

Format Guidelines for Institutional Effectiveness Reports and Resource Requests

for reports submitted during the 2007-2008 academic year

OVERVIEW

Institutional Effectiveness Reports and Resource Requests are commonly referred to as *IE Reports*. IE Reports for each department, college, and support unit are submitted annually to the appropriate administrator (dean, assistant or associate vice president, vice president). The IE Reports document the results of assessment and planning activities as they apply to the *IE Plan* for the unit. The IE Plan for a unit is comprised of the goals and objectives the unit seeks to achieve, and the assessment measures used to evaluate progress towards those goals and objectives. All unit goals should match the goals of the university's *Strategic Plan*. Therefore IE Reports not only document progress toward achieving unit goals, but collectively document progress toward achieving the university goals as enumerated in the Strategic Plan. IE Reports state each unit's intentions to continue current actions or to implement new objectives, strategies, or assessment measures. New budgetary needs to support unit objectives are itemized in IE Reports. The reporting schedule is outlined in Table 1. All reports are submitted electronically.

Table 1. Submission due dates and routing for annual Institutional Effectiveness Report and Resource Request.

	Due Date	Submit to*
Academic Departments	Nov 1, 2007	Dean and CAP
Support or Service Units	Nov 1, 2007	AVP and CAP
Colleges	Dec 14, 2007	Provost and CAP
AVPs	Dec 14, 2007	Vice President and CAP
Vice Presidents	Jan 15, 2008	President and CAP

*Send reports to CAP via email: duane.gardiner@tamuk.edu.

The IE Report contains six sections. Time periods covered in the various sections of the IE Report are illustrated in Table 2. General contents of the six sections are listed below.

- I. The *Executive Summary* is a brief synopsis of accomplishments and planning activities for Academic Year (AY) 2006-2007 (September 1, 2006 through August 31, 2007).
- II. The *Resource Requests* are prioritized listings of specific *near-term resource requests* for AY 2008-2009 and *long-term resource requests* for AY 2009-2010 and 2010-2011.
- III. The *Assessment of the Institutional Effectiveness Plan* includes the IE Plan in effect for AY 2006-2007 and the results thereof.

- IV. The *Revised Institutional Effectiveness Plan* outlines goals, objectives, and assessment measures instituted for AY 2008-2009.
- V. The *Summary of Department-Level Student Learner Outcome Assessment Measures* is applicable to units having direct responsibility for learner outcomes. This summary is simply extracted from the Assessment of the IE Plan and therefore covers the same time period as the Assessment of the IE Plan (AY 2006-2007).
- VI. The *Program-Level Student Learning Outcomes (SLOs)*, for academic departments only, is a listing of intended student learning outcomes, and the results thereof, for each academic program offered by the department, covering AY 2006-2007.

Table 2. Academic year covered in various sections of the current Institutional Effectiveness Report and Resource Request.

Academic Year	Executive Summary	Near-term Resource Requests	Long-term Resource Requests	Assessment of IE Plan	Revised IE Plan	Summary of SLOs & Program-Level SLOs
2006-2007 (1 Sep 06–31 Aug 07)	X			X		X
2007-2008 (1 Sep 07–31 Aug 08)	This year is not covered in the current document. During this year each unit submits the Institutional Effectiveness Report and Resource Request.					
2008-2009 (1 Sep 08–31 Aug 09)		X			X	
2009-2010 (1 Sep 09–31 Aug 10)			X			
2010-2011 (1 Sep 10–31 Aug 11)			X			

CHANGES THIS YEAR

1. All Goals assessed in *Section III* of IE Reports, and all Goals stated in the Revised IE Plan (*Section IV*) must be chosen from the five university Goals identified in the Strategic Plan. Units should select any of the university-level Goals deemed to be appropriate to the purpose and function of the individual unit, omitting any university-level Goals that do not apply to the unit. Objectives should be configured to fit within the Goals selected from among the five university-level Goals. The five university Goals as stated in the Strategic Plan are as follows.

Goal 1: Broaden the base of productive and educated citizens.

Goal 2: Enhance student learning through civic, professional and research engagement.

Goal 3: Support the development and maintenance of nationally prominent undergraduate, graduate and professional programs.

Goal 4: Promote the development of scholarly, research and creative activities that are

nationally recognized.

Goal 5: Provide a learner-centered environment in which the contributions of students, faculty and staff are valued.

2. As unit Objectives are now aligned with University Goals, the linkage of unit Objectives to the University Mission is implicit. Therefore, omit the previously required section that linked unit Objectives to the University Mission.

3. To provide necessary data for assessing progress towards the Goals of the University Strategic Plan, specific data related to grants, research, and scholarly or creative work is now required. All academic departments and colleges, and those support units that engage in scholarly or creative activities, are now required to report the results of prescribed assessment measures as illustrated in EXAMPLE: REPORTING GRANTS, RESEARCH AND SCHOLARLY/CREATIVE WORK.

EXAMPLE: REPORTING GRANTS, RESEARCH AND SCHOLARLY/CREATIVE WORK.

III. ASSESSMENT OF INSTITUTIONAL EFFECTIVENESS PLAN 2006-2007

Goal 4: Promote the development of scholarly, research and creative endeavors that are nationally recognized. (This Goal is now Goal 4 for every unit for which it is applicable.)

Objective 4.1: Expand research funding and participation among faculty. (The language used in this sample Objective is offered as an example only; each unit defines its own Objectives as deemed appropriate for its purposes and disciplines.)

Assessment Measure

Total research expenditures compared to previous year

Assessment Cycle

Annual

Assessment Result

Research expenditures increased from \$2,000,000 in 05-06 to \$2,300,000 in 06-07

(In addition to research expenditures, Assessment Results are required for the following additional Assessment Measures.)

- Number of successful research grants or contracts
- Number of faculty receiving research grants or contracts
- Funds awarded through research grants or contracts
- Total expenditures for creative works other than research
- Number of successful non-research grants or contracts
- Number of faculty receiving non-research grants or contracts
- Funds awarded through non-research grants or contracts
- Number of refereed articles published
- Number of research publications other than refereed articles
- Number of other scholarly or creative works published, performed or exhibited
- Number of faculty publishing research
- Number of faculty publishing, performing or exhibiting other scholarly or creative works
- Number of professional recognitions awarded to faculty members

DESCRIPTION of INDIVIDUAL SECTIONS

I. Executive Summary

The Executive Summary should briefly highlight: (1) significant accomplishments/outcomes/results of the unit for AY 2006-2007; (2) changes/improvements/plans implemented during 2005-2006 from the assessment results of previous years; and (3) plans for improvement to be implemented (if so indicated) during subsequent years, based on assessment results collected during AY 2005-2006. This third component is crucial for demonstrating that the unit has assessed performance and responded to the results of assessment measures, thereby closing the loop in the evaluation/planning process. Two examples of Executive Summaries are provided.

EXAMPLE: EXECUTIVE SUMMARY FOR NON-ACADEMIC UNIT

EXECUTIVE SUMMARY

2006-2007

1. **Significant Accomplishments/Outcomes/Results for AY 2006-2007.** (1) Eighty-five percent of students who participated in career fairs rated them as “good” to “excellent” (2) The renovation of the second floor of the Student Union Building was successfully completed.
2. **Changes/Improvements/Plans in AY 2006-2007 that Resulted from Assessment Results of Previous Years.** (1) After assessing comments from students, the hours for the career fairs were increased from four to six. (2) As a result of better communication (brochure and parent newsletter), parent attendance at Hoggie Days increased by 50% in the summer of 2007.
3. **Plans for improvement in Subsequent Years based on assessment results of AY 2006-2007.** Student attendance at Hoggie Days declined by 15% in 2007. Student workers in the recruitment program will be instructed to inform prospective students about Hoggie Days and to urge them to attend. Workers will be paid an incentive based on the number of students contacted who attend.

EXAMPLE: EXECUTIVE SUMMARY FOR ACADEMIC DEPARTMENT OR COLLEGE

EXECUTIVE SUMMARY

2006-2007

1. **Significant Accomplishments/Outcomes/Results for Academic Year 2006-2007.** (1) Three faculty members received grants from federal agencies; (2) Students achieved a pass rate of 90% on licensure exam. (3) Retention rates for first-time freshmen increased from 55 to 60%.
2. **Changes/Improvements/Plans for Academic Years 2006-2007 Resulting from Assessment Outcomes from Previous Years.** (1) First-time freshmen retention rates increased from 55% in 2005 to 60% in 2006 as a result of high participation in our mentoring program. (2) Grant-writing workshops helped to improve grants success for 2006; (3) Recruiting outreach efforts by faculty and graduate students appears to have help enrollment increase 5% in fall of 2006.
3. **Plans for improvement in Subsequent Years based on assessment results of Academic Year 2006-2007.** Results from the Educational Testing Service Field Exam show low performance in the area of Hyperspace Dynamics. As a result, the department will now require Hyperspace Dynamics (ASTR 4302, currently listed as an elective) as part of the required curriculum.

II. Resource Requests

The Resource Request tables begin on a new page after the Executive Summary. Resource Requests pertain only to new budgetary needs, over and above the recurring unit budgets. The first table provides a summary of near-term (immediate) budgetary requests for AY 2008-2009. The second table provides a summary of long-term budgetary requests for the subsequent two academic years (2009-2010 and 2010-2011). The listed order of requested items will reflect their overall and within-category priority (see examples). The Resource Request tables should contain the following items:

1. **Request:** The Request identifies the specific item requested. Examples might include additional operating funds, a new photocopier, etc.
2. **Category:** Requests are *Personnel*, *Operating*, or *Equipment*. Personnel costs are those associated with salaries. Operating costs include supplies, equipment rentals, maintenance contracts, travel, and other expenses associated with the day-to-day operation of the unit. Equipment costs are one-time expenditures for new equipment purchases.
3. **Justification:** The Justification is a brief explanation of why you need the requested budget increase. The Justification must be related to an Assessment Result from the Assessment of the IE Plan or to an Objective from the Revised IE Plan.
4. **Cost:** The dollar cost should be listed for each request. In both the Near-term and the Long-term Resource Request tables, specify whether the cost of each requested item is one-time or recurring. Also note the initial date for which the item is requested.

EXAMPLE: NEAR-TERM RESOURCE REQUESTS						
Near-Term Resource Requests, AY 2008-2009, Department of Astrophysics.						
Priority	Request	Category	Justification	Cost (\$)	One-time, or recurring?	When needed?
1	Additional office staff	Personnel	Assessment Result for Objective 3.3 indicates increased workload in the office.	\$20,000 + benefits	Recurring	Fall 2008
2	New wide-carriage printer	Equipment	Revised Objective 2.1 requires more presentations, many of which will be posters.	\$2,500	one-time	ASAP
3	LCD projector	Equipment	Assessment Result for Objective 1.4 shows need to deliver lectures using PowerPoint.	\$2,000	one-time	Fall 2008

EXAMPLE: LONG-TERM RESOURCE REQUESTS						
Long-term Resource Requests, AY 2009-2010 and 2010-2011, Department of Astrophysics.						
Priority	Request	Category	Justification	Cost (\$)	One-time, or recurring?	When needed?
1	New faculty: assistant professor	Personnel	Assessment Result for Objective 3.2 on enrollment shows that average class sizes exceed the target by 50% for the last three years	\$35,000 + benefits	recurring	Spring 2010
2	Two new computers	Equipment	Assessment Result for Objective 4.1 indicates that 2 faculty have computers older than 4 years	\$3,000	one-time	Fall 2009
3	Photocopier	Operating	Poor copy quality and frequent breakdowns of existing copier affected Assessment Result for Objective 2.6	\$6,000 rental	recurring	When prior contract expires in January 2010
4	Laboratory technician	Personnel	Negative Assessment Result for Objective 1.1 supports this need	\$14,000 + benefits	recurring	Fall 2010

In the above example of long-term resource requests, the department's highest overall priority is the new faculty position and the second most important budgetary item is the acquisition of new computers. However within equipment needs, acquiring computers is top priority. This may be important if funds are available for equipment but not for personnel. Conversely, both the new faculty and the laboratory technician might be funded if there are no equipment funds but monies for personnel are available. Thus, items should be listed in order of their overall importance.

III. Assessment of the Institutional Effectiveness Plan

The Assessment of the IE Plan should include in a taxonomic structure: (1) statement and number of Goal; (2) statement and number of Objective; (3) statement of the Assessment Measure; (4) description of Assessment Cycle; (5) report of Assessment Result; and (6) Narrative.

1. **Goal:** A goal is a general statement that describes a general end toward which the unit directs its efforts. Goals are numbered sequentially and coincide with the university-level Goals, omitting any that are deemed inappropriate for the unit. If, for example, a unit chooses not to assess Goal 2, the report could note "Not Applicable" under the Goal 2 heading, and then proceed to Goal 3.

2. **Objective:** Objectives are quantifiable targets that describe actions that lead to meeting the Goal. Objectives are measurable steps that should be indicators of your successful attainment of the Goal. Most Goals will have more than one Objective. The first numeral assigned to an Objective ties the Objective to the Goal; the second numeral uniquely identifies the Objective. For example, Objective 2.3 refers to the third Objective of Goal 2.

Those Objectives that are *expected learner outcomes* should be identified by inserting “(learner outcome)” before the Objective number as in the example on the following page.

3. **Assessment Measure:** Assessment Measures tell what you are willing to accept as an indicator of successful achievement of the Objective. It provides a benchmark against which the success of achieving the Objective is evaluated. Objectives should be written as quantifiable statements. The Assessment Measure describes a value that allows you to determine the degree to which you are meeting the Objective. Each Objective must have at least one Assessment Measure. Many ways to measure a given Objective may be available; and Objectives should generally be assessed by more than one Assessment Measure. Assessment Measures need not be numbered.

For the Assessment Measure to be useful in planning, a benchmark should be built into the measure. For example, to say that students will “do well on the ETS field test” does not indicate how you expect them to perform. Stating that 75% of students will score above the 70th percentile provides a quantifiable benchmark against which progress at achieving the objective can be monitored. Thus, after applying the Assessment Measure, you know whether or not you met the Objective.

4. **Assessment Cycle:** The Assessment Cycle refers to when or how frequently data are collected for the Assessment Measure. In some cases data may be collected each semester. In other cases data may only be available every few years.
5. **Assessment Result:** The Assessment Result is the outcome of the Assessment Measure. There should be an Assessment Result for each Assessment Measure. Graphs, charts, and/or tables may be used, as appropriate. Assessment Results need not be numbered.
6. **Narrative:** The Narrative may interpret and provide context for Objectives or Results. Special circumstances may affect the interpretation of the data. For example, an Objective might be so new that data are unavailable. Alternatively, this report may not be coincident with the Assessment Cycle. Where appropriate, suggest actions or planning changes that will lead to successful achievement of the Objective. Also, budgetary implications for the planning recommendations could be noted here.

An example portion of an Assessment of IE Plan is provided below. Note that Objective 3.1 is identified as “(learner outcome)” but Objective 4.1 is not.

EXAMPLE: ASSESSMENT OF IE PLAN FOR ACADEMIC DEPARTMENT

III. ASSESSMENT OF INSTITUTIONAL EFFECTIVENESS PLAN 2006-2007

Goal 3: Support the development and maintenance of nationally prominent undergraduate, graduate and professional programs.

Objective (learner outcome) 3.1: Students will demonstrate mastery of the astrophysics curriculum.

Assessment Measure: 75% of seniors who take the Educational Testing Service Field Exam in astrophysics will score above the 70th percentile nationally

Assessment Cycle: The exam is given each semester to all graduating seniors.

Assessment Result: 30 of 60 (50%) seniors who took the ETS test were below the 70th percentile.

Assessment Measure: 80% of freshmen will correctly identify and classify all bodies in the Solar System as specified in ASTR 1301.

Assessment Cycle: ASTR 1301 is offered each Fall Semester

Assessment Result: 68 of 80 (85%) of freshmen fulfilled this requirement.

Narrative: Freshmen performance was acceptable. Most of our seniors did poorly in Hyperspace Dynamics on the Field Exam. The department will require all students to take Hyperspace Dynamics (ASTR 4302) as part of the curriculum for the major.

Goal 4: Promote the development of scholarly, research and creative endeavors that are nationally recognized.

Objective 4.1: Faculty participation and performance in research and scholarly work will improve.

Assessment Measure: Number of faculty publishing research

Assessment Cycle: Annual

Assessment Result: Eight of nine faculty members published at least one research work.

Narrative: One faculty member suffered medical problems this year and was unable to complete his research work. Three faculty members published more than one research paper.

IV. Revised Institutional Effectiveness Plan

The *Revised IE Plan* section of the IE Report contains a brief listing of the unit's Goals, Objectives, and Assessment Measures that will be in effect for 2008-2009. Restructured unit Objectives, and Assessment Measures should also take into account Assessment Results from 2005-2006.

Report authors may find it useful to note whether Objectives or Assessment Measures are *new*, *revised*, or *continuing*. Note that the time period of the Revised IE Plan corresponds to the time period of the near-term Resource Requests. The example below illustrates portions of a Revised IE Plan.

EXAMPLE: REVISED IE PLAN FOR ACADEMIC DEPARTMENT

**REVISED INSTITUTIONAL EFFECTIVENESS PLAN
2008-2009**

Goal 3: Support the development and maintenance of nationally prominent undergraduate, graduate and professional programs.

Objective (learner outcome) 3.1: Students will demonstrate mastery of the astrophysics curriculum.

Assessment Measure (revised): 65% of seniors who take the Educational Testing Service Field Exam in astrophysics will score above the 70th percentile nationally.

Assessment Measure (revised): 85% of freshmen will correctly identify and classify all bodies in the solar system as specified in ASTR 1301.

Goal 4: Promote the development of scholarly, research and creative activities that are nationally recognized.

Objective 4.1: Faculty participation and performance in research and scholarly work will improve.

Assessment Measure (continuing): Number of faculty publishing research

V. Summary of Department-Level Learner Outcome Assessment Measures

This section of the IE Report is a table summarizing the methods used in learner-outcome assessment. Units with no direct responsibilities for learner outcomes may omit this section. The Objectives entered into this table will be those identified as "(learner outcome)" in the Assessment of the IE Plan for AY 20065-2007. For each such Objective the method(s) of assessment employed should be itemized. Assessment methods may include: pre- and post-tests, comprehensive exams, exit exams, national or other standardized exams, GRE subject tests, licensure exams, course-based subject mastery exams, writing-proficiency exams, performance assessments, audio/video tape assessments, portfolios, senior theses, major projects, capstone

courses, placement in graduate school, employment in field of study, employer satisfaction with graduates, student reflections on what they learned or on values and attitudes, honors awarded to students and graduates, student publications, student presentations, and other methods as deemed appropriate. An example of a portion of the Summary of Department-Level Learner Outcome Assessment Measures is provided below.

EXAMPLE: SUMMARY OF DEPARTMENT-LEVEL LEARNER OUTCOME ASSESSMENT MEASURES	
Department-Level Learner Outcome Assessment Measures, AY 2006-2007, Department of Astrophysics.	
Learner Outcome Objectives	Methods of Assessment
Objective 3.1: Students will demonstrate mastery of the astrophysics curriculum	National exam Course-based subject mastery exam
Objective 3.2: Graduates of the program will obtain employment in their fields of study	Employment data
Objective 3.3: Graduate students will actively participate in research and technology transfer	Student publications Student presentations

VI. Program-Level Student Learning Outcomes (SLOs)

Program-level SLOs are required from academic departments only. From these reports the university maintains program-by-award-level inventories consisting of the intended Student Learning Outcomes and the Results thereof for each undergraduate and graduate program within each academic department. Program-level SLOs should list the outcomes for each academic program for academic year 2006-2007. An excerpt from a program-level SLO report for one specific program is provided as an example. A separate table should be constructed for each degree program at each award level.

To avoid technical complications, report authors should submit all SLO tables as separate files rather than merge them into the IE Report document. Report authors should either use the standard Excel spreadsheet template, or construct a table in Word or WordPerfect containing all information in rows and columns as in the standard template. A sample SLO table in Word is attached below. The Excel spreadsheet template is available at <http://cap.tamuk.edu>.

EXAMPLE: PROGRAM-LEVEL STUDENT LEARNING OUTCOMES FOR ONE PROGRAM WITHIN A DEPARTMENT

Academic Year:	2006-2007					
Institutional Mission:	The mission of Texas A&M University-Kingsville is to develop well-rounded leaders and critical thinkers who can solve problems in an increasingly complex, dynamic and global society. Located in South Texas, the university is a teaching, research and service institution that provides access to higher education in an ethnically and culturally diverse region of the nation. Texas A&M-Kingsville offers an extensive array of baccalaureate and master's degree programs and selected doctoral and professional degrees in an academically challenging, learner-centered and caring environment where all employees contribute to student success.					
Degree(s) Awarded:	B.S. in Human Sciences					
Major:	Family and Consumer Sciences Education and General					
Specializations within this Major:	None					
Purpose of [major]:	The mission of the Human Sciences Department is to prepare graduates for careers that positively impact the lives of individuals, families, and communities.					
Common Objectives for Family and Consumer Sciences Majors		Student Learning Outcomes		Criteria/Measures	Support Data (Results) & Strengths & Weaknesses	Use of Results for CQI
1	Students communicate effectively	1.1	Students demonstrate English writing proficiency	All students will earn a B or better in ENGL 2314 prior to graduation	90% earned a B or better.	Review English requirements.
		1.2	Students demonstrate English speaking proficiency	All students will earn a passing grade in a communications course and in senior seminar final presentation	100 % earned a passing grade.	Continue to monitor
2	Students possess knowledge of family and consumer sciences	2.1	Students demonstrate comprehensive knowledge of family and consumer sciences (FCS)	Practicum/internship students will receive a qualified or highly qualified rating from their site supervisor.	etc.	etc.
		2.2	Students demonstrate interrelationship of FCS to human sciences profession	Students earn a B or better on integrative paper and presentation in Senior Seminar		
		2.3	Students illustrate skills acquired in FCS	Students earn a B or better on entry level portfolio updated in Senior Seminar		
3	Students are prepared for employment.	3.1	Students feel prepared for employment	In exit surveys 90% of graduates will express satisfaction with career preparation (≥5 on 7-point scale)		
		3.2	Students become employed	80% of graduates are employed either in their field or are in graduate school.		
		3.3	Students participate in student teaching	100% of graduates complete student teaching experience with evaluation score of 80 or better from mentor teacher.		
4	Students have knowledge of research, both applied and theoretical in their field.	4.1	Students examine research in their field and learn to abstract key points.	80% of students in Introduction of Human Sciences earn a B or better on their research abstracts.		
		4.2	Students demonstrate proficiency in using the American Psychological Association Publication Manual	80% of students in Senior Seminar will receive a B or better on their final paper. Students will be expected to consistently use the style manual on all of their papers throughout their degree program.		
		4.3	Students will write a research paper in at least two of their upper level classes.	80% of students will earn a B or better on their research papers.		
		4.4	Students present research	One student per major will present research at a local, state, or national meeting.		