



Institutional Effectiveness Plan and Guide

2020

Purpose: *The Institutional Effectiveness Plan and Guide outlines UCC's working definition of institutional effectiveness, related processes and procedures, and alignment with accreditation requirements of the Northwest Commission of Colleges and Universities. The Guide is intended for use by faculty, staff, and administrators across all campus operations.*

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1. Institutional Effectiveness Overview

1.1. Definition of Institutional Effectiveness

Institutional effectiveness is the systematic, inclusive process by which Umpqua Community College (UCC) engages in continuous improvement to accomplish its mission.

1.2. Components of Institutional Effectiveness

The three key components of institutional effectiveness are planning, resource allocation, and assessment. The processes associated with each component are guided by the accreditation requirements established by the Northwest Commission of Colleges and Universities (NWCCU).

1. **Planning:** Planning is a strategic process, driven by UCC's vision and mission, that provides long and short-term direction for the College. Informed by data, plans outline the strategic priorities, tactics, and actions necessary for UCC to accomplish its mission in the most effective manner, given its available and foreseeable revenues. Planning includes establishing measurable outputs, outcomes, and associated targets for success.
2. **Resource Allocation:** Resource allocation ensures that the College deploys its resources (people, money, space, technology, and equipment) necessary to effectively complete the College's planned actions, established strategic priorities, and goals. Resource allocation is driven by UCC's budget process, which distributes UCC's resources in accordance with strategic and operating needs while maintaining fiscal sustainability.
3. **Assessment:** Assessment processes provide data that enable UCC to evaluate the progress made against the measurable targets defined during planning. In turn, the College is able to measure accomplishment of the established mission, goals, strategic priorities, and student learning outcomes. The results identify areas for improvement, inform planning and decision-making, and allow the College to close the loop in a cycle of continuous improvement. Assessment takes place in both academic and support areas.

1.3. Accreditation

Institutional effectiveness is a requirement of accreditation. The institutional effectiveness processes at UCC are designed to comply with the 2020 NWCCU Eligibility Requirement #4:

NWCCU Eligibility Requirement #4: Institutional Effectiveness

The institution demonstrates and publishes evidence of effectiveness and uses ongoing and systematic evaluation and planning to refine its key processes and measures. Through these processes it regularly monitors its internal and external environments to determine how and to what degree changing circumstances may impact the institution and its ability to ensure its viability and sustainability.

Accreditation is affirmed on a seven-year cycle during which time the College demonstrates its ability to fulfill its mission, deliver quality education, and promote student achievement. Institutional effectiveness processes are necessary to fulfill accreditation requirements. As part of the accreditation cycle, UCC performs a self-evaluation of its institutional effectiveness to assess its mission fulfillment. All

processes in the Institutional Effectiveness Plan are designed to achieve the best possible outcomes, given UCC’s available resources, while supporting ongoing compliance with accreditation standards.

1.4. Alignment of Planning, Assessment, and Resource Allocation

Institutional effectiveness requires the aligned, iterative processes of planning, resource allocation, and assessment. Each process results in the production of related evidence, which supports continuous improvement and informs the next step in the institutional effectiveness cycle. An overview of UCC’s ongoing cycle of institutional effectiveness is depicted in the following diagram.

Institutional Effectiveness Processes



2. IE Committee Roles and Responsibilities

The Institutional Effectiveness Committee (IEC) is an integral component of the College’s overall approach to institutional effectiveness. The Committee monitors the systematic implementation of processes according to the Institutional Effectiveness Plan, UCC needs, and NWCCU accreditation requirements. IEC coordinates the IE cycle, oversees adherence to the timeline for gathering evidence, recommends processes and procedures for each IE component, assesses the IE cycle, and provides feedback for continuous improvement.

The IEC makes recommendations to the Senior Leadership Team (SLT – the College President’s direct reports). Membership in the IEC is based on roles, responsibilities, and interest. Standing *ex officio* members include the Director of Institutional Effectiveness, the Institutional Researcher, and the Budget Manager. Additional membership includes representative faculty, staff, administrators, and students from across major organizational areas of UCC who bring relevant expertise and/or an interest in institutional effectiveness processes.

All members of the campus community drive institutional effectiveness by participating in planning, resource allocation, and assessment processes or simply by carrying out their duties in each operational area. The evidence associated with each of these efforts is collected by leaders of offices, divisions, and departments in collaboration with faculty and staff and is reported out based on an established annual schedule.

Primary and supporting responsibility for institutional effectiveness processes and results is assigned to the following positions and groups, in consultation with the President and Provost when applicable:

IE Component	Primary & Supporting Oversight Responsibility
Planning	<ul style="list-style-type: none"> • IE Director (IED) <ul style="list-style-type: none"> ○ Strategic Planning Oversight Committee (SPOC)*
Resource Allocation	Office of Business Services
Assessment	<ul style="list-style-type: none"> • IED <ul style="list-style-type: none"> ○ Assessment and Curriculum Standards Committee (ACSC)*

***Committee membership:**

SPOC: Senior Leadership Team (SLT), Provost Council (PC), Academic Council (AC), and co-chairs of IEC

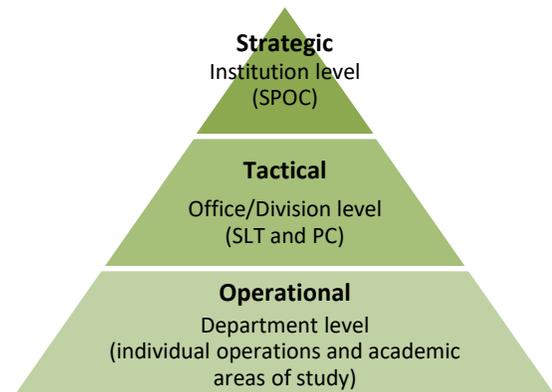
ACSC: Faculty members, Assistant Vice President of Academic Services, IED, and Provost

3. Institutional Effectiveness at UCC: Planning

3.1. Planning Processes at UCC

Overview and Purpose

Planning is the process by which the College uses data to determine goals and actions needed to achieve mission fulfillment. UCC engages in a three-level planning process – Strategic, Tactical, and Operational. This integrated process helps to align the work taking place in all areas of operation in order to drive continuous improvement.



The alignment of strategic, tactical, and operational plans allows each operational area to contribute to the accomplishment of College-wide goals and priorities. The results of each planning cycle (as determined by progress on defined targets) are used to inform the actions for the next cycle.

Components

Strategic Plan: The Strategic Plan consists of a set of strategic goals, objectives, and priorities, which define UCC’s direction through the duration of the plan. These goals and priorities are guided by the College’s mission, vision, and values; an analysis of external and internal environments; and current and emerging patterns, trends, and expectations. The plan reflects UCC’s commitment to meeting student and community needs and is developed through an inclusive process that elicits campus and community stakeholder opinions and contributions. Progress toward mission fulfillment and implementation of the strategic and tactical plans is measured against established institutional targets of success.

Tactical Plans: Tactical Plans are typically the responsibility of members of the SLT, who report to the President, and the PC, who report to the Provost. Each member of SLT and PC oversees a campus Office or Division. Tactical Plans include the initiatives that each area will undertake over two to four years to accomplish the Strategic Plan goals and operational imperatives. Tactics, initiatives, and projects are aligned with strategic plan priorities or supportive of the College’s mission and include measurable milestones, outcomes, and targets of success.

Operational Plans: Operational plans are completed by SLT and PC members and/or their direct reports. Operational plans relate to the actions that will be completed in specific operational areas and include the actions that each area will undertake during a single year in support of strategic priorities, tactical plan outcomes, or operational imperatives. Each project includes measurable actions, milestones, and associated targets of success.

3.2. Planning Timelines

Planning is a continuous activity that never stops. However, there are specific types of plans, as described below, that require documentation at established points in time.

Strategic Plans

Strategic planning occurs on a multi-year schedule. Plan implementation commences in September and is monitored throughout the year, engaging stakeholders on the campus and in the district.

September: Begin implementation of strategic plan for upcoming fiscal year

Monthly: Provide progress reports in SLT, PC, and IEC meetings

January: Review mid-year strategic plan implementation progress in SPOC meetings

June: Review annual strategic plan goal progress and analyze results in SPOC meetings

July: Confirm strategic goals and priorities for the subsequent fiscal year in IEC, SLT, and PC meetings

Tactical Plans

Tactical planning occurs on a two- to four-year schedule. Plan progress is reviewed annually as part of the Strategic Plan process. Plans are updated annually after the SPOC review and have two components: 1. Modifications of current fiscal year actions, based on progress in previous year; and 2. Plans for the subsequent fiscal year that are used to inform resource allocation. In order to align with the resource allocation process, specific elements of new or modified tactical plans are due by mid to late August for implementation in the subsequent year.

Operational Plans

Operational planning takes place each summer/early and is informed by strategic and tactical plans. Plans have two components: 1. Modifications of planned actions for the current fiscal year (planned actions were established prior to the previous year's resource allocation process and modifications are based on the end-of-year assessment of progress); and 2. Plans for the subsequent fiscal year that are used to inform resource allocation. Generally, in order to align with the resource allocation process, operational plans are due in late September/early October for implementation in the subsequent year.

3.3. Review and Oversight of Plans

The Director of IE, in collaboration with SPOC and IEC, is responsible for aggregating the plans and reviewing the Strategic, Tactical, and Operational Plans for appropriate alignment, established measures of success, and progress. SPOC meets semi-annually to review progress made on the goals, objectives, and priorities of the Strategic Plan. IEC meets semi-monthly to review planning, resource allocation, and assessment results; SLT is updated following each meeting.

3.4. Measurement of Effectiveness

Mid-year and end-of-year reviews of progress, analysis of results, and determination of next steps are made for the strategic, tactical, and operational plans by SPOC and IEC for the strategic plan; IEC, SLT, and PC for tactical and operational plans; and ACSC and IEC for academic operational plans. IEC reviews all processes on an ongoing basis to ensure integration of plans and the ability to collect needed data in

support of the plans. Processes for the multiple levels of planning are reviewed annually by IEC; results and recommendations are communicated to SLT.

3.5. Reporting

The following documentation provides information on the results of UCC's planning processes and progress toward goals.

- Mid-year Tactical Plan Assessment Reports (January) – submitted to IEC, SLT, and PC
- Mid-Year Strategic Plan Progress Report (February) – submitted to IEC, SLT, and the UCC Board of Education (BOE)
- Annual Strategic Plan Report (July/August) – submitted to IEC, SLT, and (in October) BOE
- Semi-annual SPOC meeting notes (February and July) – submitted to SPOC, IEC, and SLT
- IEC meeting notes – posted on IE webpage
- Periodic notifications regarding any modifications of institutional planning processes, strategic goals, or strategic priorities (at least once per term) – submitted to IEC, SLT, SPOC, PC, and/or ACSC, as appropriate

4. Institutional Effectiveness at UCC: Resource Allocation

4.1 Resource Allocation Processes at UCC

Overview and Purpose

Resource allocation ensures that the College aligns its resources (people, money, space, technology, and equipment) to achieve its mission in the most effective way possible. Resource allocation is embedded within the budget planning process at UCC and is driven by financial forecasts, budgetary projections, and allocation of available resources to achieve the College strategic goals and fulfill its mission.

Resource allocation is a budget-driven, plan-informed, iterative process that begins at the divisional/departmental level, moving to the IEC, SLT, Budget Committee, and ultimately the BOE. Requests for additional resources must be justified with specific reference to the College's established plans and priorities, program review outcomes, and/or compliance with external mandates (such as legislative, legal, or accreditation requirements). Throughout the process, there is discussion among and between approval levels until a balanced budget is achieved, considering all resources needed to address continuing operations and meet established strategic goals and priorities. In the event of a budget crisis, spending freezes and reductions may be implemented with priority to maintain attention on student success. Across-the-board actions are avoided to ensure adequate resources can be devoted to established plans and priorities. With BOE approval, draws on reserves may be used to minimize adverse impacts on operations.

Resource allocation processes are ongoing throughout the year to ensure that resources are allocated in the most effective manner. To track results of the resource allocation process, departments must demonstrate related outcomes through their assessments. Review of the resource allocation process allows the College to determine steps for improvement in order to better support UCC's ability to achieve its mission and goals.

Components

UCC's resource allocation process is comprised of five major components:

1. Members of SLT and PC serve as budget managers for their offices/divisions and have direct reports who serve as budget managers for departments that they supervise. Collectively, SLT and PC ensure that budget priorities are identified and are aligned with the strategic, tactical, and operational plans of the College.
2. SPOC identifies the strategic priorities of the College during an annual strategic planning workshop. SPOC recommends these priorities to the President and SLT for approval before budget planning begins.
3. IEC ensures that resource allocation and budget planning processes are followed; aligned with the strategic, tactical, and operational plans; implemented; and assessed.
4. The Budget Committee, required by Oregon state law, is the College's advisory committee that meets publicly at least once annually to receive the proposed budget, accept public comment, and approve the budget and property taxes. The Budget Committee membership consists of the seven members of the Board of Education and an appointed elector for each of the seven geographic zones represented by the Board.
5. The Board of Education is the governing body of the College responsible for adopting the budget document by June 30 of each fiscal year.

4.2 Resource Allocation Timelines

The budget planning process takes place during the same timeframes throughout each fiscal year.

- The budget process begins in the fall term when training on budget law, projections, and process is provided to the campus. In addition, strategic priorities established after the annual review of the Strategic Plan are shared with the campus.
- In winter term, the SLT finalizes the budget development and resource allocation processes that utilize predetermined key internal decisions and criteria; projected tuition and fees information is provided to students; and budget requests are reviewed for alignment with the strategic, tactical, and operational plans, compliance matters, and program assessment results.
- In spring term, a campus budget forum is held to update the campus; the Budget Committee meets; a public hearing is held; and the Board adopts the budget.
- During summer term, IEC collects evidence from departments/divisions/offices on utilization of the additional resources for strategic reporting and provides it to IEC and SLT for review; SLT reports results of the review to the campus.
- Throughout the year, the budget is monitored by IEC and Business Services. Adjustments are made as necessary by SLT according to policy, procedure, and law.

4.3 Review and Oversight of Resource Allocation

IEC reviews resource allocation processes and makes recommendations to SLT for improvement. SLT, with leadership by the President and CFO, oversees resource allocation and monitors implementation results. Quarterly budget status updates are provided to The Board of Education by the CFO.

4.4 Measurement of Effectiveness

As with any budget planning process, resource allocation will vary from year to year. Measurement of resource allocation effectiveness in higher education lacks any agreed-upon, consistent metrics but the College assesses its effectiveness at operating within the budget parameters established and approved for the relevant fiscal year. Additionally, assessment of resource allocation is embedded in both academic and support assessments; the CFO tracks resource allocation and engages in regular communication with the owners/responsible parties of the tactical plans to determine levels of achievement as a result of the resources allocated. IEC reviews assessments and reports to the SLT periodically.

4.5 Reporting

The College CFO provides the following reports to the IEC:

- Fall term: Report on assessment and use of resources allocated in the prior fiscal year budget
- Winter term: Communicate the resources needed for the following year’s strategic priorities and operational imperatives
- Spring term by June 30: Provide a list of allocations for the upcoming fiscal year

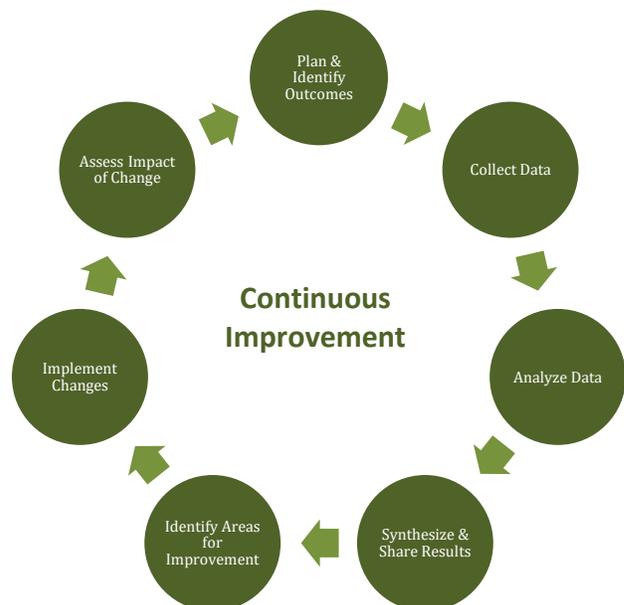
5. Institutional Effectiveness at UCC: Assessment

5.1 Assessment Processes at UCC

Overview and Purpose

Assessment at UCC is defined as a systematic approach to collecting, analyzing, synthesizing, and acting on evidence to implement meaningful change. This approach enables continuous improvement of student learning, support services, and overall institutional effectiveness.

Assessment provides evidence used to make data-informed decisions that guide planning and resource allocation supporting student learning and the fulfillment of the College’s mission. UCC assesses student learning outcomes of academic programs, academic program operations, and areas of operation across the College at the strategic, tactical, and operational levels. Assessment processes are guided by the cycle of continuous improvement.



Components

Academic Assessment: Academic assessment is performed to evaluate: 1) student achievement of academic program learning outcomes; 2) the effectiveness of teaching and learning strategies; and 3) the effectiveness of academic program and curriculum delivery and design.

Support Assessment: Support assessment is performed to evaluate: 1) UCC's fulfillment of its mission and strategic goals; 2) the effectiveness of support program delivery and design; and 3) student achievement of learning outcomes of UCC's student-oriented services.

Data: Qualitative and quantitative data are gathered to measure the success of actions and outputs. Assessment includes collecting, analyzing, and synthesizing data about different operations and initiatives to answer the questions, "Does this work?", "How well is this working?", and "What should we do next?" To answer these questions, each operational area includes measures of success and methods of data collection in their Tactical and Operational Plans. Results are reported periodically and formalized during mid-year and annual assessment processes.

5.2 Assessment Timelines

Academic Assessment

Each spring term, departments and areas of study create assessment plans to determine their areas of focus for the following academic year.

- Student Learning Outcome assessments of course, program, and universal learning outcomes take place throughout the year. These assessments are submitted at the beginning of the following term and reviewed by the ACSC. Compiled results are provided to academic departments, academic department chairs and program coordinators, Provost, and IEC.
- Annual Program Reviews are completed each spring term. These assessments are reviewed during summer term by the ACSC and provided to academic departments, academic department chairs and program coordinators, Provost, and IEC.
- The results of the assessment are used by these groups and individuals to determine next steps.

Support Assessment

All support areas of operation at UCC develop a mid-year and annual assessment report. The mid-year assessment reports are due in winter term, and the annual assessment reports are due at the end of spring term. Additionally, leaders (SLT, PC, deans, directors) of support areas review progress made on tactical and operational plans to determine next steps in the planning, assessment and resource allocation processes and make recommendations, accordingly.

5.3 Review and Oversight of Assessment

Assessment processes and results are reviewed by the IEC and periodically reported to the SLT.

Academic Assessment

Academic Assessment is overseen by a collaboration of faculty members and administrators. The ACSC oversees and synthesizes assessment processes and results. The ACSC is chaired by faculty and comprised of faculty members, with non-voting administrative membership including the Provost, the

Assistant Vice President of Academic Services, and the Director of Institutional Effectiveness. This committee develops assessment processes, reviews academic assessment reports, provides feedback on the reports and processes, and provides data to divisions and departments to be used in their continuous improvement processes. Academic assessment results and processes are reviewed by IEC.

Support Assessment

Support Assessment is overseen by the Director of Institutional Effectiveness in collaboration with the IEC, SLT, and PC.

SPOC, in coordination with IEC, provide oversight of the strategic plan progress with periodic updates to SLT. The Director of Institutional Effectiveness reviews the indicators identified in tactical plans to assess progress on the strategic and tactical plans. When assessment results have been submitted, they are synthesized by the Director of Institutional Effectiveness and shared with SPOC and IEC. Once reviews are complete, recommendations are submitted to the SLT provide guidance going forward.

5.4 Measurement of Effectiveness

Assessment processes are evaluated annually as part of the academic and support assessment workshops and IEC meetings. Campus participants, related committees, and IEC provide feedback on whether the assessment processes are collecting sufficient data, furthering institutional effectiveness, and generating meaningful data for decision making. Processes are evaluated and modified, and trainings and support are provided to all as necessary. The Director of Institutional Effectiveness collects information and documentation of the processes for review with IEC.

5.5 Reporting

Each year, the Director of Institutional Effectiveness, in collaboration with the IEC, ACSC, and SPOC compiles annual reports on UCC assessment processes and the results of those processes. These are reviewed by IEC, which shares summary information with SLT.

Academic Assessment

- The ACSC shares feedback on student learning outcomes each term through compiled reports and ongoing collaboration with the Academic Council and administrators. Results feed UCC's student learning outcome indicators for student achievement. Information is used by faculty for continuous improvement.
- The ACSC compiles information on program reviews and provides feedback to departments. Results feed UCC's assessment-related indicators for student achievement. Information is used by departments for continuous improvement and to make data-informed program decisions.
- The ACSC's results are periodically shared with the IEC.

Support Assessment

- Operational and tactical plan assessments are collected and compiled annually by the Director of Institutional Effectiveness. This information drives ongoing planning and resource allocation processes. Results feed UCC's student indicators of achievement. A summary of the compiled reports is given to IEC.

- SPOC measures progress on UCC’s strategic goals and indicators for student achievement and provides formal reports. Reports are compiled annually by the Director of Institutional Effectiveness and provide decision support for continuous improvement and to make data-informed decisions across the institution.
- SPOC’s results are periodically shared with IEC.

6. Institutional Effectiveness at UCC: Informational Items

6.1 Timeline for IE Actions

IE Components	Responsibility	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun
Planning													
Confirm SP priorities for next year	IEC, SLT	♦											
Identify tactical plan components for next year	SLT, PC		♦										
Develop operational plans	SLT, PC			♦									
Resource Allocation													
Provide budget training	CFO				♦								
Finalize budget/RA processes; project tuition and fees; review budget requests	SLT, CFO, IEC							♦	♦	♦			
Identify resources needed for strategic priorities	CFO							♦	♦	♦			
Hold campus budget forum	CFP					♦					♦		
Convene Budget Committee; hold public hearing	CFO											♦	
Adopt budget; hold public hearing	BOE												♦
Provide information on next year’s allocations	CFO												♦
Review and report resource allocation usage	CFO, IEC	♦											
Monitor budget	CFO, SLT	♦	♦	♦	♦	♦	♦	♦	♦	♦	♦	♦	♦
Monitoring and Assessment													
Review student learning outcomes	ACSC/IEC			♦				♦			♦		♦
Complete annual academic program reviews	ACSC/IEC											♦	♦
Review annual academic program reviews	ACSC/IEC	♦											
Review SP progress and results	SLT/PC/IEC	♦	♦	♦	♦	♦	♦	♦	♦	♦	♦	♦	♦
Report mid-year progress on plans	IED									♦			
Report annual progress on plans	IED			♦									
Review IE processes	IEC	♦	♦										

6.2 Communication

Communication is a crucial, ongoing component of institutional effectiveness and is both a product of and a driver of the work done in institutional effectiveness processes. IEC is committed to communicating its work products and results to campus, as well as collecting feedback about each of its processes. Communication is built into each process and is noted within the separate sections. IEC also looks for gaps in communication around campus as it analyzes institutional effectiveness processes and provides recommendations as appropriate.

6.3 Governance

To meet accreditation standards, UCC's governance system is responsible for considering current and emerging patterns, trends, and expectations to assess its strategic position, define the future direction of the College, and review and revise, as necessary, the mission, planning, intended outcomes of the College's programs and services, and indicators of achievement. IEC supports this work through its oversight and facilitation of institutional effectiveness processes and is accountable to SLT.