by the Institutional Effectiveness Task Force (2017-2018) that resource and planning decisions should be evidence-based, and the impact of these decisions should be assessed on an annual basis as part of the College’s assessment cycle.
- Departments or personnel who received resources to support a major project or initiative must be responsible for assessing the impact or return on investment of this resource decision. All stakeholders who were intended to benefit from this investment should be included in the assessment.
- If a department completes an assessment that indicates a need for resources beyond the current operational budget, the director/department head should meet with his/her/their respective vice president to review the findings and the resource needs. In the event that the vice president believes the resources are necessary, he/she/they

should advocate for them through the College’s budget processes or at the Joint Cabinet level. It is vitally important that the vice president communicates back to the director/department head the results of any decision that is made regarding the request. This **communication process** is illustrated in the following graphic:



- Once the strategic plan is operationalized, it should provide the College with a guide or methodology to prioritize funding requests.

#### **IEC 2019-2020 Action Plan:**

The Institutional Effectiveness Committee will begin meeting for the 2019-2020 academic year on September 10, 2019. The committee will meet every other Tuesday from 11:15 a.m. – 12:30 p.m.

The action plan for the 2019-2020 IEC includes

- Review assessment plans that are not under the purview of the Academic Assessment Coordinating Committee or the Co-Curricular Assessment Committee.
- Integrate the strategic plan into the College’s planning and assessment processes, including how to track and report progress on the strategic plan.
- Coordinate efforts in response to accreditation Standard VI, Planning & Resources, and identify areas we need to address.
- Integrate the work of the three assessment committees.



**INSTITUTIONAL EFFECTIVENESS RUBRIC**  
(SUNY Council on Assessment)

<https://system.suny.edu/media/suny/content-assets/documents/academic-affairs/assessment/Institutional-Effectiveness-Rubric-Branded.pdf>

*Modified for use by the Utica College Institutional Effectiveness Committee (April 2019)*

Element	Outcome	Exemplary	Established	Developing	No Evidence
<b>Plan</b>	<i>The institution has a formal assessment plan that documents an organized, sustained assessment process covering all major administrative departments, student support services, and academic programs.</i>	A written plan specifies responsibility for conducting assessment at departmental and institutional levels. The plan further indicates timelines and procedures and notes how assessment findings are channeled into strategic planning and budgeting.	All functional areas conduct assessment systematically and may have written policies to guide the process. However, there is no institutional plan that serves to coordinate how assessment findings improve institutional effectiveness.	Some, but not all, functional areas conduct assessment systematically, and these areas have policies and procedures for their assessment processes. However, there is no coordination of or standards for assessment set by the institution.	No institutional plan for assessment. Assessment may be conducted at the institution, but on an <i>ad hoc</i> basis, usually in response to specific challenges or accreditation mandates.
<b>Goals</b>	<i>Measurable goals have been articulated for the institution and within functional areas, including courses, programs, departments and nonacademic units.</i>	All departments at the institution and the institution itself have clearly articulated, measurable goals. Expected or aspirational outcomes are inherent in the goals.	All departments have goals, but not all are clearly stated, and the desired outcomes may lack clarity	Some but not all departments have clearly stated goals and/or goals are more of an operational checklist, a “to do” list.	Neither the institution nor its departments has clearly stated, measurable goals that identify expected or aspirational outcomes.
<b>Alignment/ Mapping</b>	<i>Specific goals (e.g. course-level, department-level) are mapped to broader, “higher-level” goals (e.g. Key Intellectual Skills, strategic goals) and the institutional mission.</i>	Departments indicate how their goals and outcomes map to the institution’s mission and goals. When appropriate, they are also linked to accreditation standards.	Departments map their goals to the institutional mission and goals, but some of the linking seems arbitrary or too much of a stretch. Likewise with mapping to accreditation standards.	Not all departments have mapped their goals to the institution’s mission and goals or current accreditation standards.	There is no evidence of alignment between departmental missions and goals and the mission and goals of the institution.

<b>Culture</b>	<i>All appropriate members of the individual department are involved in assessment activities.</i>	All members of the College are knowledgeable about assessment activities. Each department involves key stakeholders in its assessment processes, and the College’s leadership team frequently articulate the importance of assessment and its contribution to continuous improvement and decision-making.	All departments involve faculty or staff in some aspect of assessment—e.g. planning and collecting data, reviewing assessment results, implementing program-level improvements based on assessment findings.	Some departments involve faculty or staff in their assessment processes. Likewise, some but not all departments share results with key stakeholders.	In most departments, assessment is done by lone individuals charged with assessment responsibilities (usually a director or department chair).
<b>Methods &amp; Findings</b>	<i>Assessment results are gathered from multiple sources and measures.</i>	Assessment is based on multiple measures of performance, including direct and indirect and qualitative and quantitative data.	The institution and its departments use a combination of direct and indirect measures to assess goals.	The institution and its departments rely primarily on indirect measures. Assessment tools are poorly defined, not appropriate to the goal, or poorly constructed.	Not clear how institutional or departmental goals are being assessed. Because the goals are more of a checklist or action steps, they cannot be properly measured by any assessment method.
<b>Sustainability</b>	<i>Assessment is ongoing, systematic, and conducted in a manner that is sustainable over the long term.</i>	Assessment is routinely conducted in all appropriate departments. The sustainability of assessment processes is evident by the fact that they are regular, ongoing, and systematic. Assessment continues despite turnover in departments.	Assessment is routinely conducted in most but not all appropriate departments. The sustainability of assessment processes varies with respect to how regularly it occurs or how systematically goals are measured. Efforts have sometimes been thwarted by staff turnover.	The institution can document that sustainable assessment activity is regularly occurring in several departments at the College (notably, academic departments), but practices are not universal or sustainable for the long term.	There is no evidence of sustainable assessment activity occurring within any functional department at the College (academic, student services/support, athletics, and administrative offices).
<b>Communication</b>	<i>Results are easily accessible. They are communicated to all relevant parties and analyzed by key stakeholders.</i>	Assessment results are disseminated to appropriate audiences at appropriate times. Data appropriate to both internal and external audiences are easily accessible.	Departments within the College share assessment findings with one another or make them accessible to others at the institution. Public disclosure is limited.	Assessment results are owned by the specific department and shared with others only via the review process.	Assessment results, if they exist, reside within the individual department and are not shared with or communicated to others.

<b>Planning &amp; Resources</b>	<i>Assessment findings are routinely considered in planning and budgeting processes.</i>	The institution is able to demonstrate that planning and budgeting processes have routinely used assessment data in decision-making.	Assessment findings are used in planning and budgeting, but there is no clear mechanism in place to ensure this is routinely accomplished.	Assessment findings from only a few departments are used to inform planning and budgeting processes. Institutional planning and budgeting decisions are based something other than assessment findings.	Assessment findings remain within the department where they were collected. It is not clear how planning or budgeting decisions are made.
<b>Using Assessment Results</b>	<i>Assessment findings are used to inform continuous improvement.</i>	The institution is committed to using assessment to inform improvement; there is documented evidence that assessment results, especially those related to student learning, are routinely used for institutional improvement.	There is evidence that all departments regularly use assessment results to inform improvements within their own operations.	There is some evidence that assessment results are used occasionally to inform institutional improvement or departmental effectiveness.	Assessment continues to be done for compliance purposes; there is little evidence that results are used to inform institutional or departmental improvement.