

**Clark Atlanta University**  
**Institutional Effectiveness Manual**  
*(Revised 2025)*



# INSTITUTIONAL EFFECTIVENESS MANUAL

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## ***INTRODUCTION***

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### ***Manual Overview***

This manual provides a framework for understanding the Institutional Effectiveness Process (IEP) at Clark Atlanta University (CAU). Guidelines and resources to assist in institutional strategic and annual/operational planning, and the implementing of meaningful assessment activities are included within.

The contents of this manual are organized under the following sections:

#### **SECTION 1 - The Office of Planning, Accreditation, and Institutional Research**

This section provides an overview of the Office of Planning, Accreditation and Institutional Research and describes its major functions and functional areas.

#### **SECTION 2 - The University**

This section delineates the institutional mission and vision statements, as well as the 2023-2028 Strategic Priorities and Goals, and describes their relationship to institutional effectiveness.

#### **SECTION 3 - The Institutional Effectiveness Process (IEP)**

This section describes the institutional effectiveness processes and practices of the university.

#### **SECTION 4 - The Planning Process**

This section describes the planning component of the university's institutional effectiveness process with its attendant elements and structures. It also delineates the institutional strategic planning, annual/operational planning, and budget-based planning cycles.

#### **SECTION 5 –Assessment and Evaluation Process**

This section describes the assessment and evaluation process, including effectively identifying the assessment methods, related activities, and criteria for success.

#### **SECTION 6 – Institutional Research**

This section describes the purpose and structure of Office of Institutional Research, as well as the data collection requirement, processes, and the role of Institutional Research.

#### **SECTION 7 – Appendices**

This section provides a number of supporting documents designed by the Office of Planning, Assessment and Institutional Research to assist in the successful development, implementation and assessment of institutional plans that facilitate continuous improvement in our programs and services.

#### **SECTION 8 –Glossary of Term**

This section provides a glossary of terms germane to the institution and its IE process.

# **SECTION 1**

## ***The Office of Planning, Accreditation, and Institutional Research***

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This section provides an overview of the Office of Planning, Accreditation and Institutional Research and describes its major functions and functional areas.

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## ***SECTION 1***

### ***The Office of Planning, Accreditation and Institutional Research (OPAR)***

#### ***Mission***

The mission of the Office of Planning, Accreditation and Institutional Research is to coordinate institution-wide planning, assessment and institutional research activities in support of the University's three-fold mission of teaching, research and service.

These activities include strategic and operational planning, assessment, institutional research and institutional reporting and surveys. The Office's efforts are directed toward identifying, analyzing, and monitoring internal and external trends and developments that influence the University's mission and strategic vision.

The Office coordinates the implementation of the University's institutional effectiveness system, supports accreditation activities, and provides Web support services. Through its research and analytical activities, the Office develops recommendations on strategic responses, policy issues and plans of action, and provides information and data that inform administrative and management decisions.

#### ***Purpose***

The Office of Planning, Accreditation and Institutional Research (OPAR) is the central coordinating office for activities relating to institutional effectiveness and accountability to incorporate institutional planning and evaluation, institutional research, and compliance reporting with federal and accrediting agencies.

The main purpose of OPAR is to provide reliable, systematic, and timely information to academic and administrative units in support of the University's policy formation, planning, and decision-making. The office assists in developing, organizing, maintaining, analyzing and reporting institutional data. It is engaged in ongoing data collection, analysis and distribution resulting in official University statistics to satisfy both internal and external reporting needs; design and implementation of internal studies related to students, personnel, facilities, equipment, programs, services and fiscal resources; development of databases suitable for longitudinal studies and statistical analysis via the office of Information Technology and Communications.

OPAR also provides assistance in establishing outcome measures for accountability and other related activities in support of planning, evaluation, resource allocation and decision-making. The information generated by the office can be applied in understanding, interpreting, managing and evaluating the institution, and in making informed decisions about current operations or future plans.

#### ***Major Functions***

The following are the major functions of OPAR:

1. Coordinate and assist with the development and implementation of the university's

comprehensive planning structure of master plan, strategic plan, and annual integrated operational and budget plans.

2. Develop and maintain an electronic retrieval database of information pertaining to students, faculty, staff, academic programs, fiscal resources, library learning resources, physical plant and other areas as deemed necessary to assist administration in grants development initiatives, managing daily operations and making informed decisions.
3. Coordinate and assist in conducting surveys and research projects pertaining to institutional administration, policy issues, and program development.
4. Collect, analyze, and disseminate key institutional data reports to internal and external constituencies.
5. Complete and respond timely to all mandatory and voluntary reports and surveys, with accurate data, required from OPAR by federal, state, and regional agencies and accrediting bodies.
6. Serve as a clearinghouse for all university related surveys, questionnaires, and inquiries in order to maintain the accuracy and consistency of the data contained. Maintain a historic repository of vital information on the University.
7. Conduct assessment and evaluation of the activities associated with the outcomes of institutional goals and objectives, reviews of academic, administrative and educational support programs and services.
8. Support institutional and professional program accreditations and certifications.

### ***Institutional Planning***

The Office of Planning coordinates the development and implementation of the University's strategic and operational plans; monitors internal and external environments to identify trends and developments that impact the University; recommends strategic responses to influencing environmental factors; makes recommendations on policy issues; and coordinates and assists with institutional effectiveness and accreditation.

### ***Institutional Assessment***

The Office of Institutional Effectiveness coordinates assessments and evaluates activities associated with the outcomes of the University's institutional and strategic goals and objectives. The Office assists and supports programs and administrative reviews, and institutional effectiveness and accreditation.

### ***Institutional Research***

The Office of Institutional Research is responsible for the collection and analysis of data and presentation of information for use in planning, decision-making and policy formulation at the university. The office ensures the accuracy of vital university data and reports them to internal and external constituencies. The department supports institutional effectiveness and accreditation activities and is a repository of vital information on the university.

# SECTION 2

## *The University*

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This section delineates the institutional mission and vision statements, as well as the 2023-2028 Strategic Priorities and Goals, and describes their relationship to institutional effectiveness.

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## **SECTION 2**

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### ***The University***

Clark Atlanta University (CAU), established in 1988 as a result of the consolidation of two independent historically black institutions — Atlanta University (1865) and Clark College (1869), is a United Methodist Church-related, private, coeducational, residential, and comprehensive urban research university. The University offers undergraduate, graduate and professional, and non-degree certificate programs

Clark Atlanta University's mission, vision and institutional core values are the foundation upon which institutional effectiveness rests. The institutional mission statement describes the University's role, philosophical tenets, programs, activities and students. The vision statement guides the direction of the institution, while the core values describe the strongly held principles which guide the manner in which we treat one another and those we serve. Our core values serve as the foundation of each step we take toward achieving our vision.

The institutional mission and vision statements and core values undergo periodic review and adoption through the established governance process. The current mission and vision statements and core values were adopted by the Board of Trustees on October 13, 2023.

### ***Mission Statement***

Building on its social justice history and heritage, through innovative teaching, research, scholarship, and service, Clark Atlanta University (CAU), a historically Black university transforms student lives and equips them for leadership in the global society.

### ***Vision Statement***

Clark Atlanta University will have a cultural and transformative impact on future generations through thought-provoking research, innovative academic programs, and equitable services and support.

### ***Implementation of Vision***

This outcome will be achieved by committing the University's collective intellectual capital, talent, and resources through distinctive and innovative programs; cutting-edge research; meaningful service experiences; and a universally supportive environment.

## ***Core Values***

Our core values guide the University community and are foundational in achieving its strategic vision.

**People** – Create a culture of community and belonging that demonstrates/reflects a positive and equitable campus environment for all.

**Respect** – Honor the dignity and worth of all individuals as we foster a culture of service.  
**Innovation** – Ignite new possibilities in research and advance knowledge that serves humanity.

**Diversity** – Embrace and celebrate the diverse experiences of our students, faculty, and staff as we work to build a supportive and inclusive campus community.

**Excellence** – Commit to high-quality standards and quest for truth, in all we do.

## ***2023-2028 Strategic Pillars***

**The Student Transformation Pillar** focuses on our students benefitting from a world-class experience that enriches every facet of their lives, encompassing both their academic and extracurricular pursuits.

- Attract and recruit talented students who will become future leaders committed to service and community.
- Strengthen graduate student enrollment.
- Foster student engagement through quality programming and personalized supports that nurture their holistic development, sense of well-being, and success both in, and outside of the classroom.

**The Academic Transformation Pillar** emphasizes on enhancing the support for our faculty, promote the intellectual development of our students, and reinforce our dedication to innovation, research, and scholarship within the academic enterprise.

- Promote the success of our faculty by creating an environment of excellence that supports and strengthens the University's academic enterprise.
- Strategically invest in our current and future faculty to attract and retain world-class faculty committed to teaching and research excellence.
- Amplify Clark Atlanta University's academic reputation and distinction through focused and dynamic academic planning.
- Leverage technology and online learning to create relevant and dynamic educational experiences which result in future ready credentials and increased revenue for the University.
- Provide students with access to the high-impact practices that shape a transformational undergraduate education.

**The Institutional Transformation Pillar** is centered around paving a way to create a robust path for institution to attain its strategic goals and objectives in a manner that is both efficient and effective, while also ensuring accountability.

- Strengthen the University's culture of accountability and assessment through an on-going, comprehensive, and systematic review process of institutional goals and outcomes.

- Align annual planning, budgeting, and employee performance reviews with strategic goals and priorities in academic and non-academic units.
- Align the IT governance process with the University's shared governance structure to improve policy, planning efficiency, and cost effectiveness.
- Cultivate a culture of customer care where all connections are nurtured, issues are resolved with empathy and fidelity, and provide top-notch experiences and support.

**The Financial Transformation Pillar** is focused on the diversification of revenue streams and revamp the processes for making collective and strategic decisions within the institution.

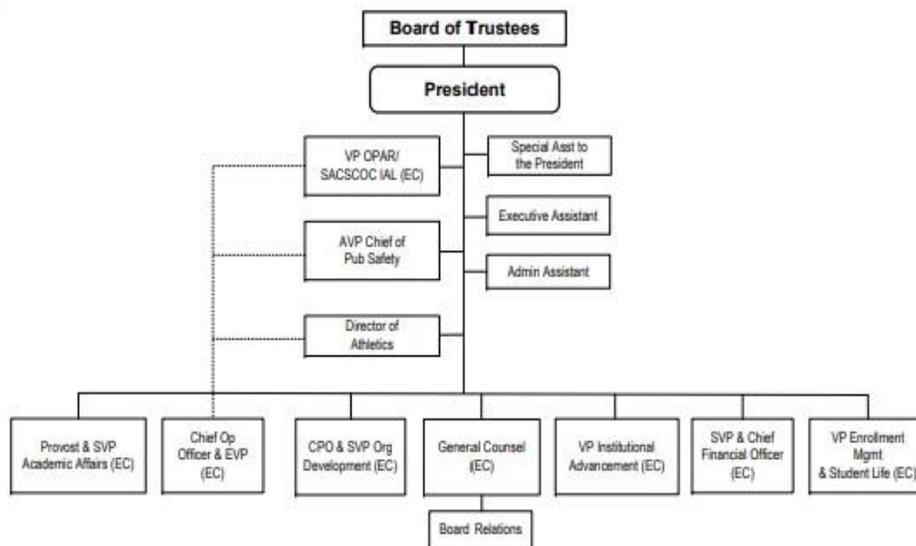
- Diversify and generate revenue needed to sustain the growth and enhancements of our comprehensive University.

### *Organizational Structure of CAU*



#### 2024-2025 ORGANIZATIONAL STRUCTURE OF CLARK ATLANTA UNIVERSITY

##### OFFICE OF THE PRESIDENT AND EXECUTIVE CABINET MEMBERS



**FOOTNOTE:**  
EC = Executive Cabinet

# **SECTION 3**

## ***The Institutional Effectiveness Process (IEP)***

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This section describes the institutional effectiveness processes and practices of the university.

## SECTION 3

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### ***Institutional Effectiveness at CAU***

The philosophy of institutional effectiveness is based on the premise that the institution engages in a comprehensive, systematic, and continuous process of self-examination designed to support evidence-based decision-making and continuous improvement in academic programs, administrative services, and institutional operations.

In order to create the most effective learning environment and experiences for students, a sound institutional effectiveness program occurs throughout the academic and administrative areas of the institution, and is part of the institution's ongoing function.

#### **CAU's Institutional Effectiveness Process consists of the following components:**

- strategic and operational planning and resource projections,
- operational planning and budgeting,
- assessment and monitoring, including periodic reviews, and
- results and data-driven actions to improve programs and services.

This systematic, broad-based, interrelated process is designed to enhance and improve the quality of our academic programs (AP) and administrative and educational support services while carrying out the university's mission.

Institutional effectiveness is the responsibility of all employees and requires a campus-wide commitment and participation.

### **Institutional Effectiveness Framework**

Clark Atlanta University's Institutional Effectiveness framework integrates institutional planning, assessment, evaluation, and improvement activities into a continuous and systematic cycle aligned with the University's mission and strategic priorities. The framework ensures that institutional goals, operational objectives, and resource decisions are informed by evidence derived from assessment and evaluation activities.

Institutional effectiveness at Clark Atlanta University operates as a continuous cycle that connects institutional planning with assessment and improvement activities across all academic programs and Administrative and Educational Support (AES) units. This process ensures that institutional decision-making is guided by reliable data, systematic evaluation, and evidence-based improvement actions.

The Institutional Effectiveness framework consists of the following integrated components:

- 1. Strategic Planning**

Establishes institutional priorities, goals, and performance expectations.

2. **Unit-Level Planning**  
Academic programs and AES units develop operational objectives aligned with institutional strategic goals.
3. **Assessment and Data Collection**  
Units collect and analyze data to evaluate the extent to which outcomes and objectives are achieved.
4. **Analysis of Results**  
Assessment findings are reviewed to determine areas of strength, areas requiring improvement, and emerging institutional needs.
5. **Use of Results for Improvement**  
Units implement targeted actions to strengthen programs, services, and operations based on assessment findings.
6. **Planning and Resource Allocation**  
Assessment results inform institutional planning, policy development, and resource allocation decisions.

This integrated framework ensures that institutional effectiveness activities are aligned with the University's strategic priorities and contribute to continuous improvement in academic quality, administrative performance, and student success.

### ***Integration of CAU Plans***

#### **Strategic & Annual Planning**

The University's Institutional Effectiveness Process integrates the strategic and annual planning and assessment cycles. The components of both cycles are explained below.

#### ***The Strategic Planning cycle is divided into four major phases:***

**Phase I/ Pre-Planning** - involves assessing of current conditions. This phase is comprised of activities such as an environmental scan, SWOT analysis, review of the University Mission, Vision, and Values, evaluation of the current strategic plan, and an examination of other internal audits such as periodic reviews, and/or external audits.

**Phase II /Plan Development** – involves the development of the five-year strategic plan. In this phase we evaluate and restructure, if necessary, the University's mission, vision, and core values in addition to the priorities, goals, and objectives. Also, an annual work plan for each strategic direction featuring measurable action steps and benchmarks and budget forecast is created.

**Phase III/Plan Implementation-** features the implementation of a comprehensive operation plan with fully developed key objectives, directions, and assessment metrics.

**Phase IV/Plan Assessment-** allows the university to revise the initial plan, as needed, and report findings and successes to stakeholders in the university.

***The Annual/Operational Planning and assessment cycle includes two major phases:***

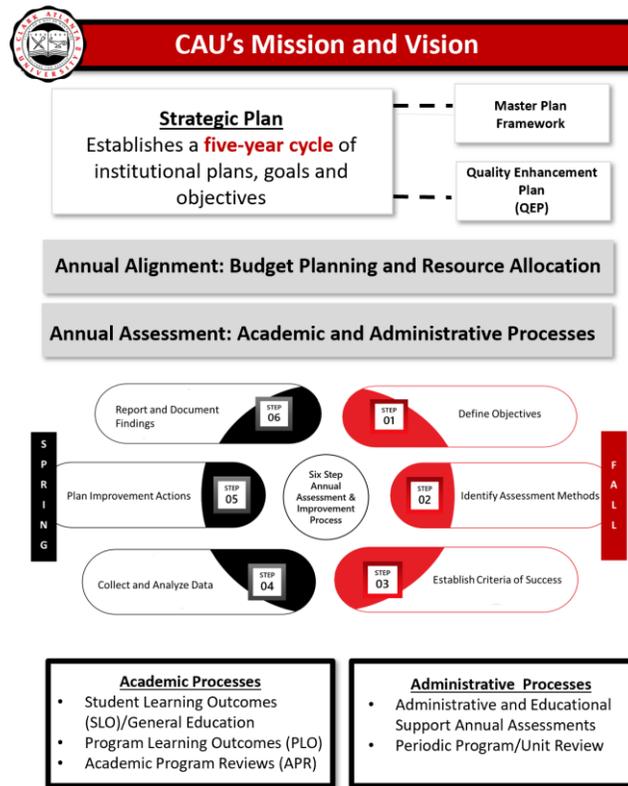
**Phase I** Planning and Strategy Development:

- Academic departments and Administrative and Education Support (AES) Units create an annual assessment plan.
- Develop progressive yet feasible assessment strategies.
- Enter the plan and assessment strategies into Nuventive, the university's Electronic Assessment Planning and Reporting System.

**Phase II** Operationalization and Assessment:

- Academic departments and AES units operationalize their specific tasks and activities.
- Collect and assess data throughout the year based on the plan set forth in Phase I.
- Interpret findings and develop an annual report, sharing copies with appropriate faculty, staff, and university constituents.
- Develop an action plan for improvement to address areas where the established criteria were not met.

## The University's Institutional Effectiveness Process Model



### Periodic Reviews

The Institutional Effectiveness Process also integrates a periodic review of all academic programs (AP) and Administrative and Education Support (AES) Units. The systematic assessment of all academic programs (AP) and (AES) units are essential for ensuring that a quality educational experience is provided to all students and to ensure the continuous enhancement and improvement of the units in support of the University's mission of teaching, research, and public service.

The Institutional Effectiveness Process is further explained in sections three and four which outlines the planning and assessment practices of the university respectively.

### *The Administrative Cabinet*

The University Administrative Cabinet is charged to provide oversight and guidance with the development and implementation of the University's strategic assessment framework and processes.

### **Committee Formation:**

- This committee was formed as part of the university's development of the 2023-2028 strategic plan.
- Its creation underscores the university's commitment to structured and continuous improvement in alignment with long-term strategic goals.
- By providing oversight and guidance, the University Administrative Cabinet plays a crucial role in maintaining the integrity and effectiveness of the university's assessment framework and processes. This ensures that the university continuously strives for excellence in education and administration.

### **Role of the University Administrative Cabinet**

#### **Oversight and Guidance:**

- Ensures that the framework aligns with the university's strategic goals and educational standards.
- Provides resources and support for the creation of comprehensive and effective assessment strategies.

#### **Implementation of Assessment Processes:**

- Monitors the progress of academic departments and AES units as they operationalize their tasks and activities.
- Offers guidance on best practices for data collection and analysis.
- Facilitates training sessions and workshops to enhance the skills of faculty and staff involved in the assessment process.

#### ***Evaluation and Reporting:***

Reviews reports submitted by academic departments and AES units. Analyzes the findings to identify strengths and areas for improvement. Ensures that the action plans developed address any gaps or unmet criteria.

#### ***Feedback and Support:***

Provides constructive feedback to departments and units based on the assessment results. Encourages collaboration and sharing of best practices across the university. Supports the implementation of improvement initiatives to enhance overall educational quality and effectiveness.

# **SECTION 4**

## *The Planning Process*

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This section describes the planning component of the university's institutional effectiveness process with its attendant elements and structures. It also delineates the institutional strategic planning, annual/operational planning, and budget-based planning cycles.

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## SECTION 4

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### *The Planning Process*

#### *Planning Overview*

The University uses an integrated planning process that involves all academic, administrative and educational support units and departments in the development of strategic long-range and operational performance expectations.

The Integrated Planning Process incorporates four major components – (1) *strategic plan development*, (2) *implementation through operational plans*, (3) *budget-based planning*, and (4) *results management/evaluation*.

#### **Strategic Plan**

The Strategic Plan focuses on the direction of the institution.

#### **Operational Plan**

The Operational Plan focuses on how to implement the strategic plan and produce short-term results.

#### **Budget-based Planning**

The allocation of institutional resources based on operational planning and annual assessment processes.

#### **Results Management/Evaluation** *(See Section 5)*

Results Management/Evaluation compares performance with the plan (strategic and operational) and ensures the achievement of results.

#### ***Leadership for Planning***

Planning and Institutional Effectiveness at Clark Atlanta University is the responsibility of each employee and requires a commitment to a broad-based, comprehensive system of planning and evaluation which makes use of assessment outcomes to improve educational programs, services and operations. Success in planning and implementation depends on widespread participation throughout campus. The following specific responsibilities are to ensure such participation.

##### **1. Board of Trustees**

Collaborates and partners with the President, senior leadership team, and faculty leaders to arrive at an understanding concerning strategic direction, and ensures that the University has the resources necessary to sustain core operations, compete in the educational marketplace, and achieve its mission by attaining the strategic priorities and goals of the University.

## **2. President**

Ensures that the planning process fosters widespread participation, engaging faculty, staff, students, and the community as well as assures assessment data impacts necessary change to implement strategic goals and objectives.

## **3. Executive Cabinet**

The President's Executive Cabinet provides leadership to the planning process, prepares specialized sub-plans, and evaluates their implementation and progress. The Cabinet also reviews and provides feedback for necessary revisions and budgeting implications to the plan on a continual basis.

## **4. Office of Planning, Assessment and Institutional Research**

Coordinates composition of data archives and provides reliable information to academic and administrative units in support of policy formation, decision-making, and compliance with accrediting agencies.

## **5. Administrative Cabinet**

Originally formed as the 2023-2028 strategic planning committee, this group was later transformed into the President's Administrative Cabinet. The Cabinet provides oversight on the implementation of the strategic and annual assessment plans and works with faculty and staff on Periodic Program Reviews, evaluation tools, and ultimate assessment of the institutional effectiveness plan.

## ***Strategic Planning***

The University's Strategic Plan is developed for a period of five years. It is the centerpiece of our institutional effectiveness activities and serves as a foundation upon which our planning, assessment, and budgetary initiatives are built to improve programs, support services, and operations in all areas of the University. We begin our strategic planning efforts with a review of our mission and vision, a campus-wide evaluation of our past performance achievements, and an analysis of our internal and external strengths and weaknesses. This plan, in turn, drives annual plans and guides decision-making and resource allocations across campus over the next five-year cycle.

Additionally, the strategic planning process helps inform other plans, including the university's master plan and Quality Enhancement Plan (QEP), ensuring alignment and coherence across all institutional initiatives.

The Institutional Strategic Plan identifies critical performance areas that decisively affect and influence the University's capacity to accomplish its mission and actualize its strategic vision. These critical performance areas are derived from various analyses and engagement of all constituent groups in deliberations concerning the vision and strategies for the University.

While the strategic planning process is initiated by the Board of Trustees, CAUs governing body, and led by the President, our Chief Executive Officer, it reflects input from all institutional constituents, affiliated community partners, and other university stakeholders.

The President, members of the Executive Cabinet, Academic School Deans, Administrative Deans and Department Heads provided oversight for the strategic planning process and are ultimately responsible for executing and monitoring *The Plan* entirely.



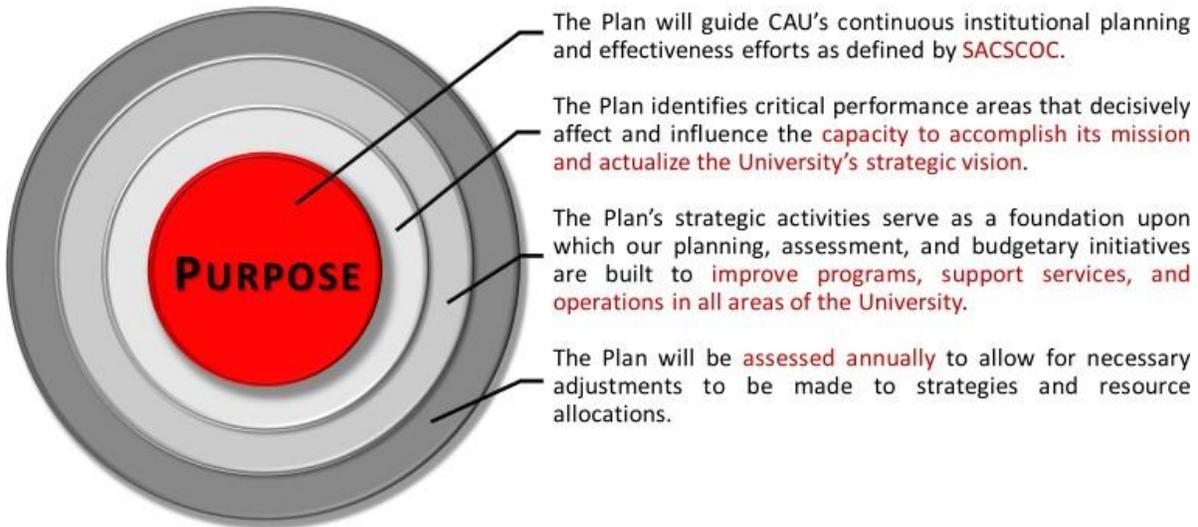
### ***Strategic Plan Process***

When developing a strategic plan, the University analyzes its current position in the industry at national, state, regional, and local levels; reviews the imperatives in higher education; and conducts appraisals of internal and external environmental (economic, social, demographic, political, legal, technological, and international) factors. Therefore, the strategic long-range planning process involves: (1) delineation of goals and objectives to be achieved over the life of the plan, (2) various analyses including environmental scanning, SWOT, strategic and gap analyses, and (3) identification of focus areas in which performance is expected.



## Strategic Plan Format

Every five years, the University formulates a strategic blueprint delineating our future priorities. This blueprint captures a collective vision for how the institution intends to foster innovation, effect transformation, and enhance all facets of its operations. Furthermore, it establishes the guiding values that will steer the university community in its endeavors.



## Strategic Planning Roles, Expectations, and Resources

### Strategic Planning Steering Committee (SPSC)

**Role:** The Committee is led by President, Chaired by Provost and Senior Vice President for Academic Affairs.

**Expectation:** The SPSC is tasked with creating and making recommendations for the strategic and operational plans that will aid and direct the institution in realizing its mission, vision, and strategic goals for 2028. The Committee also provides oversight for five (5) subcommittees to manage the critical components of strategic planning, administrative flow, process alignment, budget, communication, and assessment.

**Resource:** Vice President for Planning, Accreditation, and Institutional Research (OPAR) and SACSCOC Accreditation Liaison is serving as the technical and process lead. In this role, the VP for OPAR will also facilitate the compilation of reliable data and information for academic and administrative units in support of institutional goal formation, decision making, and providing quality assurance strategies.

## Working Groups (Subcommittees)

The Working Groups are responsible for making recommendations to the full Strategic Planning Steering Committee for their decision-making and action. This group, along with the Guiding Statements Task Force, will provide oversight to five (5) subcommittees:  
Academic Planning, chaired by Provost and Senior Vice President for Academic Affairs  
Student Experience, chaired by Vice President for Enrollment Management and Retention  
Institutional Effectiveness, chaired by Chief Operating Officer and Executive Vice President  
Institutional Advancement, chaired by Vice President for Institutional Advancement  
Guiding Statements Task force, chaired by an Academic Dean

**Expectation:** The SPSC is tasked with creating and making recommendations for the definition of strategic goals, objectives, strategies, and key performance indicators.  
Annual/Operational Planning

Each year institutional priorities are set for the University by the President via the Board of Trustees. These priorities are specifically derived from the Institutional Strategic Plan. The University's Annual/Operational Planning process provides the basis for implementing targeted portion of the Strategic Plan. Each division, school, and department/unit is required to develop a mission and vision statement, operating goals, objectives, and success criteria in support of the institutional strategic plan and thus the institutional mission as part of the planning process.

The **Mission Statement** is a brief statement that identifies the major purpose of the department or unit. This statement describes **who you are, what you do, and for whom you do it.** Appendix A provides a rubric for developing and reviewing a mission statement.

The **Vision Statement** is a concise, future oriented statement that paints a picture of where the department or unit aims to be (forward direction).

The annual/operational plan identifies specific results to be achieved within a given time period along with identification of the specific actions and resources required to achieve these results. Each annual priority/objective is evaluated at the end of the year to measure success with respect to its completion and to adapt to the next year's priorities/objectives. The units are required to submit an end-of-year report that summarizes the data collected, use of the results, and when necessary, an action plan for improvement. This process provides opportunities for the division, school, and/or department/unit to adjust their programs and services based upon the assessment results and relevant feedback.

The information gathered by the annual planning and assessment activities also feed into the Institutional Accountability Report, prepared each semester for submission to the Board of Trustees. The process of setting and evaluating annual institutional priorities continues until the strategic plan is completed, then a new 3-5 year planning and evaluation strategic cycle begins.

The step-by-step planning and assessment cycles are outlined in Section 5 of this manual.

### ***Annual Planning-Based Budgeting Cycle***

A five-year planning outlook is an important part of the budgeting process that helps focus the budget decision-making on the structural match between revenues and expenditures.

While the Board of Trustees is responsible for authorizing or appropriating the funds to be expended by each of the Executive Cabinet supervised division programs of the University, the budget office is responsible for the allotment of appropriations. It is through both the Executive Cabinet's management of their budgets and the budget execution process that the expenditures of budgeted funds are matched with actual recurring revenues.

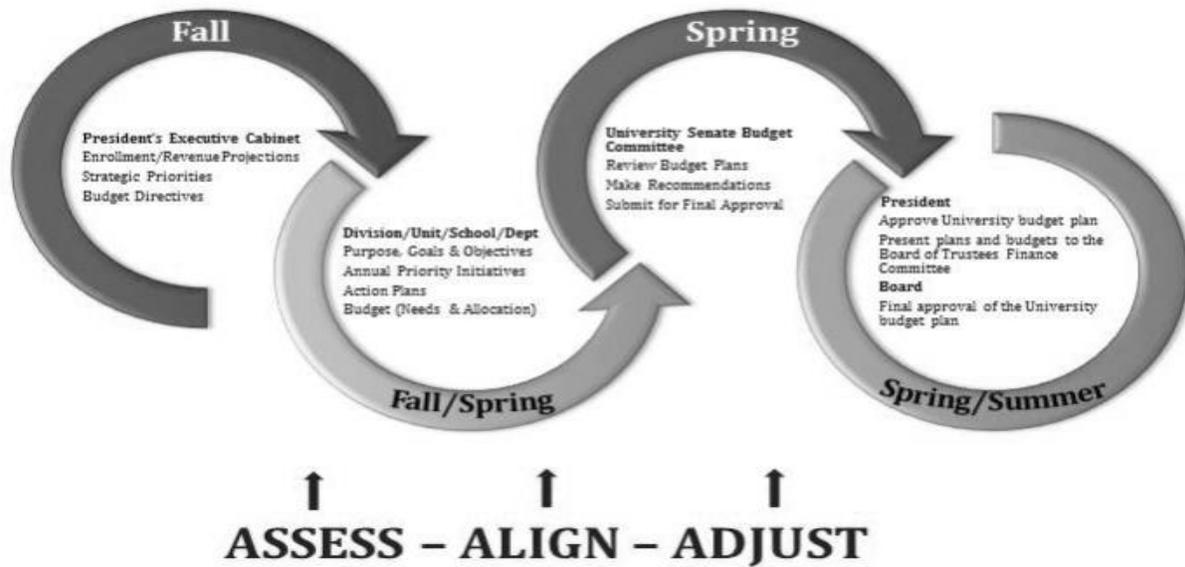
The University's Finance and Business Services division carries out the process of updating and documenting the institutional budget process. The intent is to have an open process – inclusive, fully documented, and most importantly, linked to the planning process of the institution as the planning and assessment processes have a direct impact on the budgeting process.

It is the responsibility of the division head to include the school, department/unit supervisors, faculty and staff in the development of the budget request process based on previous year's performance and ensuing year's priorities. Critical needs are identified for correction to enhance quality of programs and services. Each department/unit is expected to review current programs for potential improvements/reallocations prior to presenting a request for funds. Reallocations occur at two levels, institutional and departmental.

The annual planning-based budgeting cycle occurs over three semesters beginning in the Fall of the prior year and concluding in the President's and Board's approval.

The institutional budget planning process is supported through the University's administrative computing services and a comprehensive system of data collection and distribution for all major aspects of the University. The Banner software with Banner Web interface facilitates a data warehouse containing management information about courses, students, faculty, facilities, budgets and any other data needed for budget planning and decision-making.

# ANNUAL PLANNING-BASED BUDGETING CYCLE



# **SECTION 5**

## *Assessment and Evaluation Process*

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This section describes the assessment and evaluation process, including effectively identifying the assessment methods, related activities, and criteria for success.

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## SECTION 5

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### ***Institutional Assessment***

Clark Atlanta University's assessment practices and institutional effectiveness are linked to enhance student success by continuously improving instruction, support services, and administrative functions. Our institutional assessment efforts focus on what we want students to know, think, and do as well as how we will know that we have succeeded. Data gathered through a variety of diverse methods are used to make resource allocation, administrative, support and educational process and outcome decisions.

The process of data collection and analysis adheres to ethical standards and confidentiality. The University's ***Strategic Plan Assessment*** is an ongoing, cyclical process of gathering, analyzing, and using data to ascertain how well we are accomplishing our institutional mission, vision, goals, objectives and outcomes for the purpose of improving student learning, academic programs (AP), administrative effectiveness, and institutional planning. Assessment is a systematic and dynamic process undertaken by each division, school, department and unit within the University for making continuous improvements based on our assessment results.

### ***Assessment Documentation System***

Clark Atlanta University uses Nuventive as its electronic assessment planning and reporting system. Academic programs and Administrative and Educational Support units document their assessment plans, results, and improvement actions within the system according to established institutional timelines.

OPAR monitors completion of assessment plans and reports through the system and provides follow-up guidance to units to ensure timely documentation and alignment with institutional assessment expectations.

The assessment management system supports institutional effectiveness by:

- providing a centralized repository for assessment documentation
- facilitating monitoring of assessment completion and reporting
- supporting analysis of institutional performance trends
- enabling evidence-based decision-making across the University

The Office of Planning, Accreditation, and Institutional Research provides training and guidance to faculty and staff to support effective use of the assessment management system.

## ***Levels of Assessment***

Assessment occurs at different levels throughout the institution – at the mission level, at the program level, and at the classroom level:

- **Mission** - Assessment activities that measure institutional success in meeting the goals of the University as stated in the Mission Statement. Examples include evaluation of the Strategic Plan, performance evaluations of administrators and the governing board, and attitudinal surveys of our community constituents, transfer success, distance education, developmental education, etc.
- **Programs** - Assessment of CAU programs address, on a school and department level, goals that are comprehensive but clearly defined. As these goals change, the type of assessment tools must also change. Examples include program review, evaluation of degrees and certificates, and evaluation of internal and external services provided to students and staff.
- **Courses** - Assessment in the classroom where instructors clearly state course goals and measure the outcome of those goals. In addition, course assessment evaluates the effectiveness and relevance of courses by continuing to measure student goals, program and degree requirements, and student demand for courses. Examples include assessment of course content, general education core competencies, and curriculum mapping.

The University recognizes that assessment starts with the institution’s Mission, and must be tied to its *Strategic Plan*. Therefore, our assessment processes are designed to measure and improve the effectiveness of the University in meeting its mission. In other words our mission-oriented assessment indicates *how we are doing, where we are heading*, as well as our alignment with our mission. It is also for understanding the institutional condition and for taking steps to improve our competitive position, relative to peers, past performance, and future goals.

## **Administrative Effectiveness and Student Learning Outcomes**

Clark Atlanta University evaluates institutional effectiveness through multiple assessment processes that address both student learning and operational performance.

***Student Learning Outcomes*** assessment focuses on evaluating the knowledge, skills, and competencies students develop through academic programs and instructional activities.

***Administrative*** assessment focuses on evaluating the performance, efficiency, and impact of administrative and student support services that contribute to institutional operations and student success.

Both of these assessment processes operate within the same institutional effectiveness framework but address distinct areas of institutional performance.

Assessment findings are used to inform institutional planning, strategic decision-making, and resource allocation to ensure that institutional priorities and operational improvements are supported by evidence.

While both processes operate within the same institutional effectiveness framework, academic assessment focuses on student learning outcomes, whereas administrative assessment evaluates operational effectiveness, service quality, and institutional support functions.

### ***Mission-Critical Dashboards***

The following 14 *internal mission-critical indicators* are identified as those the University assesses first and monitor regularly. They form the core of our “to watch” list and focus on areas that are measurable and most likely to assure the long-term success of the University in fulfilling our mission.

1. **Income Stability:** Tuition and Fees, Federal Grants and Contracts, Private Gifts and Grants as a percentage of Educational and General Revenue
2. **Academic Excellence:** Commitment to Instructional and Research Expenditures as a percentage of total Current Fund Expenditures
3. **Financial Resources:** Average annual spending per student on instruction, research, student services, and related educational expenditures
4. **Stewardship/Financial Sustainability:** Fiscal surplus to indicate budgetary goals are met and expenses are within the means
5. **Fiscal Viability/Stability:** Healthy core Composite Financial Index Ratios (Primary Reserve, Viability, Net Operating, and Return on Net Assets)
6. **Affordability:** University funded student financial aid and tuition discounting as percentage of tuition and fees (**Student Aid Expense Ratio**)
7. **Competitiveness and Selectivity:** Acceptance rate to measure selectivity and admissions “yield,” to determine the University’s attractiveness
8. **Student Success Rates:** First-year freshmen retention, persistence, graduation and career placement rates, time-to-degree and number of degrees awarded
9. **Productivity:** FTE Faculty-student and Staff-student ratios
10. **Faculty Resources:** Faculty by rank, terminal degrees in their fields, employment status (FT/PT), class load and size, student credit hours generated, average compensation
11. **Facility Maintenance/Maintenance Backlog:** Deferred maintenance backlog as percentage of total replacement value of plant
12. **Library and Technology Learning Resources Support:** Average annual spending per FTE student on technology and library learning resources, facilities and academic staff support services
13. **Annual Giving by Source:** Annual number and dollar amount of Alumni, Trustees, Individual, Corporation and Foundation giving
14. **Extramural Funding for Research/Sponsored Programs:** Grant proposals submitted and awarded by source and amount

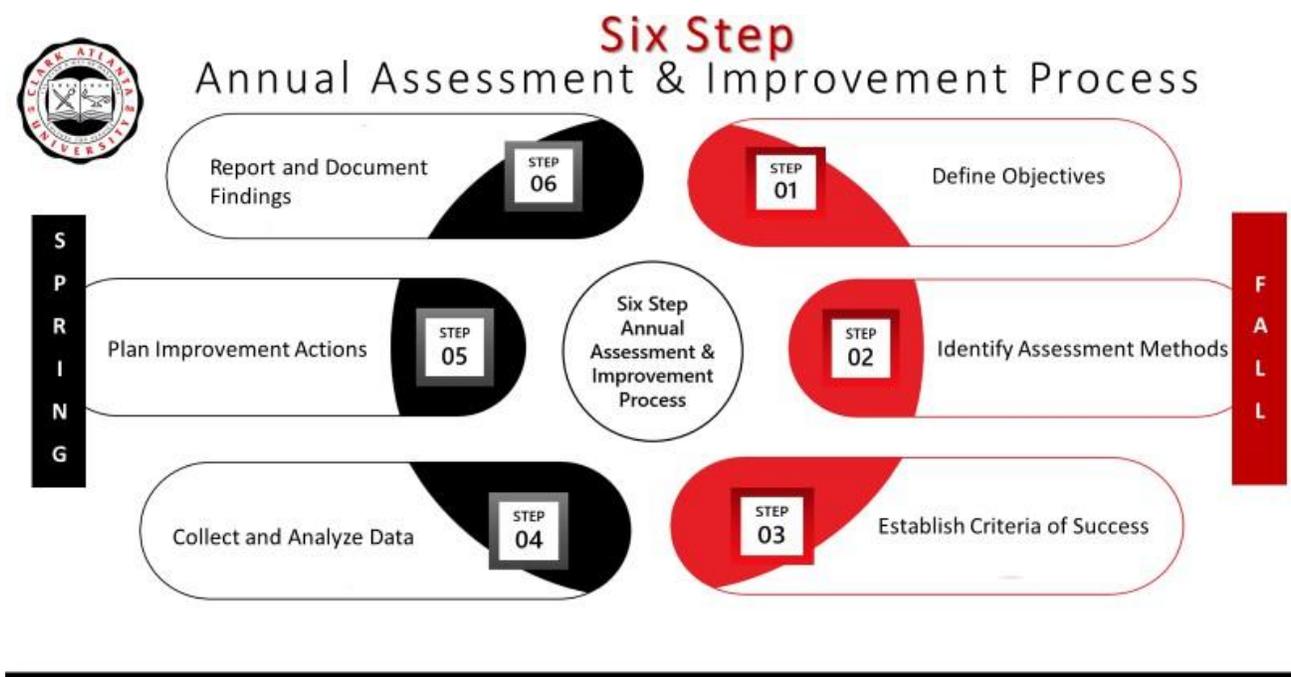
### **Annual Assessment Process**

The University’s planning and assessment process follows a structured two-phase cycle designed to support continuous improvement and alignment with institutional priorities.

**Phase I** focuses on planning and strategy development and includes defining measurable objectives, identifying appropriate assessment methods, and establishing criteria for success. Units enter their assessment plans and strategies into the University’s electronic assessment management system.

**Phase II** focuses on operationalization and assessment and includes collecting and analyzing assessment data, documenting results, and identifying actions for improvement. Units report findings, document the use of results, and develop plans for improvement to strengthen programs, services, and operations during the subsequent assessment cycle.

This annual process ensures that assessment activities are systematic, evidence based, and aligned with the University’s institutional effectiveness framework.



## Staggered Administrative Assessment Model

Clark Atlanta University uses a staggered multi-year administrative assessment model to ensure that all Administrative and Educational Support (AES) units are systematically evaluated within the institutional effectiveness framework. Under this approach, AES units are assigned to a rotating assessment schedule across the institutional strategic planning cycle. Rather than assessing all units simultaneously, the staggered model allows units to conduct deeper analysis of operational outcomes and implement improvement actions before the next assessment cycle.

Units are prioritized within the assessment schedule based on several factors, including:

- Strategic relevance to institutional priorities
- Operational impact on student success and institutional performance
- Availability and readiness of assessment data
- Capacity to implement and evaluate improvement actions

The staggered model strengthens institutional effectiveness by improving the quality of assessment reporting, supporting meaningful use of results, and reinforcing the use of assessment findings to inform planning and decision making.

This approach ensures that all AES units participate in a comprehensive and systematic evaluation process over the institutional strategic planning cycle.

## Academic Program Level Assessment

At the academic program level, student learning outcomes (SLOs) are statements that specify what students will know, be able to do/demonstrate, and think or value, as a result of their matriculation. Therefore, they are usually:

2. Expressed as acquisition of knowledge, skills, and dispositions (attitudes or values)
3. Focused on the Mastery of Academic Program Content
4. Served as benchmark for assessing the completion of the academic program

The following are four general steps in creating an assessment plan for the academic program:

### Step I: Defining Expected Student Learning Outcomes for the Program

#### Remember To:

- Align the learning outcomes with the mission of the program, department, and institution
- Develop learning outcomes that are **specific** to the academic program
- Clearly describe the level and type of competencies the students should know or be able to do, or possess after successfully completing the program
- Use an **Action Verb** in each learning outcome that results in **overt behaviors** that can be **observed** and **measured (See Appendix B)**
- The outcome should be aggressive but also **attainable**
- Make certain that the outcomes are **result-oriented** and it is feasible to collect accurate

- and reliable data to assess the achievement of those outcomes
- Focus on the learning result or impact on the student and not the learning process or action of the instructor
- Make the outcome statement simple, clear, and singular in nature (each statement should have only one outcome)
- Develop 5-8 outcomes for each degree program

**Step II: Identifying the Appropriate Means of Assessing Each Learning Outcome**

The process of identifying the *Means of Assessment* is broken down into multiple steps. Here the program/unit must identify what data will be collected, where it will be collected from, and how it will be collected. It is also important to include who collects the data and when it is collected in the assessment plan.

**When identifying the appropriate means of assessment remember:**

- The assessment tool must gather evidence related to the intended student learning outcome
- The assessment method should provide useful information regarding student performance
- Each outcome must have at least one assessment measure; however, it is best to use multiple means of assessment when feasible
- The timeframe for each assessment method should be indicated (each semester, annually, in alternate years, etc.)
- Direct or indirect assessment measures can be used; however, all outcomes must have at least one direct measure.
- The Criteria for Success must be established.

**Direct Assessment Methods**

Direct assessment methods provide data that directly measure student achievement of the expected outcomes (knowledge and skills gained).

***Examples of Direct Assessment Methods:***

• Capstone Course/Assignment	• Research Papers
• Senior-Level Projects or Papers	• Internship or Practicum
• Portfolio Assignments	• Practical Exams
• Pre- & Post-Test	• Thesis or Dissertations
• Case Studies, Hypothetical Situation Responses	• Standardized Examinations
• Course-Embedded Assessment	• Licensure or Certification

• Juried Activities	• Oral Presentations and Exams
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**Indirect Assessment Methods**

Indirect assessment methods are not used to assess direct achievement of expected outcomes; they are aimed at getting feedback about perceptions of student knowledge, skills, and dispositions.

***Examples of Indirect Assessment Methods:***

• Incoming Freshmen Survey	• Employer Survey
• Student Perception Surveys	• Graduating Survey
• Student Satisfaction Surveys	• Focus groups
• Exit Interviews	• Alumni Survey
• Faculty Surveys	• Surveys of Recruiters
• Retention and Graduation Rates	• Student Job Placement Data
• Questionnaires	• Graduate and Professional Studies

### Step III: Establishing Criteria for Success/Benchmark

The Criteria for Success/Benchmark serves as an indicator for the expected or overall levels of accomplishment.

#### When developing your Criteria for Success/Benchmark, remember to:

- State the criteria/benchmark in terms of percentages, percentiles, averages or other quantitative measures. DO NOT USE GRADES (A, B, C, F, etc.)
- Set criteria that have two target numbers: (1) indicate the level of accomplishment; and (2) the number of students expected to perform at that level.

**EXAMPLE:** At least **90%** of Engineering students enrolled in EGN 560 will earn an overall score of **3.0** or better on a 4-point scale assessment rubric for the final capstone project.

- Establish reasonable or comparable benchmarks or targets.
- Avoid using absolutes - ALL, 100%, or Zero.

The **Phase I Matrix** in **Appendix C** serves as a guide for Academic Programs to ensure the proper execution of above listed Steps I and II.

### Step III: Data Collection and Analyzing and Interpreting the Findings

#### **Data Collection**

Once the *Means of Assessment* for all objectives have been established, **develop a timetable for data collection.**

#### **The schedule should include:**

1. All assessment tools
2. Where the data will be collected from
3. When the data will be collected
4. Who is responsible for collecting the data

Departments can collect their own assessment data but should also take advantage of the reports completed by the Office of Institutional Research.

These reports may be useful for evaluating progress on department goals and objectives:

- Student Satisfaction Survey
- National Survey of Student Engagement (NSSE)
- Higher Education Data-Sharing (HEDS) Consortium Reports
  - Alumni Survey
  - Senior Survey

**Remember:**

- Data can be collected as soon as it becomes available even if the analysis of the data will take place at the end of the semester or at the end of the academic year
- To ensure the integrity and validity of the data used in the assessment, the same data should be collected at the same time each semester/year
- Data should be collected, retained and summarized in ways that facilitate its use
- ONLY collect data that is useful and will provide information that can help to improve the programs and services

***Data Analysis and Interpretation***

Data Analysis involves reviewing the data to determine whether the intended results have been accomplished. In the analysis phase, the goal is to identify patterns in the data and gain an understanding of what has occurred. Data analysis can take place once the appropriate data is collected, or at the end of the assessment period.

Interpretation of the data involves identifying how the result applies to the intended objective outcome. In the interpretation phase, the goal is to make meaning of the results and determine the significance of the result for the program or services provided. In other words, the purpose of data interpretation is to determine how the information provided can aid in improving the programs or services.

The results of the assessment plan should be included in the final assessment report. The report should clearly state whether or not the program objectives are achieved. For example, the results can be used to demonstrate that the program has achieved the intended outcomes at the established performance level or that the intended outcomes were not achieved. If an outcome is not achieved, an action plan to improve the program and facilitate the achievement of this outcome should be developed.

The final phase in the assessment plan is often referred to as ***Closing-the-Loop***. Here you implement the identified actions to improve the academic program. The impact of the changes made should be evaluated and reported in the next assessment cycle to *close-the-loop*.

Improvement activities can include a number of changes. The type and severity of the changes depends on the result. For example, based on the assessment results the following actions may be taken:

1. Revise a course syllabus
2. Restructure a course
3. Add a new course to the curriculum, or remove a course that is no longer needed
4. Adapt a new text book
5. Develop a new means of assessing the course, or a new rubric for a capstone assignment
6. Identify a new criteria for success or benchmark
7. Develop a new capstone assignment
8. Redesign or reconstruct the curriculum

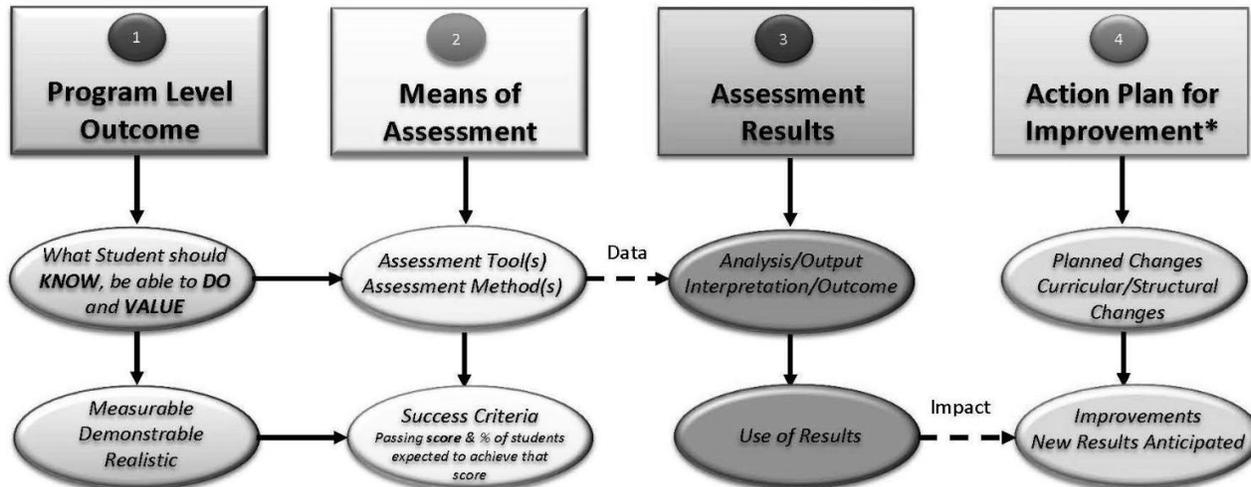
If the action taken does not help the program achieve the desired improvements or the intended outcomes, then further appropriate action toward improvement should be determined and implemented at the end of the assessment cycle.

**The following elements** should be included in the assessment report:

1. School/Program/Degree Name (Concentration)/Degree Level
2. Program/Department Mission
3. Program/Department Vision
4. Program/Department Learning Outcomes
5. For each Learning Outcome include the:
  - a. Means of Assessment (Tool & Method)
  - b. Criteria
6. Results (Analysis of Data and Summarize Findings)
7. Action Plan to Improve or Modify the Program
8. Related Institutional and/or Department Goals
9. Associated Task/Activities (*Optional*)

The Diagram below outlines the components of the assessment report:

### CAU Four-Column Assessment Report



Once the report is created it should be distributed to all the appropriate administrator(s) and also be shared with all constituents within the institution through formal and informal avenues in a timely manner. Assessment results can be shared in the following ways:

- Faculty & Staff Meetings
- Opening Institutes/Workshops
- Department Website

- News Letter
- Interdepartmental Memos
- Institutional Assessment Day

The **Phase II Matrix** provided in *Appendix D* serves as a guide for Academic Programs to ensure the proper execution of above listed Steps III and IV.

### General Education SLO Assessment

At Clark Atlanta University, General Education serves as a central component to student learning. All CAU students, regardless of their school, department, program, or major, must demonstrate mastery of the competencies outlined in the general education curriculum. The University requires adequate assessment in each degree program to evidence student achievement of the General Education competencies. Each department completes a General Education Curriculum Outcomes Matrix by program/major to map specific curricular courses that address each of the General Education competencies.

### College-Level General Education Competencies Assessment Matrix

<b>1 Competency</b>	<b>2 Courses or components</b>	<b>3 Assessment</b>	<b>4 Evidence</b>
Identify each college-level general education competency.	Indicate which courses or components of the educational programs provide students with opportunities to acquire the college-level competency.	Describe the means by which you assess the extent to which the students have achieved the college-level competency.	Provide the evidence gathered in the assessment of the college-level competency.
1.			
2.			
3.			
4.			
5.			

In addition to the current general education competencies, the completed matrix also includes:

1. All courses or components of the educational programs that provide students with opportunities to acquire the college-level competency
2. A description of the assessment method used to measure the extent to which the students have achieved the college-level competency
3. Evidence gathered in the assessment of the college-level competency

## ***Curriculum Mapping***

Curriculum mapping provides a framework for the degree programs that pinpoints where in the curriculum students are provided opportunities to master the Student Learning Outcomes (SLO). In other words, a curriculum map identifies where each SLO can be assessed and the degree of mastery expected in each course. This process is designed to evaluate the program/department curriculum in relation to their intended outcomes.

### **The Curriculum Map can be used to:**

- Identify where learning occurs
- Provide reasonable expectations for student learning
- Ensure that students receive instruction in the appropriate order
- Ensure that students are provided with enough repetition to achieve learning outcomes
- Enable the program/department to identify gaps in the curriculum
- Eliminates duplication of content in different courses
- Supports successful student learning

### **The Curriculum Map should identify the following three dimensions:**

1. All **Program Learning Outcomes**
2. All of the **required program courses**
3. The **relationship** between the courses and the outcomes
  - The relationship can be defined in a number of ways
    - **I** – Introduced; **P**-Practiced; **D**-Demonstrated
    - **I** – Introduced; **R**-Reinforced; **A**-Assessed
  - Multiple Relationship can exist in a single course

Below is an example of a generic Curriculum Map:

*I – Introduced*

*R-Reinforced*

*A-Assessed*

Degree Program Name									
Program Level Outcomes	Required Course	Required Capstone Course							
Outcome 1	I	R	R	R		R,A		R,A	A
Outcome 2	I			R	R			R,A	A
Outcome 3		I	I	R	R		R,A		A
Outcome 4	I	I,R	R			R	R	R	A
Outcome 5	I		R	R	R,A		R,A	R,A	A

**After completing the curriculum mapping process answer the follow questions:**

1. Are **only required** courses listed?
2. Are all SLOs addressed by at least one required course?
3. Do some SLOs get more coverage than others?
4. Are there any required courses that do not address any of the SLOs?
5. Do all of the courses address at least one SLO?

### **Rubric Assessment**

Rubric assessment is a criteria-based assessment of students’ work or performances. A rubric can not only be used to determine students’ grades, it can also be used to identify areas of weaknesses and strengths in mastering a particular competency. **As a best practice, learning outcomes at all level should be assessed with a rubric.**

***Rubrics can be used to:***

- Make grading consistent and fair. This is especially important when there are multiple sections of a class taught by different instructors
- Help expedite the grading process
- Clarify expectations to students
- Provide students with a clear explanation of grades received
- Track changes in student performance

***When developing a rubric include:***

1. The outcome to be assessed (What student know, think, and can do)
2. A clear definition of each characteristic to be assessed for a given learning outcome (The specific content knowledge, practical skills, or behaviors you want to identify)
3. A rating scale to assess the levels of mastery/competency  
(Example: 4=excellent, 3=good, 2=fair, 1=poor or 4=exemplary, 3=proficient, 2=marginal, 1=unacceptable).
4. A clear description of the different levels of achievement for each characteristic  
(Description of the type of performance that would earn the indicated score)

***Appendix E*** provides an example of an assessment rubric.

***Academic and Administrative Support Units***

**Administrative and Educational Support (AES) Units**

Administrative and Educational Support (AES) units are assessed within the University’s institutional effectiveness framework using a staggered multiyear assessment schedule aligned with the institutional strategic planning cycle. For purposes of planning, oversight, and reporting, AES assessment activities are organized through the University’s cabinet level administrative areas and their respective units and sub units.

Under this structure, AES units are evaluated according to defined assessment windows based on strategic relevance, operational impact, and institutional priorities. This approach allows the University to conduct deeper analysis of operational outcomes, implement improvement actions, and evaluate the effectiveness of those actions in subsequent assessment cycles while ensuring that all AES units participate in the institutional effectiveness process.

This staggered assessment approach strengthens institutional effectiveness by improving the quality and consistency of assessment documentation, supporting meaningful analysis of results, and reinforcing the use of assessment findings to inform planning, decision making, and resource allocation.

**Assessment of Administrative Objectives**

Administrative assessments are structured to ensure continuous alignment with the university’s strategic plan. During Phase One, objectives and key performance indicators (KPIs) are developed for each of the nine major administrative units and their respective units. These units undergo structured evaluations, with no more than two assessed annually following a scheduled approach that incorporates strategic plan evaluations.

**Clark Atlanta University has nine (9) major units providing administrative support services to the university including:**

1. The Office of the President
2. The Office of the Chief Operating Officer and Executive Vice President (Campus Operations)
3. The Office of the Provost and Senior Vice President for Academic Affairs

4. The Office of Enrollment Management and Student Life
5. The Office of Finance
6. The Office of Human Resources
7. The Office of the General Counsel
8. The Office of Institutional Advancement
9. The Office of Planning, Accreditation, and Institutional Research

Annual assessments serve as a formative tool for evaluating progress toward strategic goals. Each of the nine major administrative units and their respective units operate with an established mission statement that defines their purpose, alongside a vision statement that articulates future aspirations. The vision statement provides direction, guiding the formulation of annual objectives designed to achieve long-term goals.

#### **Assessment of Administrative Objectives Should:**

- Be an ongoing process
- Involve systematic gathering, analyzing, and interpreting data to determine how well performances match expectations
- Use the resulting information to understand and improve the programs and services

**Assessment of Administrative Units' Objectives** is divided into two phases, which include four general steps in creating a typical assessment plan for a unit/department:

- **Phase I** (The Planning Phase) involves Step I (*Establishing Measurable Objectives*) and Step II (*Identifying the Appropriate Means of Assessing Each Objective Outcome*) of the planning and assessment cycle.
- **Phase II** (The Assessment Phase) involves Step III (*Data Collection and Analyzing and Interpreting the Findings*) and Step IV (*Communicating Results and Applying the Findings for Improvement*) of the planning and assessment cycle.

The details on completing these steps are outlined below:

#### **Administrative Assessment Plan Components**

Administrative and Educational Support units develop and maintain Administrative Assessment and Improvement Plans that document the effectiveness of their operations and services. These plans are aligned with the University's mission and strategic priorities and serve as the foundation for evaluating administrative effectiveness.

Each Administrative Assessment Plan takes in to consideration and includes the following components:

1. **Unit Mission Statement**

A statement describing the purpose and core functions of the unit.

2. **Strategic Objective**  
A measurable objective that supports institutional goals and priorities.
3. **Expected Outcome**  
A clearly defined outcome describing the desired result of the unit's activities or services.
4. **Assessment Method**  
The process or tool used to measure the outcome, which may include operational data, surveys, performance reports, financial analyses, or institutional metrics.
5. **Criterion for Success**  
The specific performance target or benchmark used to determine whether the outcome has been achieved.
6. **Assessment Results**  
The data collected and analyzed to evaluate the extent to which the expected outcome was achieved.
7. **Analysis of Results**  
Interpretation of the assessment findings and identification of strengths, challenges, and contributing factors.
8. **Use of Results**  
Documentation of actions taken or planned based on assessment findings.
9. **Plan for Improvement**  
Targeted strategies or operational changes implemented to enhance effectiveness and strengthen institutional performance.

This structured approach ensures that administrative effectiveness activities provide meaningful evidence of institutional performance and contribute to continuous improvement.

### **Step I: Establishing Measurable Objectives to Achieve the Department's Vision**

As shown below, administrative objectives can be defined as process statements, learning outcome statements, or satisfaction statements. Each unit should develop 3 -5 annual objectives.

TYPE	PURPOSE	EXAMPLES OF AES UNIT OBJECTIVE
<b>PROCESS STATEMENTS</b>	Focused on desired <b>quality</b> of key functions and services (i.e. timeliness, accuracy, efficiency, volume, responsiveness, compliance, etc.)	<ol style="list-style-type: none"> <li>1. Accounting office will reduce vendor statement processing time from 7 to 4 hours.</li> <li>2. Registrar's office will shorten response time for transcript requests from 7 to 4 days.</li> </ol>
<b>OUTCOME STATEMENTS</b>	Focused on how the services or educational support have impacted/changed a student (faculty or staff as well) in terms of <b>knowledge, skills, or attitude/values</b>	<ol style="list-style-type: none"> <li>1. 80% of graduates seeking employment will have the ability to write an acceptable career resume.</li> <li>2. 75% of students seeking summer internship opportunities will be able to access and use online experiential learning search tool provided by Career Center.</li> </ol>
<b>SATISFACTION STATEMENTS</b>	Focused on levels of overall satisfaction with the services provided	<ol style="list-style-type: none"> <li>1. Increase student satisfaction with the overall online registration process from 70% to 80% by AY XXX.</li> <li>2. 80% of graduates using Career Center will be satisfied with their job advisement services.</li> </ol>

**NOTE:**

- Student learning outcomes are most appropriate for services that aim to increase students' knowledge or understanding of specific concepts.*
- It is not uncommon to find a mixture of process, outcome, and satisfaction statements in one unit.*

**When writing the administrative objectives remember to keep them SMART:**

- The objective should be **S**pecific to the unit
  - The unit/department objective should be associated with **key processes and services provided to students, parents, employers and faculty members**
  - The unit/department objective should be distinctive to the unit that is conducting assessment
- The objective should be **M**asurable and result oriented

- The unit/department objectives should be **quantifiable statements** that can be used to determine progress towards the overall mission
- The **collection of accurate and reliable data** should be **feasible** for unit/department objectives
- The unit/department objectives should produce results that can assist with program/service/unit improvements
- The objective should be **Attainable** and realistic
  - Consideration should be given to the **available resources** (e.g., staff, technology, assessment support, institutional level surveys, etc.) in determining whether the objectives are attainable and the collection of data for each objective is a realistic expectation
  - There should be an aggressive but realistic **level of improvement expected**
  - Careful consideration should also be given to the timeframe established to achieve the expected unit/department objectives
- The objective should be **Related** and is it relevant to unit's mission
  - The unit/department objectives should focus on **intentions** that are **critical to the unit/department and its mission statement**
  - The unit/department objectives should aid in identifying where **program/services/unit improvements** are needed
  - The unit/department objectives must be tied to either the division strategic plan or the overarching university strategic plan
- The objective should be **Time-bound**
  - Describe where the department/unit would like to be within a **specified time period and when the assessment should be done**

**EXAMPLES:** 10% increase in funding within one year  
 90% satisfaction rating for next year  
 10% improvement in student performance within 12 months

**Baseline Data:** If the department/unit has previously measured an objective, this data should be used as the **baseline** for setting targets/benchmarks for the next year.

Consider using a **general formula** when writing the objectives:

**Objective** = *Target (Audience) + Action Verb + Purpose + Activity (Modifier) + Timeframe*

**Example:**

- *Increase fundraising from the private sector by 10% each year.*
- *To improve the delivery of academic advisement services by offering at least 5 advisement workshops and seminars for all academic advisor annually beginning Fall XXX*

- Increase graduate student enrollment by 3.3% or 24 students for AYXXX-XX. Baseline: AY XXXX-XX Enrollment Count 716.
- Shorten the average response time for student transcript requests from 7 to 4 business days.

### T.V.P.A.T.

	Target (Audience)	Action Verb	Purpose (Focal Area)	Activity (Modifier)	Timeframe
<b>Examples</b>	Private sector	Increase	Fundraising	By 10%	Each year
	for all academic advisor	Improve	The delivery of academic advisement services	At least 5 advisement workshops and seminars	annually beginning Fall
	Graduate Students	Increase	Enrollment	3.3% of 716 or 24 students	AY or Fall
	Students	Shorten/reduce	Transcript request time (processing)	3 Business Days	Annual

*Or the ABCD*

### A.B.C.D.

Audience	Behavior	Condition	Degree
for all academic advisor	offering... advisement workshops and seminars	To improve delivery of academic advisement services	At least 5. . . annually beginning Fall

### Step II: Identifying the Appropriate Means of Assessing Each Objective Outcome

The *Means of Assessment* includes the assessment tool, method and criteria for success. The *tools* and *methods* are considered *measures for each objective* and the “*criteria for success*” is a benchmark or target for each measure. The measures and target will allow the department/unit to determine if the expected results are achieved.

It is imperative that the department considers: (1) what data will be collected; (2) where it will be collected from; (3) how it will be collected; (4) who will collect it; and (5) when it will be collected during the planning phase.

### When identifying the appropriate means of assessment remember:

- The assessment tool must gather evidence related to the intended objective outcome
- The assessment method should provide useful information regarding the achievement of expected results or levels of performance

- Each objective must have at least one assessment measure; however, it is best to use a triangulation approach or multiple means of assessment when feasible
- The timeframe for each assessment method should be indicated (each semester, annually, in alternate years, etc.)
- Direct or indirect assessment measures can be used; however, all objectives must have at least one direct measure

Means of Assessment Components	Description	Purpose
<b>TOOLS</b>	<i>Measures for each objective</i>	Gather evidence related to the intended objective outcome
<b>METHODS</b>		Provide useful information regarding the achievement of expected results or levels of performance
<b>CRITERIA FOR SUCCESS</b>	<i>Benchmark or target for each measure</i>	Serves as an indicator for the expected results or levels of accomplishment

### Direct Assessment Measures

Direct assessment measures provide data that directly correlates with the achievement of the expected objective outcomes. A direct measure explains the specific activity that will demonstrate the extent to which an objective has been accomplished, and provide information that may be used to make improvement related decisions in ensuing years. **All objectives must have at least one direct assessment measure.**

### Indirect Assessment Measures

Indirect assessment measures gather opinions or perceptions about an objective outcome. These measures are useful when paired with direct assessment measures.

### Establishing Criteria for Success

The Criteria for Success is the benchmark or target and it serves as an indicator for the expected or overall levels of accomplishment.

#### When developing your Criteria for Success/Benchmark remember:

- State the criteria/benchmark in terms of percentages, percentiles, averages or other quantitative measures
- The Criteria should have a specific target number that indicates the level of accomplishment. This can include a level of proficiency, or number or percentage of people, activities, or items, or a combination of the two

**EXAMPLE 1:** Students' wait time for registration will decrease 20%

**EXAMPLE 2:** At least 75% of the students living in the resident halls will report a level of satisfaction with the overall experience at a 3 (Satisfactory) or above on a 5 point scale

- Establish reasonable benchmarks or targets
- Depending on the nature of the expected objective outcome using absolutes, such as

- 100% or All, may be necessary
- Use existing baseline data when setting the targets

### **Step III: Data Collection and Analyzing and Interpreting the Findings**

#### **Data Collection**

Once the *Means of Assessment* for all objectives have been established, **develop a timetable for data collection.**

***The schedule should include:***

1. All assessment tool
2. Where the data will be collected from
3. When the data will be collected
4. Who is responsible for collecting the data

#### **Remember:**

- Data can be collected as soon as it becomes available even if the analysis of the data will take place at the end of the semester or at the end of the academic year
- To ensure the integrity and validity of the data used in the assessment, the same data should be collected at the same time each semester/year
- Data should be collected, retained and summarized in ways that facilitate its use
- ONLY collect data that is useful and will provide information that can help to improve the programs and services

#### ***Data Analysis and Interpretation***

Data ***Analysis*** involves reviewing the data to determine whether the intended results have been accomplished. In the analysis phase, the goal is to identify patterns in the data and gain an understanding of what has occurred. Data analysis can take place once the appropriate data is collected, or at the end of the assessment period.

***Interpretation*** of the data involves identifying how the result applies to the intended objective outcome. In the interpretation phase, the goal is to make meaning of the results and determine the significance of the result for the program or services provided. In other words, the purpose of data interpretation is to determine how the information provided can aid in improving the programs or services.

#### **When analyzing the data answer the following questions:**

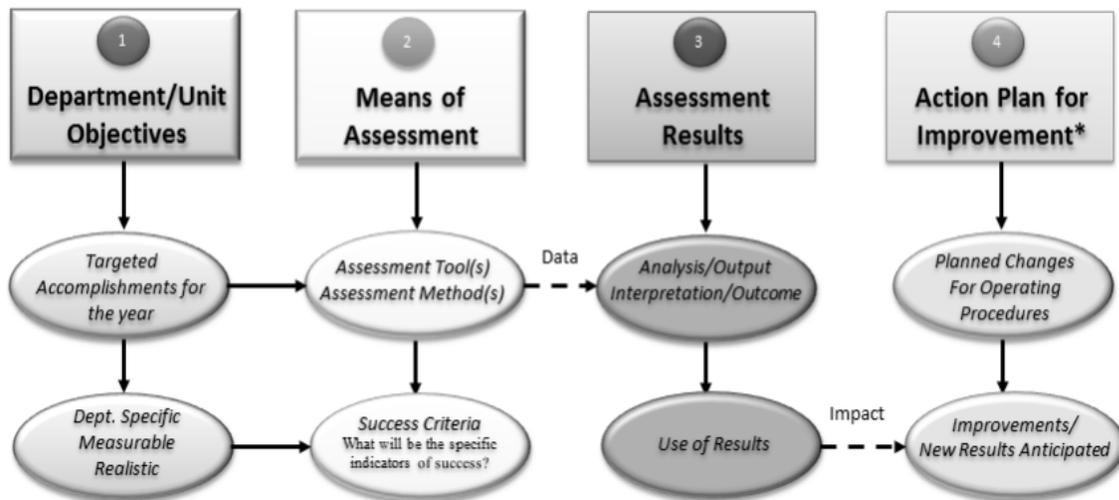
1. Were the targets met?
2. Are there any repeating or common patterns in the data?
3. Could the results be improved?
4. Are the objectives and/or measures useful?

#### **To go a step further and interpret the results or determine the meaning and application of the results, answer the following questions:**

1. Why was the target met or not met?
2. What impact do these results have on the department/unit?
3. How can this information be used to improve the department/unit?

The diagram below outlines the components of the assessment report:

## CAU Four-Column Assessment Report – AES Units



### Step IV: Communicating Results and Applying the Findings for Improvement

The results of the assessment plan should be included in the final assessment report. The report should clearly state whether or not the program objectives are achieved. For example, the results can be used to demonstrate that the program has achieved the intended outcomes at the established performance level, or that the intended outcome was not achieved. If the outcome is not achieved, an action plan to improve the program or service and facilitate the achievement of the objective should be developed.

The final phase in the assessment plan is often referred to as *Closing-the-Loop*. Here, the identified action to improve the program or services or the overall department/unit is implemented. The impact of the changes made should be evaluated and reported in the next assessment cycle to *close-the-loop*.

If the action taken does not help the department achieve the desired improvements or the intended objective outcome, then further action toward improvement should be determined and implemented at the end of the assessment cycle.

**The following elements** should be included in the assessment report:

1. Department/Unit Name
2. Department/Unit Mission
3. Department/Unit Vision
4. Department/Unit Objectives and/or Learning Outcomes
5. For each Objective/Learning Outcome Include the:
  - a. Means of Assessment (Tool & Method)
  - b. Criteria
6. Results (Analysis of Data and Summarize Findings)
7. Action Plan to Improve or Modify Department/Unit

8. Related Institutional and/or Division Goals
9. Associated Task/Activities (*Optional*)

Once the report is created it should be distributed to all the appropriate administrator(s) and also be shared with all constituents within the institution through formal and informal avenues in a timely manner. Assessment results can be shared in the following ways:

- Faculty & Staff Meetings
- Opening Institutes/Workshops
- Department Website
- News Letter
- Interdepartmental Memos
- Institutional Assessment Day

### ***Use of Results and Continuous Improvement***

Assessment results are reviewed and analyzed to determine the extent to which expected outcomes have been achieved and to identify opportunities for improvement. Units are responsible for documenting how assessment findings inform operational adjustments, program enhancements, and strategic decision-making.

Use of results may include:

- Refining operational processes or service delivery
- Strengthening policies and procedures
- Enhancing resource allocation strategies
- Expanding or modifying programs and services
- Implementing targeted interventions to address identified gaps

Improvement actions are evaluated in subsequent assessment cycles to determine their effectiveness and to ensure sustained progress toward institutional goals.

### ***Academic Program Periodic Reviews***

All academic programs undergo a 5-year periodic review. This systematic assessment of the institution's academic programs is essential for ensuring that a quality educational experience is provided to all students. Internal academic program review is a central component of institutional effectiveness, strategic planning, assessment of student learning outcomes, and in achieving organizational goals and objectives. While certainly motivated by standards and requirements established by the regional accrediting body, the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC), and other specialized accreditation bodies, the internal academic program review at Clark Atlanta University (CAU) is recognized as a core component of the institutional mission.

The impetus for academic program review at CAU is faculty driven and is guided by Section 2.13 of the Faculty Handbook. (***See Appendix H***) The Faculty Handbook provides a policy for periodic review of academic programs by the faculty for the purpose of determining, at a minimum, the "quality of academic curricula, the utilization of existing resources, the research and service activities, long-range plans and objectives, adequacy of financial support and the physical facilities, and the appropriateness of the departmental or program structure." The academic review is designed to determine the effectiveness of each academic program. The results of this assessment effort must be used to enhance curricula and instructional strategies, as well as improve the

administration of the academic programs.

The review process is initiated by the office of the Vice President for Academic Affairs through the Provost based on a scheduled time-table. The review is designed to provide schools, departments, and programs with an understanding of each program's strengths and weaknesses.

It will ensure that each academic unit will:

1. be accountable for the quality of their programs
2. make budget decisions based on priorities
3. ensure that programs are accountable to students
4. improve programmatic areas and bring about desired changes based upon an agreed upon timetable

The periodic review is divided into three parts:

- **PART I:** A review of ten primary areas for each department:
  - Standard 1.0 Program mission, goal, and objectives
  - Standard 2.0 Organization, governance, resources
  - Standard 3.0 Faculty
  - Standard 4.0 Strategic Plan/Annual Review
  - Standard 5.0 Curriculum (includes Student Learning Outcome)
  - Standard 6.0 Student Services
  - Standard 7.0 Support Staff
  - Standard 8.0 Support Services and Facilities
  - Standard 9.0 Off-campus programs
  - Standard 10.0 Distance Learning
- **PART II** – An analysis of the academic program's strengths, weaknesses, opportunities, and threats
- **PART III** – Final recommendations for improvement, based on findings of the Self-Study Report

The guidelines and procedures for conducting an academic program periodic review are provided in section two of the university's **5<sup>th</sup> Year Periodic Review Guide**.

### ***Administrative and Educational Support Units Periodic Reviews***

All Administrative and Educational Support (AES) Units undergo a periodic review. The purpose of the periodic review of AES units is to ensure the continuous enhancement and improvement of the units in support of the University's mission of teaching, research, and public service. Continuous improvement is facilitated when each unit, department, or program periodically assesses the quality and effectiveness of its performance in fulfilling its mission and goals; identifies areas for improving processes and/or outcomes; and develops and implements a *Plan of Action* for improvement. The periodic review of administrative and educational support units helps to ensure the achievement of institutional planning goals and objectives.

The periodic review of administrative and educational support units must include at a minimum, the following elements:

- a. ***Broad-based involvement of personnel*** - All personnel including support staff and, if applicable, student employees, are to be involved in the review. Involvement promotes understanding of issues, appreciation of the need for change, and a sense of individual and collective purpose. These outcomes can be accomplished by making certain that each employee has the opportunity for input through meetings, surveys, interviews, or other data collection efforts by communicating how those results were incorporated into the recommendations and review report.
- b. ***Status of Findings and Recommendations of Prior Review*** - The review should contain an assessment of the unit's status against findings and recommendations of prior internal and/or external reviews and/or evaluations.
- c. ***Status of Compliance with Governing Regulations, Professional Standards, and Internal Policies and Procedures*** - The review should contain an assessment of the unit's compliance with applicable governing regulations, professional standards, and internal policies and procedures.
- d. ***Assessment of strengths and weaknesses*** - An assessment of strengths and weaknesses are essential to a good review process. The identification of weaknesses assists the unit in identifying areas for improvement, targeting resources appropriately, and developing baseline measures to monitor progress.
- e. ***Written evaluation report with recommendations*** - The evaluative component of the review process must culminate in a written report with recommendations presented to the responsible Vice President and/or Dean and the unit. The report is written by the individual or individuals charged with conducting the evaluation of the unit. The responsible Vice President and/or Dean should be prepared to review the report, discuss the recommendations with the unit's head administrator and make determinations regarding their implementation.
- f. ***Unit Quality Improvement Plan (UQIP)*** - To ensure continuous and improvement, a Unit Quality Improvement Plan based on recommendations is a required component of the unit's periodic review.

The guidelines and procedures for conducting an AES unit periodic review are provided in section one of the university's ***Periodic Review Guide***.

# **SECTION 6**

## *Institutional Research*

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This section describes the assessment and evaluation process, including effectively identifying the assessment methods, related activities, and criteria for success.

## **SECTION 6**

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### ***Department of Institutional Research (IR)***

The Office of Institutional Research (IR), an integral part of the institutional planning and assessment process, is established to support the institutional effectiveness efforts of the University. IR employs a variety of data collection and analysis methods to demonstrate the use of results of the planning and evaluation process for the improvement of both academic programs (AP) and administrative and educational support (AES) activities, since the educational quality of the University determines how effectively the institution has accomplished its established goals. IR serves as the central coordinating office for activities relating to institutional effectiveness and accountability by incorporating internal and external data collection, analysis and compliance reporting with federal, and state and regional accrediting bodies.

#### ***Structure***

The Department as a unit of the University's Office of Planning, Accreditation and Institutional Research is responsible for: 1) retrieving and maintaining data on students, faculty, staff, curricula, library, finances, and physical plant facilities; 2) supplying historic and comparative data to campus offices; 3) preparing reports for internal and external use and key decision-makers; 4) submitting mandatory and voluntary reports to federal, state, and regional agencies as well as accrediting bodies; and 5) developing or acquiring instruments for faculty and student evaluations and conducting institutional research requested by the University administration.

#### ***Purpose***

The main purpose of the Department of Institutional Research is to provide reliable, systematic, and timely data/information to academic and administrative units in support of the University's policy and decision-making. IR assists in developing, organizing, maintaining, analyzing and reporting institutional data collection and assessment processes. It is engaged in ongoing data collection, analysis and distribution resulting in official university statistics to satisfy both internal and external reporting needs; design and implementation of internal studies related to students, personnel, facilities, equipment, programs, services and fiscal resources; development of data bases, via information technology support, suitable for longitudinal studies and statistical analysis. IR also provides assistance in establishing outcome measures for accountability and other related activities in support of University planning, assessment, resource allocation and decision-making. The data/information generated by IR can be applied in understanding, interpreting, managing and evaluating the institution, and in making informed decisions about current operations or future plans.

The mission of the Department of Institutional Research is to serve as the foremost and official source of institutional information for the University community and relevant decision-makers in their commitment for continuous review, evaluation, and improvement in teaching, research, administrative and operational activities. The Department of Institutional Research oversees the collection, analysis, and dissemination of data to support strategic planning, informed decision-making, and policy development at the University. It ensures the accuracy and reliability of critical University data, providing comprehensive reports to both internal and external stakeholders. Additionally, the department supports institutional effectiveness, accreditation efforts, and serves as a central repository for essential university information.

In order to support the campus constituents achieve their stated goals and priorities of the University's *Strategic Plan*, institutional research is strongly committed to change and excellence through continuous improvement of its functions, programs, and support services. The Office focuses on the following four areas:

1. Documenting and analyzing student matriculation/enrollment trends, i.e., progression, retention, graduation, and quality of student life.
2. Supporting research on continuous improvement of academic programs and scholarship.
3. Supporting fiscal planning and management efforts through efficiency studies of physical resources and facilities.
4. Assisting with efforts to increase financial support and enhance internal and external relations.

The Department assigns first priority to institutional research and reporting requirements at the institutional level, then to schools, departments, and committees as time permits. External regulatory requests that are mandatory for compliance by law are also given first priority following other external requests as office resources allow. One of the key roles of institutional research is to support both strategic and operational planning and to assist in the necessary linking of the two through a central repository of all data collected at the University and of all nationally reported data collected by external sources such as the National Center for Education Statistics (NCES – IPEDS Data Center).

### ***Institutional Research Function***

Institutional research embraces many functions of educational research. Types of research used in institutional research are listed below:

1. **Data Collection** – included in this area are database searches, written, telephonic or electronic surveys and literature searches. Data is usually analyzed by raw numbers, percentages or percentiles and presented in tables, charts and graphs.

2. **Comparisons** – data is collected on two or more sources and analyzed using such parametric measures as the difference between means and analysis of variance or covariance. Non-parametric measures include Chi-square and log-linear analysis.
3. **Trend Analysis** – data is collected over a series of time periods and analyzed by regression methods to determine if a curve can be fitted for projection purposes.
4. **Cost Analysis** – data is collected on faculty, students and cost centers. By means of matrix analysis, costs are distributed from departmental expenditures to student majors and student levels.
5. **Salary Analysis** – salaries are correlated with such variables as rank, employment time, sex, race and age. Discriminant analysis or regression analysis will identify outliers which do not fit the general curve.
6. **Student Persistence** – data on retention, dropout, progression and graduation rates are collected and student-flow models are created. Using Markov chains, projections of enrollment can be made.
7. **Program Reviews** – data on student outcomes is collected, analyzed and compared to previous studies.
8. **Enrollment Management** – data is collected on high school and community college graduating classes and previous matriculation rates are calculated. Using projected high school classes and graduates, admission goals can be set.
9. **Environmental Scanning** – data is collected from news sources, periodicals, presentations and speeches. The researcher looks for projections, futurist forecasts, new products and methods. An abstract is written and suggestions are made on how this may affect the institution.

### ***Role and Responsibilities of Institutional Research***

1. Develop and maintain an electronic retrieval database of information pertaining to students, faculty, staff, academic programs, fiscal resources, library learning resources, physical plant and other areas as deemed necessary to assist administration in grants development initiatives, managing daily operations and making informed decisions.
2. Coordinate and assist in conducting surveys and research projects pertaining to institutional administration, policy issues, and program development.
3. Collect, analyze, and disseminate key institutional data reports to internal and external constituencies.
4. Complete and respond timely to all mandatory and voluntary reports and surveys, with accurate data, required from institutional research by federal, state, and regional agencies and accrediting bodies.

5. Serve as a central clearinghouse for all university related surveys, questionnaires, and inquiries in order to maintain the accuracy and consistency of the data contained.
6. Maintain a historic repository of vital information on the University.
7. Conduct assessment and evaluation of the activities associated with the outcomes of institutional goals and objectives, reviews of academic, administrative and educational support programs and services.
8. Assist with the development of the University's comprehensive planning structure of master plan, strategic plan, and annual integrated operational and budget plans.
9. Support institutional and professional program accreditations and certifications.

### ***Operational Objectives and Strategies***

1. Strategic and operational data planning and collection (data administration)
2. Institutional research and analytical studies (survey administration)
3. Regulatory compliance with external reports (mandatory and voluntary requirements)
4. Institutional policy/issue analysis

The *strategies* set for the Office are as follows:

1. Remain aware of current issues in higher education and continuously upgrade skills and professional experience.
2. Provide excellent customer service to the campus community by anticipating and responding to external and internal demands for data and analysis while maintaining the highest ethical standards.
3. Provide timely and appropriate information, connections and support to senior officers, faculty, and staff so they may be allowed to make informed decisions and further their planning and resource allocation.
4. Provide leadership by facilitating decision-making at all levels of the University through comparative data and analytical support.
5. Stimulate, create, and nurture an organizational culture of data driven planning and assessment throughout the University.
6. Disseminate statistical tables and trend information to promote evaluation of departmental and program goals and increase awareness.
7. Define, analyze, and disseminate institutional data to enhance institutional effectiveness.
8. Serve as a link between the education, management, and information functions of the University.

9. Ensure efficiency and accuracy of information by working closely with internal and external sources to avoid duplication of effort.
10. Assemble and maintain accurate data into electronic databases which can be read electronically and analyzed by statistical and logical programs.
11. Continuously review, implement, and evaluate data to internal and external sources to strengthen the link between teaching and learning.
12. Provide the campus constituents with a historical background and continuing trends.
13. Compile and report accurate data necessary for state and federal agency reporting requirements in a timely manner.
14. Conduct internal surveys to collect data for program planning and development.
15. Provide support to assessment of student learning and program review in Academic and Student Affairs.

Essential *activities* designed to meet institutional research strategies are as follows:

1. Fast Facts
2. Trend Books
3. Office Website/Webpage
4. Internal Reporting including evaluations and surveys
5. Federal, State and Regional External Compliance Reporting
6. External Voluntary/Ad Hoc Reporting (other than mandatory or required)
7. College Guidebooks and Directories updates, including FERPA
8. Workshops/Seminars on Institutional Research and Data Administration
9. Ongoing Department/Unit training and coaching
10. Activity on Committees, meetings, conferences
11. Enrollment Management Reports
12. Historic and Comparative Trend Data Reports and Presentations
13. Institutional Effectiveness Reports

In summary, among many of its data analytical techniques the Office of Institutional Research continues to develop empirical data collection, analysis and comparative studies to support, enhance and coordinate the University's effectiveness efforts.

### ***Achieving Institutional Effectiveness***

At the institutional level, the Office of Institutional Research seeks to develop university-wide Key Performance Indicators to assess overall effectiveness.

1. Educational Quality and Effectiveness
2. Access-Diversity-Equity
3. Efficiency and Productivity

4. Financial Stability
5. Contributions to Community and Society
6. Competitiveness and Benchmarking

A specific set of indicators, relevant to the University, are developed for each of these categories for reporting Institutional Effectiveness. In order to achieve program/service quality improvement, critical data for benchmarking and projection are collected so that the University can respond to questions such as, *“to whom do we compare ourselves?”* and *“who do we aspire to become like?”* Thus, the University from a competitive point of view can compare itself to like institutions. Such information also provides for some insight into how the University compares to its immediate competition. Also, the practice of benchmarking helps the University to aim its efforts towards the “best in class,” i.e., best in its particular category of institutions of higher education. This effort can be specific, having each program or department/unit measure itself against the best in its field, or general, a comparison of Clark Atlanta University to similar but superior academic institutions (i.e., those that the University would like to emulate).

Examples of institutional effectiveness data include, but are not limited to, the following:

- Data in support of enrollment management decision-making
- Faculty workload analysis
- Student evaluation of instruction
- Tracking matriculation: passing rates, course completions, persistence, retention, graduation, and career placement rates
- Other indirect measures – student, faculty, alumni, employer, and organizational climate and satisfaction surveys

The Office supports academic programs and administrative services in managing the following:

- Degree program inventory
- Routine and ad hoc federal, state and regional reporting
- Faculty load and qualifications audit/review and validation
- Faculty demographics
- Finances, Facilities, and Human Resources
- Periodic and recurring survey inquiries
- Survey design, analysis and reporting
- Student/Faculty/Facilities surveys
- Enrollment planning and management
- Strategic plan benchmarking and accountability measurement
- Repository of institutional information and data steward of the data warehouse

### ***University Compliance and Professional Code of Ethics***

Designated by the University President, the Office of Institutional Research serves as the official Institutional Data Administrator and complies with all elements of Federal reporting mandates and requirements (IPEDS). The Office complies with the *Code of Ethics and Professional Practice* established by the Association for Institutional Research (AIR) and adopted by its membership in 1992 and last updated in 2013.

# **SECTION 7**

## *Appendices*

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This section provides a number of supporting documents designed by the Office of Planning, Assessment and Institutional Research to assist in the successful development, implementation and assessment of institutional plans that facilitate continuous improvement in our programs and services.



## ***SECTION 7***

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### ***Appendices***

- Appendix A-Rubric for Developing & Reviewing Mission Statement
- Appendix B-Bloom's/ Anderson and Krathwohl's Taxonomy
- Appendix C-Student Learning Outcomes Matrix (Phase I)
- Appendix D-Student Learning Outcomes Matrix (Phase II)
- Appendix E-Assessment Rubric Example
- Appendix F- Section 2.13 of the Faculty Handbook

**Appendix A. Rubric for Developing & Reviewing Mission Statement**

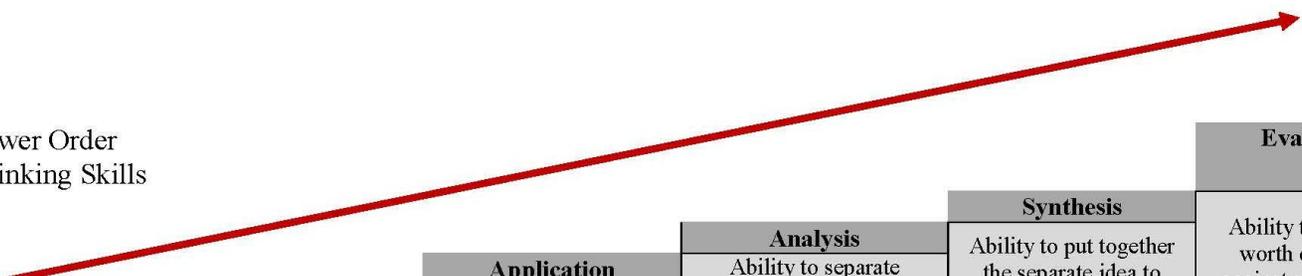
<p align="center"><b>Mission</b> (Division/School/Dept./Unit)</p>	<p align="center"><b>CHECKLIST</b></p>	<p align="center"><b>SAMPLE MISSION STRUCTURE</b></p>	<p align="center"><b>CONSTRUCT YOUR MISSION</b></p>
<p align="center">↓</p> <p><b>DOES IT ADDRESS?</b></p> <ul style="list-style-type: none"> <li>• Who we are? /Why does the unit exist?               <ul style="list-style-type: none"> <li><input type="checkbox"/> Name of your division, school, department, unit</li> <li><input type="checkbox"/> Identify the overall purpose of the unit _____</li> </ul> </li> <li>• What do we do? /What does the unit do?               <ul style="list-style-type: none"> <li><input type="checkbox"/> Your unit’s primary purpose and formal requirements</li> <li><input type="checkbox"/> Identify stakeholder expectations, requirements, services, and products provided by the unit _____</li> </ul> </li> <li>• For whom do we do it? /Who does the unit serve?               <ul style="list-style-type: none"> <li><input type="checkbox"/> Reflect the needs of stakeholders or customers of your unit</li> <li><input type="checkbox"/> Identify the major stakeholders of the unit</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> <b>Teaching/Learning</b> <i>(Skills/Knowledge)</i></li> <li><input type="checkbox"/> <b>Research/Scholarship</b> <i>(Discovery/Innovation)</i></li> <li><input type="checkbox"/> <b>Civic Collaborative</b> <i>(Service/Partnership)</i></li> <li><input type="checkbox"/> <b>Administrative Educational Support Service</b></li> <li><input type="checkbox"/> <b>Diversity &amp; International Context</b></li> </ul>	<p>“The mission (of your unit name) is to (your primary purpose) by providing (your primary functions or activities) to (your stakeholders)”</p> <p>(You may add additional clarifying statements)</p> <p><b>Note:</b> the order of the pieces of the mission statement may vary from the above structure</p>	

## Appendix B. Bloom's/ Anderson and Krathwohl's Taxonomy

Bloom's Taxonomy 1956

Higher Order  
Thinking Skills

Lower Order  
Thinking Skills



<b>Knowledge</b>		<b>Comprehension</b>		<b>Application</b>		<b>Analysis</b>		<b>Synthesis</b>		<b>Evaluation</b>	
Ability to recall previously learned material		Ability to grasp meaning, explain, and restate ideas		Ability to use learned material in new situations		Ability to separate material into component parts and show relationships between parts		Ability to put together the separate idea to form new whole, establish		Ability to Judge the worth of material against stated criteria	
Arrange	Classify	Apply	Analyze	Arrange	Appraise	Arrange	Argue	Assemble	Assess	Choose	Compare
Define	Compare	Change	Appraise	Collect	Breakdown	Combine	Conclude	Categorize	Contrast	Conclude	Contrast
Describe	Convert	Complete	Categorize	Comply	Calculate	Compose	Defend	Comply	Defend	Describe	Describe
Duplicate	Defend	Construct	Compare	Construct	Categorize	Compose	Describe	Compose	Describe	Discriminate	Discriminate
Identify	Discuss	Demonstrate	Contrast	Design	Criticize	Create	Estimate	Create	Estimate	Evaluate	Evaluate
Label	Distinguish	Dramatize	Debate	Develop	Debate	Design	Explain	Design	Explain	Explain	Explain
List	Estimate	Employ	Diagram	Devise	Debate	Design	Interpret	Design	Interpret	Interpret	Interpret
Match	Explain	Illustrate	Diagram	Devise	Diagram	Develop	Justify	Develop	Justify	Justify	Justify
Memorize	Express	Interpret	Differentiate	Devise	Differentiate	Devise	Measure	Devise	Measure	Measure	Measure
Name	Extend	Manipulate	Discriminate	Explain	Discriminate	Explain	Predict	Explain	Predict	Predict	Predict
Order	Generalized	Modify	Distinguish	Formulate	Distinguish	Formulate	Rate	Formulate	Rate	Rate	Rate
Outline	Give Example(s)	Operate	Examine	Generate	Examine	Generate		Generate			
Recognize	Identify	Practice	Experiment	manage	Experiment	manage		manage			
Relate	Indicate	Predict	Identify	Organize	Identify	Organize		Organize			
Recall	Infer	Prepare	Illustrate	Plan	Illustrate	Plan		Plan			

<b>Knowledge</b>	<b>Comprehension</b>	<b>Application</b>	<b>Analysis</b>	<b>Synthesis</b>	<b>Evaluation</b>
Record	Locate	Produce	Infer	Prepare	Revise
Repeat	Paraphrase	Relate	Inspect	Rearrange	Score
Reproduce	Predict	Schedule	Inventory	Reconstruct	Select
Select	Recognize	Show	Model	Relate	Support
State	Restate	Sketch	Outline	Reorganize	value
Tell	Rewrite	Solve	Point out	Revise	
Underline	Review	Use	Question	Rewrite	
	Select	Write	Relate	Set up	
	Summarize		Select	Summarize	
	Tell		Separate	Synthesize	
	Translate			Tell	
				Write	

Lower Order Thinking Skills		Analyzing		Evaluating	Creating
		Applying	Breaking concept into part, determining how the parts relate to one another or to an overall structure or purpose.	Making judgments based on criteria and standards through checking and critiquing	Putting the elements together to form a coherent or functional whole
Remembering	Understanding	Carrying out or using a procedure through executing or implementing.		Appraise	Adapt
Retrieving, recalling or recognizing knowledge from memory.	Constructing meaning from different types of function be they written or graphic	Act	Advertise	Argue	Anticipate
Arrange	Ask	Administer	Analyze	Assess	Arrange
Define	Associate	Articulate	Appraise	Choose	Assemble
Describe	Cite	Apply	Breakdown	Compare	Categorize
Duplicate	Classify	Calculate	Calculate	Conclude	Collaborate
Identify	Compare	Chart	Categorize	Contrast	Collect
Locate	Convert	Collect	Classify	Convince	Combine
Label	Defend	Compute	Compare	Critique	Comply
List	Describe	Change	Conclude	Critique	Compose
Match	Discuss	Choose	Connect	Debate	Construct
Memorize	Distinguish	Complete	Contrast	Decide	Create
Name	Demonstrate	Construct	Correlate	Defend	Design
Order	Discover	Demonstrate	Criticize	Describe	Develop
Outline	Differentiate	Discover	Debate	Discriminate	Devise
Quote	Estimate	Dramatize	Deduce	Distinguish	Explain
Recognize	Explain	Develop	Editorialize	Express	Express
Relate	Express	Establish	Devise	Estimate	Facilitate
Recall	Extend	Examine	Diagram	Evaluate	Formulate
		Explain	Differentiate	Explain	Generate
			Discriminate	Find errors	Imagine

Record	Give Example(s)	Employ	Distinguish	Grade	Infer
Repeat	Group	Illustrate	Dissect	Interpret	Intervene
Reproduce	Identify	Interpret	Divide	Judge	Justify
Select	Indicate	Judge	Estimate	Justify	Make
State	Infer	List	Evaluate	Measure	Manage
Tell	Illustrate	Manipulate	Examine	Order	Negotiate
Underline	Judge	Modify	Experiment	Persuade	Organize
Visualize	Paraphrase	Operate	Explain	Predict	Originate
	Predict	Practice	Focus	Rank	Plan
	Recognize	Predict	Identify	Rate	Prepare
	Restate	Prepare	Illustrate	Recommend	Propose
	Rewrite	Produce	Infer	Reframe	Rearrange
	Review	Relate	Inspect	Revise	Reconstruct
	Select	Record	Inventory	Score	Relate
	Summarize	Simulate	Model	Select	Reorganize
	Show	Schedule	Order	Support	Revise
	Tell	Show	Organize	value	Rewrite
	Translate	Sketch	Outline	Rewrite	Schematize
	Trace	Solve	Plan	Set up	Set up
	Transform	Teach	Point out	Summarize	Simulate
		Transfer	Prioritize	Synthesize	Solve
		Utilize	Question	Tell	Speculate
		Use	Relate	Value	Structure
		Write	Select	Weight	Support
			Separate	Write	Summarize
			Subdivide		Synthesize
			Survey		Test
			Test		Tell
					Validate

### Appendix C. Student Learning Outcomes Matrix (Phase I)

Learning Objective Name	Student Learning Outcomes	Means of Assessment				Capstone & Other Associated Courses	
Competency	Describe what the student will KNOW, be able to DO, and VALUE as a result of matriculation	Assessment Tool(s)	Assessment Method	Criteria (Benchmark Measures)	Assessment Period	Related Course No. & Title	Type of Relationship
Includes general competency areas that are program specific.	All outcomes MUST be Program Specific & Measurable	I.e. Student Portfolio, Project, Exams, Survey, Internship, Practicum, Thesis/Dissertation, etc. (At least 1 Direct Means of Assessment Must be Used.)	How will students' accomplishments or success be determined? ( Use of a Rubric or Matrix to assess specific knowledge gained or skill attainment)	What will be the benchmark indicators of student success? And how many students are expected to achieve this goal?	When will assessment of this learning outcome take place? (E.g. Annually; each semester; each spring, etc.) All academic units are required to assess student performance annually at a minimum)	Identify the *capstone course and All other courses where related subject matter is covered	Identify whether subject matter is Introduced (I), Reinforced (R), and/or Assessed (A) in the courses listed

\*Capstone Courses/Assignments/Exams (Culminating courses, assignment or exam where content from multiple or all areas are evaluated) should be bolded.

## Appendix D. Student Learning Outcomes Matrix (Phase II)

Learning Objective	Student Learning Outcomes	Means of Assessment	Results	Use of Results	Action Plan for Improvement
<i>Competency</i>	<i>Describe what the student will KNOW, be able to DO, and VALUE as a result of matriculation</i>	<i>Assessment Tool(s); Method; Criteria for success</i>	<i>Actual Results based on student performances</i>	<i>Indicate what will be done with the information attained</i>	<i>When necessary, indicate the actions/steps that will be taken to bring about the needed improvements</i>
<i>(See Phase 1)</i>			<i>Percentage of students that achieved the passing score. (DO Not Use Grades) Was the Criteria Met? Additional related findings can also be included.</i>	<i>Indicate how this information will be used to make changes to improve your program</i>	<i>When the criterion is NOT MET an action plan for improvement must be established. (Action plans can also be developed when the criterion is met) The results in this plan should be reflected in the next year's assessment report to validate your continuous improvement efforts</i>

**\*\*\*The use of results/action plan from this year should be reflected in the next year's assessment report to validate your continuous improvement efforts\*\*\***

## Appendix E. Sample Rubric

		<b>PRESENTATION SKILLS RUBRIC</b>				
		<b>EXCELLENT 4</b>	<b>GOOD 3</b>	<b>FAIR 2</b>	<b>NEEDS WORK 1</b>	
The outcome (Knowledge/Skill) being assessed	Characteristics to be assessed for a given learning outcome	<b>Organization</b>	Student presents information in logical, interesting sequence which audience can follow.	Student presents information in logical sequence which audience can follow.	Audience has difficulty following presentation because Student jumps around.	Audience cannot understand presentation because there is no sequence of information.
		<b>Subject Knowledge</b>	Student demonstrates full knowledge (more than required) by answering all questions with explanations and elaboration.	Student is at ease with expected answers to all questions, but fails to elaborate.	Student is uncomfortable with information and is able to answer only rudimentary questions.	Student does not have grasp of information; Student cannot answer questions about subject.
		<b>Mechanics</b>	Presentation has no misspellings or grammatical errors.	Presentation has no more than two misspellings and/or grammatical errors.	Presentation has three misspellings and/or grammatical errors.	Student's presentation has four or more spelling errors and/or grammatical errors.
		<b>Presence</b>	Student maintains eye contact with audience, seldom returning to notes.	Student maintains eye contact most of the time but frequently returns to notes.	Student occasionally uses eye contact, but still reads most of report.	Student reads all of report with no eye contact.
		<b>Elocution</b>	Student uses a clear voice and correct, precise pronunciation of terms so that all audience members can hear presentation.	Student's voice is clear. Student pronounces most words correctly. Most audience members can hear presentation.	Student's voice is low. Student incorrectly pronounces terms. Audience members have difficulty hearing presentation.	Student mumbles, incorrectly pronounces terms, and speaks too quietly for all audience members to hear.

A clear description of the different **levels of achievement** for each characteristic (Description of the type of performance that would earn the indicated score)

## **Appendix I. Section 2.13 of the Faculty Handbook**

### **2.13 Academic Program Reviews**

In coordination with the Assistant Vice President for the Office of Planning, Accreditation, and Institutional Research (OPAR), the Provost and Vice President for Academic Affairs is responsible for scheduling and conducting Academic Program Reviews (APRs). Each APR evaluates the quality, productivity, competitiveness, and the role of each academic unit and degree program in support of the University's mission, vision, and strategic academic initiatives. Academic Program Reviews encourage self-study and planning within Academic Departments and Centers to ensure comparability among review reports, and strengthen the linkages connecting the planning agendas and practices of these units with those of their schools and the University. Academic Program Reviews form a basis for informed budgetary decisions at every level of administration.

Normally, the Provost and Vice President for Academic Affairs will schedule Academic Program Reviews at five (5) year intervals. However, in exceptional cases, the Provost and Vice President for Academic Affairs may accelerate Academic Program Review schedules. Whenever possible, the Provost and Vice President for Academic Affairs will schedule Academic Program Reviews in conjunction with accreditation or other mandated reviews. The Provost and Vice President for Academic Affairs may request recommendations from the Academic Council regarding academic departments and degree programs for review. The Assistant Vice President for the Office of Planning, Assessment, and Institutional Research (OPAR) coordinates all Academic Program Reviews with the academic units scheduled for review and with the Internal Review Teams to ensure that the process will be efficient, effective, and unbiased.

In consultation with School Deans, Department Chairs, and the faculty of the academic units under review, the Provost and Vice President for Academic Affairs appoints three to five faculty to each Internal Review Team (IRT). One or two members appointed to each IRT will be from the academic unit under review. The remaining IRT members must be from outside of the academic unit and degree programs under review. The Provost and Vice President for Academic Affairs appoint the Chairpersons of the Internal Review Teams, who must not be members of the academic units under review.

# **SECTION 8**

## *Glossary of Terms*

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This section provides a glossary of terms germane to the institution and its IE process

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## SECTION 8

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### *Glossary of Terms*

<b>Administrative Objectives</b>	Specific statements based on the unit/department functions that identify desired quality of key services or what the service should promote. Administrative objectives can be defined as learning outcomes statements, process statements, or satisfaction statements.
<b>Annual Assessment Report</b>	A report submitted annually by academic programs or administrative and educational support (AES) units, based on its annual assessment plan, that outlines the results of their assessment activities, the implication of the results, and how the results will be used to improve student learning and/or the environment that supports student learning.
<b>Annual/Operational Plan</b>	A process that provides a basis for implementing targeted portions of the Strategic Plan and identifies specific results to be achieved within a given time period along with identification of the specific actions and resources required to achieve these results.
<b>Assessment</b>	A systemic and ongoing process of systematically and regularly collecting, reviewing, and utilizing data to improve educational and academic support and administrative programs and services to enhance student learning, growth, and development.
<b>Assessment Method</b>	Indicates how the assessment tool will be used to provide useful information regarding the achievement of expected results or levels of performance.
<b>Assessment Tool</b>	An instrument that has been designed to collect objective data about students' knowledge and skill acquisition or to collect data about key services or what the service should promote.
<b>Baseline Data</b>	Initial collection of data which serves as a basis for comparison with the subsequently acquired data.
<b>Benchmark</b>	A standard or point of reference against which things may be compared or assessed.
<b>Budget-based Planning</b>	The allocation of institutional resources based on operational planning and annual assessment processes.

<b>Closing-the-Loop</b>	Final phase in the assessment plan whereby actions to improve the academic program are implemented. The impact of the changes made should then be evaluated and reported in the next assessment cycle.
<b>Completion/Graduation</b>	The outcome of how many students within a cohort complete and/or graduate from an institution. This is typically measured in two or three years for associate level programs and four, five, or six years for bachelor level programs.
<b>Cost Analysis</b>	The process of developing and analyzing cost data from separate business elements and estimating incremental and total resources needed to support current and future business strategies. A decision-making tool used to evaluate and prioritize resource needs at based on cost estimates and their expected return on investment.
<b>Criteria for Success</b>	A benchmark or target that serves as an indicator for the expected or overall levels of accomplishment.
<b>Comparisons</b>	Process whereby data is collected on two or more sources and analyzed using such parametric measures as the difference between means and analysis of variance or covariance. Non-parametric measures include Chi-square and log-linear analysis.
<b>Curriculum Map</b>	A matrix used to indicate where or which courses in the curriculum students are provided opportunities to master the student learning outcomes.
<b>Data Collection</b>	Process that includes database searches; written, telephonic or electronic surveys and literature searches. Data are usually analyzed by raw numbers, percentages or percentiles and presented in tables, charts and graphs.
<b>Direct Assessment</b>	Assessment that directly measures student achievement of the expected outcomes, or the achievement of an expected objective outcome.
<b>Enrollment Management</b>	Institutional Research and Planning function that examines and seeks to manage the flow of students to, through and from college.
<b>Environmental Scanning</b>	Process that entails collecting and analyzing data from news sources, periodicals, presentations, and speeches for projections, futurists' forecasts, new products, and methods. This information is then summarized in an abstract discussing how this affects the institution.
<b>Federal Requirements (FR)</b>	Federal statutes that includes mandates that the Commission review an institution in accordance with criteria outlined in the

federal regulations developed by the U.S. Department of Education. (*Resource Manual for the Principles of Accreditation: Foundations for Quality Enhancement, page 39*)

<b>Formative Assessment</b>	Refers to assessment that is specifically intended to generate in-process feedback on performance to improve student learning and/or provide data to improve the environment that supports student learning. Formative assessment is ongoing.
<b>Goal</b>	A statement about general aims or purposes that are broad, long-range intended outcomes.
<b>Indirect Assessment</b>	The measurement of variables that assume student learning such as retention/persistence, transfer and graduation rates, and surveys.
<b>Institutional Effectiveness Process (IEP)</b>	Effective and recursive institutional process that is comprehensive, systematic, and continuous. The IEP consists of the following components: strategic and operational planning and resource projections; operational planning and budgeting; assessment and monitoring including periodic reviews; and results and data driven actions to improve programs and services.
<b>Mission Statement</b>	A brief statement that identifies the major purpose of the department or unit. This statement describes who you are, what you do, and for whom you do it.
<b>Periodic Review</b>	Comprehensive review of the quality and effectiveness of a program or unit/department conducted on a five (5) year cycle.
<b>Phase I</b>	The Planning Phase or first phase of the annual planning and assessment cycle which involves defining expected Student Learning Outcomes/Objectives, and identifying the appropriate means of assessing each learning outcome/objective.
<b>Phase II</b>	The Assessment Phase or second phase of the annual planning and assessment cycle which involves data collection, analysis, interpreting and communicating the results and applying the findings for improvement.
<b>Results</b>	A consequence or effect of the student learning outcomes and/or annual administrative objectives outlined in an assessment plan.
<b>Results Management/Evaluation</b>	Results Management/Evaluation compares performance with the plan (strategic and operational) and ensures the achievement of results.

<b>Retention</b>	The outcome of how many students remained enrolled from fall to fall. This number is typically derived from first-time, full time traditional day students, but can be applied to any defined cohort. The retention rate is the percentage of a given cohort that enrolled at the institution the following fall. Retention rates may be reported over subsequent years (e.g., those in the fall 2012 cohort who returned in fall 2013, in fall 2014 and in fall 2015).
<b>Rubric or Rubric Assessment</b>	A criteria-based assessment tool used to measure and communicate the quality of students' work or performances by comparing actual performance to expected performance standards.
<b>SACSCOC</b>	Southern Association of Colleges and Schools Commission on Colleges is the regional body for the accreditation of degree-granting higher education institutions in the Southern states.
<b>Salary Analysis</b>	Method wherein salaries are correlated with such variables as rank, employment time, sex, race and age. Discriminant analysis or regression analysis is used to identify outliers which do not fit the general curve.
<b>Strategic Plan</b>	A document describing the components of planning used to ascertain that the mission and goals of the University are accomplished and to establish its future direction. It is the centerpiece of institutional effectiveness activities and serves as a foundation upon which planning, assessment, and budgetary initiatives are built to improve programs, support services, and operations in all areas of the University.
<b>Strategic Planning Cycle</b>	An ongoing, cyclical process of gathering, analyzing, and using data to ascertain how well we are accomplishing our institutional mission, vision, goals, objectives and outcomes for the purpose of improving student learning, academic programs, administrative effectiveness, and institutional planning.
<b>Student Learning Outcomes (SLO)</b>	Statements that specify what students will know, be able to do/demonstrate, and think or value, as a result of their matriculation. SLOs are usually expressed as knowledge, skills, and dispositions (attitudes or values).
<b>Student Persistence Rate</b>	Measures headcount enrollment of any cohort (includes first years, sophomores, juniors, and seniors) and compared to its headcount on its initial official census date. The goal is to measure the number of students who persist, term to term and to completion. Persistence

refers to the act of continuing towards an educational goal (e.g. earning a bachelor's degree).

**Student Progression Rate**

The rate at which a cohort participates in any activity that an institution has determined to be correlated with persistence. Common measures are course completion rates, success rates of students on academic probation, and/or comparisons of academic credit hours attempted versus academic credit hours earned. Progression ensures that students demonstrate the skills and competencies needed to complete their academic program and continue successfully towards completion.

**Summative Assessment**

Refers to assessment that is used to evaluate student learning or the environment supporting student learning at the conclusion of a defined assessment period.

**Trend Analysis**

Data is collected over a series of time periods and analyzed by regression methods to determine if a curve can be fitted for projection purposes.

**Triangulation**

A technique that facilitates validation of data through cross verification from two or more sources. In particular, it refers to the application and combination of several research methodologies in the study of the same phenomenon.

**Administrative Cabinet**

A selected group of individuals who provide oversight on the implementation of the strategic and annual assessment plans and works with faculty and staff on Periodic Program Reviews, evaluation tools and ultimate assessment of the institutional effectiveness plan.

**Use of Results**

A succinct description of the dissemination of the results or documentation of how the data will be used by faculty and administrators to make decisions.

**Validity**

The degree to which an assessment measures what is intended.

**Vision Statement**

A concise, future oriented statement that paints a picture of where the department or unit aims to be.