Florida State University Policy Vice President for Planning and Programs - 10.1

Title of Policy: Institutional Effectiveness Policy

Responsible Executive: Vice President for Planning and Programs

Approving Official: Provost and Executive Vice President

Effective Date: June 27, 2013

Revision History: New X

I. INTRODUCTION

Assessment of institutional effectiveness is key to the continuing improvement of the university. This policy governs the university's conduct of institutional effectiveness. The policy establishes the way in which the university assesses performance against its mission. It includes performance to realize the goals and priorities in the university strategic plan as well as the development, implementation, review, and assessment of student learning and program outcomes for the university's educational programs, academic support, administrative support and student support services, infrastructure, and, as appropriate, research and community/public services. It covers all programs delivering instruction at designated off-campus sites and through any mode of delivery. Institutional Effectiveness in academic endeavors is supported by other activities across campuses which are also subject to this policy. Vice Presidents responsible for these activities must also develop, implement, review and assess outcomes and budgets associated with the programs in which such services are delivered. This policy ensures compliance with the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) Core Requirement 2.5 and Comprehensive Standard 3.3.1. It also ensures compliance with the Florida Board of Governors Regulation #8.016, Student Learning Outcomes Assessment and Regulation 2.002, University Work Plans and Reports.

II. POLICY

A. Definitions

1. Annual Work Plan and Accountability Report

The university annual work plan and accountability reports are required by the Florida Board of Governors (BOG Regulation 2.002). The work plan outlines the university's top priorities, strategic directions, and specific actions and the financial plans for achieving those priorities along with the performance expectations and outcomes for the university. The annual accountability report describes the progress made by the university against its articulated goals. The report includes the university mission and vision along with summary information on enrollment, and any other specific performance information requested by the Board of Governors.

2. Assessment Method and Standard

These are essential elements in the evaluation of student learning and program outcomes. The assessment method requires the provision of specific standards and measures to establish and
gauge performance. These standards are the point of comparison against which the actual evidence of student learning will be judged once it is collected.

3. **Budget and Planning Process**
The process initiated annually by the university president and coordinated in consultation with the university budget office that solicits information on university activities taken over the course of an academic year relative to unit goals linked to university priorities. Information is also gathered on goals for the upcoming year and the associated resources need to accomplish them. The process reports on the progress of units to their individual goals and articulates plans for improvement.

4. **College Credit Certificate**
A college credit certificate program is "an organized curriculum of college credit courses offered as a distinct area of study that leads to specific educational or occupational goals, and for which the university awards a certificate, diploma, or similar form of recognition upon completion" [BOG Regulation 8.011 (7)(b)]. SACSCOC Comprehensive Standard 3.4.4 refers to "certificates or other professional education outside a collegiate degree program." Thus, certificates should be viewed as professional in nature.

5. **Educational program**
An educational program is a coherent set of courses leading to a credential (degree, diploma, or certificate) awarded by the institution.

6. **Improvements/Action Plan**
This is an essential element in the evaluation of student learning and program outcomes. The results and analysis statement is incorporated in the university's annual assessment of outcomes and should spur some action to continue improvement or continue achievement of good results. The improvements/action plan section must contain examples of specific activities in furtherance of continuous improvement or continuing achievement of good results. If the prospective improvements or action plan requires additional resources, its potential budget impact should be noted. Potential budget implications should, after consideration and review, be included in the university annual budgeting and planning report.

7. **Institutional Effectiveness**
Institutional effectiveness is the systemic, explicit and documented process of measuring performance against the university’s mission in all aspects of an institution. Measures of institutional effectiveness shall be reported and maintained in a university electronic portal (known as the “IE Portal”).

8. **Legislative Budget Request (LBR)**
The Legislative Budget Request is the annual request for appropriation of funds and positions made by each agency head of state government to perform legislatively authorized or required services and activities in accord with Chapter 216, Florida Statutes. The LBR consists of a series of reports that have been compiled by each agency. The LBR is completed according to
budget instructions issued annually by both the Legislature and the Office of the Governor.

9. Mission statement
The mission statement is a comprehensive statement outlining the reason for the university’s existence, addressing all aspects of institutional function and consistent with other related terminology, such as purpose.

10. Off-Campus Instructional Site
An off-campus instructional site is a teaching site located geographically apart from the main campus. A site at which an institution provides electronic delivery and where students go to access the support services need is also considered an off-campus instructional site. The site is not independent of the institution’s main campus.

11. Program Outcome
A program outcome statement describes the consequence of the program that reflects the program or institutional goal. Program outcomes can reflect academic instruction, educational support, administrative support, research and community/public service goals. Program outcomes are to be developed using the same criteria as student learning outcomes (specific outcome statements, assessment methods and standards, results and analyses and improvements/action plans).

12. Results and Analysis
These are essential elements in the evaluation of student learning and program outcomes. A results statement is incorporated in the university’s annual assessment of outcomes and requires that the methods outlined in the assessment and evaluation statement be implemented. The results should be summarized for reporting purposes. The results can be stored in the IE Portal file bank and must be compliant with FERPA Regulations.

13. Sampling
There is a clear expectation that an institution is required to be able to demonstrate institutional effectiveness for all its educational programs. This includes certificate and degree programs. To this end, an institution may provide a sampling of the effectiveness of its programs at the time of its comprehensive review. Sampling, for the purposes of this policy, includes the following three elements: (1) a representation of the Institution’s mission, (2) a valid cross-section of programs from every college or division, and (3) a compelling case as to why the sampling and assessment findings are an appropriate representation of the institution’s educational programs. Sampling does not preclude the institution from having effectiveness data/analysis available on all programs.

14. Student Learning Outcome
A student learning outcome statement shall consist of the identification of knowledge, skills or abilities students will have learned by the end of the course of study that they could not demonstrate at the beginning of the course of study. Student learning outcomes must be framed as specific, measurable results whose attainment can be assessed after the student has undertaken a set of educational experiences. Analysis of results is essential. It must consider performance against the standards set within the assessment method. Analysis must be used to
identify ways in which performance could be improved or additional examinations conducted and should lead the reader logically into the accompanying improvements/action plan.

15. Strategic Plan Consistency
Elements in the strategic planning process shall be consistent with one another and not in conflict with each other. For example, a university strategic plan element is consistent with the state strategic plan if it is compatible with and furthers such plan. The term “compatible with” means “not in conflict with” and the term “furthers” means to take action in the direction of realizing goals or policies of the state or university plan. (See BOG Regulation 21.111)

16. Strategic Plan Imperatives
Imperatives are the activities the university must carry out to fulfill the mission and vision established in the university strategic plan. The imperatives are aligned with the strategic priorities established in the plan and are critical initiatives associated with the plan’s top priorities. Each priority is associated with a series of goals that can be realized by addressing critical success factors. Imperatives are key critical success factors in the plan and as a consequence are urgent initiatives of the university.

17. Strategic Plan Priorities
Strategic plan priorities are the key foci of the university. They align with its goals and objectives and serve to direct the major initiatives of all elements of the university. Progress in realizing the plan priorities is monitored using key performance measures targeted for improvement annually. Unit goals and priorities should be consistent with the university plan. A goal or priority is consistent with the university strategic plan if the goal or priority is compatible with and furthers such plan. The terms “compatible with” and “furthers” are to be understood as defined in Florida BOG Regulation 21.111(2).

III. GENERAL PROVISIONS

The university strategic plan is the basic planning document of the university. It must be consistent with the mission of the university as approved by the University Board of Trustees. The university strategic plan should incorporate priorities and imperatives that are not inconsistent with the BOG strategic plan nor the university mission and vision.

University effectiveness is assessed for performance against the university mission and the goals and activities of the university aligned with its mission. The institutional effectiveness process of Florida State University consists of several elements each playing a role in the overall assessment of performance. These include: The university strategic plan, the annual presidential budgeting and planning process, the annual Board of Governor’s work plan and accountability reporting effort, core planning processes such as enrollment management, major functional planning processes such as library planning and academic program quality enhancement review, and the university wide assessment of student learning and program outcome. The strategic evaluation plan establishes measures of key priorities that are monitored annually. Performance on strategic plan priorities shall be reported and assessed annually. In conformance with Board of Governors instructions, university strategic performance is also identified and reported in the Annual Work Plan and Accountability Report.
The strategic effort of the university is complemented by more detailed performance assessment of units throughout the university. Units must identify and assess student learning and program outcomes. Institutional Effectiveness (IE) portal, an electronic repository. The minimum requirements for compliance with this policy are that within the annual university wide assessment of outcomes:

- There must be at least seven student learning outcomes and one program outcome reported within the Institutional Effectiveness (IE) Portal for each baccalaureate degree program.

- There must be at least two student learning outcomes and one program outcome reported for each masters, advanced masters, specialist, doctoral and professional degree program.

- There must be at least three student learning outcomes and one program outcome reported for each college credit certificate program. Information on college credit certificates reported with the IE Portal shall be consistent with the University Certificate Policy and insure the privacy of students and faculty associated with programs having small numbers of students.

- There must be at least two program outcomes reported in the IE Portal for each substantial university academic, administrative support and student support service or infrastructural program.

- Research and Community Service activities will be reported at the institutional level within the IE Portal and will contain a sufficient number of student learning and/or program outcomes to describe major activities.

All assessment of outcomes will be include analyses of results and demonstration of continuous improvement through specific strategies. Multiple assessments will be used in each area when possible. Letter grades alone are insufficient for the assessment of educational programs. There may be cases where results indicate such high quality that continuous improvement for a specific outcome is not practical. This determination will be made by the appropriate academic department, program director, academic dean or vice president. In these cases, specific actions that demonstrate the ability to sustain such results must be provided. Any budget implications should be identified.

Results must be reported for distance and on-line learning experiences and for approved off-campus sites. These results must be reported separately within the IE Portal from information within the IE Portal reported for face-to-face instruction on the main campus. A comparative assessment of the student performance at different sites or using different instructional delivery methods must be included within the “Improvements Made or Action Plan Based on Analysis of Results” section of the IE Portal, as appropriate. The comparison should note any significant differences in the results of between delivery types or locations, provide explanations and, if necessary, address them in the action plan for continuous improvement.

Institutional Effectiveness outcomes shall be an integral part of the university-wide academic program quality enhancement review process and shall be included in the State University System academic program review process. Outcomes shall be compatible with the university mission and strategic plan.
The information recorded in the IE Portal regarding each student learning outcome and each program outcome will consist of four components: outcome definition, assessment method, results and analysis and improvements made/action plan. Appropriate documentation will be placed in the IE Portal as evidence of performance. Documented change in results will constitute evidence of improvement.

The information in the IE Portal shall be considered in developing unit responses to planning and budgeting information requested as part of the President’s annual planning and budgeting process. The President’s annual process is intended to integrate information from units across the university. Information on key program outcomes as well as information from other processes involving the university strategic plan, university wide planning, core division planning and major division functional planning should also be drawn upon and included in the response to the President’s annual planning and budgeting process. The information from these processes along with that maintained by the Office of Institutional Research should be considered in development of the Florida Board of Governor’s annual Work Plan and its annual Accountability Report.

III. ACCOUNTABILITY/RESPONSIBILITY

Primary responsibility for implementation of this policy resides with the Office of the Vice President for Planning and Programs, the Associate Vice President for Budget Planning and Financial Services, and university division Vice Presidents. Specific instructions and support of the IE Portal shall come from the Office of the Vice President for Planning and Programs.

Academic Deans and Vice Presidents are responsible for timely submissions into the Institutional Effectiveness (IE) Portal. Oversight for this aspect of the institutional effectiveness policy is the responsibility of the Vice President for Planning and Programs, Office of Institutional Effectiveness.

The faculty of each educational degree or college credit certificate program will develop the respective Student Learning Outcomes (SLOs) and Program Outcomes (POs) for each program in accordance with this policy. The faculty will develop outcomes through the processes adopted by each program, often curriculum committees. Academic Deans will ensure compliance with standards for submission and review set forth in this policy.

The Chair of the Undergraduate Policy Committee of the Faculty Senate in consultation with the Dean of Undergraduate Studies will be responsible for submitting core student learning outcomes associated with the liberal studies curriculum.

Program directors or department heads will develop program outcomes for educational, academic, student and administrative support or infrastructural programs under their authority. For academic, educational and student support activities, the Provost and the Vice President for Student Affairs will be responsible for identification of appropriate program outcomes, ensuring required information is entered into the IE Portal and approving the entries for relevance and compliance with this policy.

For administrative support, the Vice Presidents for Finance and Administration, Research, University Advancement, University Relations, and the Office of the President will be responsible for developing outcomes, ensuring required information is entered into the IE Portal and approving the outcomes for relevance and compliance with this policy.
The Vice President for Research will develop outcomes to encompass the major institutional efforts related to continuous improvement in the area of research. This is in addition to outcomes for programmatic activities.

The Vice President for Student Affairs, in conjunction with academic deans as appropriate, will develop outcomes to encompass the major activities related to public/community service at the institution by both students and faculty. This is in addition to outcomes for programs under the purview of the Office of Student Affairs.

The Associate Vice President for Budget Planning and Financial Services shall consult on the development of instructions governing the President’s annual planning and budgeting process. The process will compile unit performance on unit priorities and solicit budgetary requests. The Associate Vice President will consult with division Vice Presidents to solicit, compile and summarize the results of the annual process. LBR issues along with performance information will be included in the annual Work Plan required by the Florida Board of Governors. Oversight for this aspect of the institutional effectiveness policy is the responsibility of the Office of Associate Vice President for Budget Planning and Financial Services working in coordination with the Office of the Provost. The Office of the Provost will work with the Office of Institutional Research and units as appropriate to compile and submit the information needed to complete the annual Accountability report required by the Florida Board of Governors.

IV. PROCEDURES FOR IMPLEMENTATION

The Vice President for Planning and Programs shall maintain and operate an institutional effectiveness (IE) portal. Student learning and program outcomes and their related assessments, results, analysis and improvements/action plans along information on strategic plan priorities will be recorded in and conform to the template in the university Institutional Effectiveness (IE) Portal.

Student learning and program outcomes and assessment statements along with results and Action plan/improvement statements for the previous academic year shall entered into the IE Portal annually, in the fall semester.

Student learning and program outcome statements and assessment methods will be reviewed annually for currency and appropriateness for the current academic year and changed if needed in the IE Portal in the fall semester. Academic department chairs, program directors or department heads are responsible for review through their level no later than the deadline. The Office of the Vice President for Planning and Programs will establish timeframes and deadlines for entering and reviewing information within the IE Portal. The final review and approval of entries in the Institutional Effectiveness Portal is the responsibility of the Vice President for Planning and Programs or his designee.

Reviews using the IE Portal will ensure that outcomes are appropriate, methods for measurement are clear and reasonable, results are reported, analysis of results is completed and specific actions related to improvement or sustenance of goals are present. If the analysis of results indicates a change is needed to the student learning or program outcome or its assessment method, this change should be made in the subsequent year.

If these reviews at any level indicate further action is required to meet minimum standards as outlined in this policy and university guidelines, the submissions will be returned to the previous level for revision as needed.
Once the submission is acceptable, the next level of review will occur. Progress in the approval process will be recorded in the Institutional Effectiveness Portal.

The Associate Vice President for Budget Planning and Financial Services at the direction of and in consultation with the university president will develop instructions and schedule for the budgeting and planning report in the Spring of each year. The report will solicit information on each unit’s existing strategic goals, unit activities in relationship to its existing goals and those of the university, each unit’s plans for the upcoming year and a request for the resources needed to realize those plans. Units will draw broadly on performance results registered in various processes to inform the assessment they submit as part of the President’s Budgeting and Planning process and the annual Board of Governors Work Plan and Accountability Report. The Associate Vice President will consult with the division Vice Presidents to insure a timely response for development of the university state budget request. The Provost and President will review the annual submissions and the President will work with the Associate Vice President for Budget Planning and Financial Services to summarize unit requests. The President will work with the Florida Board of Governors to identify the information needed for the annual Work Plan. The University Legislative Budget Request is submitted as a component of the annual Work Plan. The President will work with the Provost to develop the annual Work Plan and Accountability Report for consideration and approval by the University Board of Trustees and the Florida Board of Governors. The Office of the Provost will work with the Vice President for Planning and Programs and Office of Institutional Research and units as appropriate to compile and submit the information needed to complete the annual Accountability report required by the Florida Board of Governors.

This policy will be reviewed annually by the Vice President for Planning and Programs to determine if it comports with best practice and continues to advance the interests of the university.

Garnett S. Stokes, Provost and Executive Vice President  

Date

6/27/2013