

Conducting an **Institutional Effectiveness Audit:** What Does an IE Evaluator Look For?

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Presentation to SACS-COC Institute

July 29, 2008, 10:15 a.m.

Del Lago 3-4

PRINCIPLES OF ACCREDITATION: FOUNDATIONS FOR QUALITY ENHANCEMENT (April 2008)

2.5 The institution engages in ongoing, integrated, and institution-wide research-based planning and evaluation processes that (1) incorporate a systematic review of institutional mission, goals, and outcomes; (2) result in continuing improvement in institutional quality; and (3) demonstrate the institution is effectively accomplishing its mission. (**Institutional Effectiveness**)

3.3.1 The institution identifies expected outcomes, assesses the extent to which it achieves these outcomes, and provides evidence of improvement based on analysis of the results in each of the following areas (**Institutional Effectiveness**):

- 3.3.1.1 educational programs, to include student learning outcomes
- 3.3.1.2 administrative support services
- 3.3.1.3 educational support services
- 3.3.1.4 research with its educational mission, if appropriate
- 3.3.1.5 community/public service within its educational mission, if appropriate

Handouts may be copied and used for non-profit educational purposes, if they are distributed in their entirety,

INSTITUTIONAL EFFECTIVENESS AUDIT FORM

UNIVERSITY IE-ACADEMIC & ADMINISTRATIVE	GOALS/ OUTCOMES	ASSESS- MENTS	CITES RESULTS	USE OF RESULTS /EVIDENCE OF IMPROVEMENT	YEARS	YEARS	YEARS	NOTES & NAMES/TYPES OF ASSESSMENT
INSTITUTIONAL MISSION:								
ACADEMIC PROGRAMS								
• General Education								
GENERAL EDUCATION TOTALS								
Undergraduate Degrees								
•								
•								
•								
•								
UNDERGRADUATE PROGRAM TOTALS								
Graduate Degrees								
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GRADUATE PROGRAM TOTALS								
Nontraditional Degrees								
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•								
NONTRADITIONAL PROGRAM TOTALS								
ADMINISTRATIVE SUPPORT DEPARTMENTS								
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ADMINISTRATIVE SUPPORT TOTALS								
GRAND TOTAL								
Institutional Effectiveness Audit form--Copyright 2004 Marila Palmer. All rights reserved.								
NOTE: This spreadsheet includes enough room for only a few administrative & academic units. Expand it to include all organizational units.								

FICTIONAL ADMINISTRATIVE SUPPORT EXAMPLE #1 INSTITUTIONAL EFFECTIVENESS PLAN

PLANNING FOR ACADEMIC YEAR: 2006-2007

DEPARTMENT: Alumni Relations

DIVISION: Advancement

SUBMISSION DATE: August 15, 2006

MISSION: The Office of Alumni Relations cultivates relationships with alumni of the university and seeks funding for scholarships and the university foundation.

GOALS:

1. Coordinate and host successful (minimum attendance of 25) alumni events in ten states a year.
2. Proactively and responsively communicate on a regular basis with existing alumni through the Alumni Council.
3. Proactively, responsively, and personally communicate with a minimum of 80 new alumni by e-mail, telephone, or in person.
4. Organize, promote, and host successful annual homecoming weekend events.
5. Produce revenue of \$250,000 annually from alumni for scholarships
6. Produce annual contributions of \$150,000 to the Alumni Foundation.

ALUMNI COUNCIL:

The Alumni Council is comprised of ten members at large who serve rotating three-year terms and from which officers may be elected. Ten additional members are appointed on an annual basis from the states in which events are being hosted in that given year.

ASSESSMENTS:

- **Communication & Event Tracking Log** (quarterly)-**Goals 1 & 3**
- **Alumni Survey** (spring, annually)-**Goals 1, 2, and 4**
- **Focus Groups** (annually after homecoming weekend)-**Goal 4**
- **Raiser's Edge Reports** (quarterly)-**Goals 5 & 6**

LOCATION: All results of surveys, reports, logs, and minutes from focus groups will be maintained in the office of Alumni Relations. The Office of Alumni Relations is responsible for collection, tabulation, disaggregation, and dissemination of all assessment results.

DISSEMINATION/DISCUSSION:

- The Communication & Event Tracking Log and Raiser's Edge Reports are totaled quarterly and analysis provided to the Vice President for Advancement.
- Results of the Alumni Survey are shared with the VP for Advancement along with analysis from the Alumni Council.
- Minutes from the post-homecoming focus groups are distributed to the VP for Advancement along with analysis from the Alumni Council.

**FICTIONAL ADMINISTRATIVE SUPPORT #1A
INSTITUTIONAL EFFECTIVENESS RESULTS**

RESULTS FOR ACADEMIC YEAR: 2006-2007

DEPARTMENT: Alumni Relations

DIVISION: Advancement

SUBMISSION DATE: August 15, 2007

RESULTS:

The Communication and Event Tracking Log indicates that at least 25 people attended the alumni events held in the 10 designated states in the prior fiscal year. The first three quarters netted personal contacts with 60 new alumni; however, the fourth quarter indicated that only 2 contacts were made. The total of 62 for the year shows an improvement of 10 new contacts over the 2005-2006 fiscal year. (Goals 1 & 3)

All ratings on the **Alumni Survey** met or exceeded last year's results in the range of 90-96% for 2006-2007 as compared to 88-94% for the 2005-2006 administration, except in one area. Only 60% of the alumni agreed and strongly agreed that the university had communicated with them about the accomplishments of student academic teams in their competitions. Several comments indicated that there was no real communication about the SIFE's and NIFA's team outcomes from their competitions. (Goals 1, 2 & 4)

Minutes from the **Focus Groups** indicated overall satisfaction and success for the homecoming weekend; however, approximately half of the participants expressed concern about the advance communication—that it was unclear and/or they did not receive the e-mail (Goal 4)

Raiser's Edge Reports indicated that annual revenue for scholarships from traditional alumni reached \$198,000 and funding from nontraditional alumni reached \$15,000. Although this goal was not met, the increase was \$15,000 over the prior year, so the goal will be retained at the same level for the 2007-2008 fiscal year. Gift receipts for the Alumni Foundation totaled \$300,150 for the year. (Goals 5 & 6)

MODIFICATIONS:

For Goals 1, 3, 5 and 6—No modifications are recommended at this time.

For Goal 2—Alumni Council analyzed results & recommended improvements. Department has met with the deans of the academic areas and implemented a method for their submission of team results within one week of the competition.

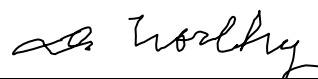
For Goal 4—Alumni Council analyzed results & recommended improvements. Due to the implementation of many anti-spam devices by the networks of alumni, the Alumni Office will return to paper communication in addition to e-mail. The web page will be revised by December 2007 to include an annual calendar of alumni events.

TIMELINE, REQUIREMENTS, AND APPROVALS:

The modification for Goal 2 was approved by the Vice President for Academic Affairs and will be implemented in Fall 2007. The modification for Goal 4 must be approved by the Web Management Design Team, and an annual calendar must be developed by November 1, in order for posting by December 2007.



SIGNATURES: Dept. Director



Vice President for Advancement

FINAL DATES:

Approval

Implementation

FICTIONAL ADMINISTRATIVE SUPPORT EXAMPLE #2
PLANNING & ASSESSMENT
_____ **University, Campus Security Department**

Department Mission Statement

Campus Security's mission statement is to provide a safe, crime-free campus for the students, faculty, and staff of the university in a manner that is respectful and in keeping with the mission of the university.

History

In 1980, the Director of Security and the only employee in the department was D. Glover. Over the years, the department has grown to keep up with the university and meet the security needs of the campus. In 27 years, the department has grown to include 6 full-time and 10 part-time officers. Dispatchers work 24 hours a day, 7 days a week, including holidays to provide optimal service to students, faculty, and staff in accordance with its mission

Organizational Structure

Campus Security consists of one Director, One Assistant Director and four full-time uniformed officers. Campus Security offers on-call escort service to residential students 24 hours a day. In addition to this, student dispatchers work the front desk of security around the clock and trained student officers assist the director and assistant director as needed. Campus Security reports to the Associate Dean of Residence Life, who reports to the Dean of Student Services, who reports to the Vice President of Student Affairs, who reports to the Executive Vice President, who reports to the President of the University.

Training

All security officers receive annual training by the local police department in CPR, first aid, traffic control, terrorism, and fire arms safety, although only the director and assistant director are licensed to carry hand guns. Student officers and other full time staff are trained in the used of pepper spray and stun guns.

Critical Response Team

The Director and Assistant Director of Security are members of the Critical Response Team which is authorized to organize and mobilize the university in case of environmental disaster or terrorist attack or any other threat to the university constituents' safety. All threats are perceived as real, until proven otherwise. Campus Security is also responsible for notification of all students, faculty, and staff via cell phones and e-mail systems regarding any potential danger to the university. The CRT works with the office of public relations to provide news reports regarding any emergency, whether it is weather-related or crime initiated, always seeking to communicate responsibly with both the victims and other constituents to minimize the security risk as appropriate.

Officers Names and Numbers

Main Number of Security Desk, 215-000-1111

John Smith, Director of Security, 512-111-2222
D. Glover, III, Assistant Director of Security, 512-222-3333
Mel Gilson, Officer, 215-333-4444
Judy Pacheco, Officer, 512-444-5555
Carroll Fortenberry, Officer, 512-555-6666
Darrell Washington, Officer, 512-666-7777
Arturo Montoya, Officer, 512-777-8888
Vacant Position
Sam Mann, Student Officer, 512-888-9999
Susan Texas, Student Officer, 512-999-0000
Kyle Arizona, Student Officer, 512-010-1010
Nathaniel York, Student Officer, 215-121-2121
Georgia Carolina, Student Officer, 215-232-3232
Dakota Wyoming, Student Officer, 215-343-4343
Montana Wyoming, Student Officer, 215-454-5454
Nevada Florida, Student Officer, 215-565-6565
Oklahoma Alabama, Student Officer, 215-676-7676
Vacant Position
John Bob, Dispatcher 512-993-0000
Ian Mark, Dispatcher 512-010-1012
Evan Donn, Dispatcher 215-121-2921
Nicholas Yates, Dispatcher 215-232-6232

Campus Security Goals

- To provide twenty-four hour protection for the university community
- To enforce parking and traffic regulations in order to improve the security and flow of traffic on the university campus
- To offer escort service on a per request basis
- To maintain a crime-free environment for the university community
- To complete the Campus Crime report on time and publish it to the community
- To write reports for all laws violated and traffic accidents which occur on campus
- To maintain a quality relationship with the local police department.
- To meet the growing security needs of a growing campus.

Office Location

100 Main Street, City, State, in the basement floor of the Carnegie Building next to the Health Department and across from the University Bookstore.

University Administration

Dr. Abraham Carver
University President

Dr. Nottingham Meroni
Executive Vice President

Dr. Marcus DeWitt Scroggins
Vice President of Student Affairs

Mr. Mark Montgomery
Associate Dean of Residence Life

Dr. Julia Johnson
Dean of Student Services

Mr. John Smith
Director of Security

Purpose and Responsibility

The Director of Campus Security is responsible for the overall safety and security of the community. The Director is also responsible for the department's compliance with the policies and procedures of the university and the city, state, and federal laws. The Director trains, assigns, hires, and fires security officers and dispatchers. The Director provides overall supervision and strategic forecasting for the needs of the community.

Position Qualifications

1. Bachelor's Degree or Associates in Criminal Justice with equivalent experience in law enforcement.
2. Five years experience in a supervisory role
3. Strong communication skills.
4. Previous experience as an officer of the law
5. No criminal convictions or traffic tickets in the prior 5 years

Work Schedule

Forty hours a week during normal business hours, although some evenings and weekends may be needed.

Operations

The university provides shuttle vans, uniforms, computers, printers, cameras, telephones, cell phones, a radio system, vehicles, bicycles, guns, pepper spray and various office supplies for daily operations.

Requests for additional supplies must be made through the Director of Security.

Professional Development

Because the Campus Security office wishes to remain current in the area of public safety and encourage professional growth among its staff members, officers may take courses in criminal justice offered by the university under a generous tuition waiver program, as long as classes do

not interfere with regular work schedule. Applications are made to the Director of Campus Security and approved on the basis of established criteria.

Assessments

- During the academic year, Campus Security provided a safe campus free from violent crime, environment for the staff, faculty and students on the campus.
- Officers responded to all requests for escort service as needed on a regular basis.
- There were a minimum number of traffic accidents and parking tickets were issued as appropriate.
- Daily Activity Reports revealed minimal increases in criminal activity on campus.

Improvements

Campus Security will continue training officers in emergency procedures and re-organize the office to make room for new employees. Campus Security has determined that it needs one additional, full-time officer and one part-time dispatcher for the coming academic year. Campus Security has designed new parking stickers and re-allocated parking locations and shuttles on campus to meet growing university needs. Continue working to fill the vacancies in the department and talk the administration into improving salaries in order to attract quality officers. Whenever we have additional funds, Campus Security will continue expanding its services to include defense training for students on campus. Campus Security would also like to start a crisis response center which could be equipped as a command center in case of terrorism.

Campus Results

“Thank you for the escort service you provide during the wee hours of the morning. It means so much to me!”

“Campus Security rocks—even though I got a ticket one time, I talked somebody out of making me pay it.”

“You guys do a wonderful job, and I appreciate your great attitudes. Your trucks are cool, too.”

“You are highly visible on campus, and I know that keeps our crime rate low.”

“One time, when I had a wreck, I thought you were angry at me, but you were really just trying to help, but I was stressed out and didn’t understand. Then, when I finally understood that you were trying to help me, I appreciated all that you were doing to make me stop blubbering like a baby and fill out the accident report form. I’m just writing to say I’m sorry for causing you any grief and that you police officers do a wonderful job of meeting our community’s needs. Thanks.”

“I had a friend who called you, and you responded so quickly it was amazing. I think Campus Security is the best department on campus.”

FICTIONAL ACADEMIC EXAMPLE #3--INSTITUTIONAL EFFECTIVENESS PLAN

PLANNING FOR ACADEMIC YEAR: 2006-2007

DEPARTMENT: Criminal Justice

SCHOOL: Arts & Sciences

SUBMISSION DATE: August 15, 2006

CRIMINAL JUSTICE: The Criminal Justice program at _____ University will provide a foundation that combines a Christian values base with the theories, principles, and practices necessary for a successful career in Criminal Justice.

OUTCOMES: Graduates will be able to:

7. Provide educational, remedial, and rehabilitative services to families and communities
8. Organize communities and neighborhoods for social action;
9. Promote family and community interests in public, private, and governmental settings;
10. Maintain community resources of information, instruction, and assistance to all members of a community,
11. Apply creative problem-solving on behalf of community members, especially those at risk of violence in high crime areas.

ASSESSMENTS:

- **Employer Internship Survey** (Conducted in spring of senior internship)-Goals 1, 2, 3 & 4.
- **Student Internship Survey** (Conducted in spring of senior internship)-Goals 1, 2, 3 & 4
- **Major Field Test** (annually, senior capstone course)-Goal 5
- **Senior Project/Portfolio** (annually, senior capstone course)-Goals 1-5

LOCATION: All results of surveys, tests, and portfolios will be maintained in the office of the department chair of Criminal Justice.

DISSEMINATION/DISCUSSION:

- The Senior Project/Portfolio is evaluated according to a rubric by a team of evaluators including at least one department professor of criminal justice, one local police officer, and the director of security on campus.
- Results of the surveys, major field tests, and portfolios are compiled, distributed, and discussed with the faculty and dean at department meetings.
- Results are also distributed to the Assistant VPAA.
- The Criminal Justice Advisory Council considers results at their fall annual meeting.

FICTIONAL ACADEMIC EXAMPLE #3A--INSTITUTIONAL EFFECTIVENESS RESULTS

PLANNING FOR ACADEMIC YEAR: 2006-2007

DEPARTMENT: Criminal Justice

SCHOOL: Arts & Sciences

DATE: 2006-2007

RESULTS:

All ratings on the **Employer Internship Survey** met or exceeded last year's results in the range of 90-96% for 2006-2007 as compared to 88-94% for the 2005-2006 administration, except in one area. Business supervisors for the interns rated them lower than prior years (80%) in the area of communication regarding community resources. (Goals 1-4)

Ratings on the **Student Internship Survey** were similar and met or exceeded the prior year, in the range of 95-100% as compared to 94-99% for the prior year. However, students' comments confirmed that some of them did not understand how to communicate the resources which are available in the communities of their internships. (Goals 1-4)

Scores on the **Major Field Test** were lower than the prior year (88% for '06-'07; 92% for '05-'06); however, they are within the department's established standard of success, set at 80%. (Goal 5)

Summary scores for the rubric scoring of the random sampling of **Portfolios** indicated that 80% of the students achieved at the acceptable or better levels for all of the performance criteria except in the area of "innovative education" for high-crime prone communities. This area continued to have a low score (50% acceptable or better) for the second year in a row. (Goal 5)

MODIFICATIONS:

For Outcomes 1-3—No modifications are recommended at this time.


For Outcome #4 & 5—The department has met and revised the curriculum to include a field trip as a part of a capstone course (prior to their internship experiences) to a high crime area to collect information from a designated, high-need constituency in the community (seniors, disabled citizens, etc). Students will work as groups to design and communicate an "innovative education" plan regarding the safety resources available to the appointed constituency.

TIMELINE, REQUIREMENTS, AND APPROVALS:

The proposed capstone course curriculum and design (see attached outline) will go before the academic policies committee for approval in fall 2007. If approved by the committee, the faculty senate, the assistant VPAA, and the VPAA, and if funding is provided for the field trip and training experience (see attached budget estimates) the additional course will be added for seniors in the fall 2008.



SIGNATURES: Dept. Chair



Dean

Assistant VPAA

FINAL DATES: _____
Approval

Implementation

FICTIONAL ACADEMIC EXAMPLE #4--INSTITUTIONAL EFFECTIVENESS RESULTS

School of Engineering and Engineering Technology

Department: Engineering Technology

Degree Program: Bachelor of Science in Engineering Technology-Aeronautical/Mechanical Concentration

	Outcomes	Assessment Procedure	2003-2004 Results	2004-2005 Results	2005-2006 Results	Use of Results
Goal 1	Produce graduates who know the principles of engineering mechanics and aviation design and maintenance.	Assessment of different aspects of the concentration is managed by the School of Engineering and Engineering Technology's Industrial Advisory Council (IAC), the department chair and the dean. Exit interviews and surveys of graduating seniors.	Completion of all Engineering Tech courses with a grade of C or better. Completion of all Aeronautical Science courses with a grade of C or better. Participation in undergraduate research. Senior Design presentations Internships	Completion of all Engineering Tech courses with a grade of C or better. Completion of all Aeronautical Science courses with a grade of C or better. Participation in undergraduate research. Senior Design presentations Internships	Completion of all Engineering Tech courses with a grade of C or better. Completion of all Aeronautical Science courses with a grade of C or better. Participation in undergraduate research. Senior Design presentations Internships	The degree plan has been changed with new courses added and course descriptions revised.
Goal 2	Produce graduates with good communication skills (written and oral) that help them be successful in their careers.	Assessment of different aspects of the concentration is managed by the School of Engineering and Engineering Technology's Industrial Advisory Council (IAC), the department chair and the dean. Exit interviews and surveys of graduating seniors.	Completion of all Engineering Tech courses with a grade of C or better. Completion of all Aeronautical Science courses with a grade of C or better. Participation in undergraduate research. Senior Design presentations Internships	Completion of all Engineering Tech courses with a grade of C or better. Completion of all Aeronautical Science courses with a grade of C or better. Participation in undergraduate research. Senior Design presentations Internships	Completion of all Engineering Tech courses with a grade of C or better. Completion of all Aeronautical Science courses with a grade of C or better. Participation in undergraduate research. Senior Design presentations Internships	The degree plan has been changed with new courses added and course descriptions revised.
Goal 3	Produce graduates who meet ABET designated outcomes and objectives.	All aspects of the program are monitored for compliance with ABET.	ABET Outcomes and objectives have been met.	ABET Outcomes and objectives have been met.	ABET Outcomes and objectives have been met.	No changes needed at this time.

INSTITUTIONAL EFFECTIVENESS AUDIT FORM (Extra)

UNIVERSITY IE-ACADEMIC & ADMINISTRATIVE	GOALS/ OUTCOMES	ASSESS- MENTS	CITES RESULTS	USE OF RESULTS /EVIDENCE OF IMPROVEMENT	YEARS	YEARS	YEARS	NOTES & NAMES/TYPES OF ASSESSMENT
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GRAND TOTAL								

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