The journey to the simplification of assessment: Alignment with strategic planning and budgeting

SMU & UHCL

Drs. Pamelyn Klepal Shefman, Dayna Oscherwitz & Yan Cooksley

Outline

- Introduction & What is NAW
- Alignment of the big three
  - SMU
  - UHCL
- Breakout
- Return to Main
- Wrap-up

NAW | National Assessment Week

Most campuses are doing - Individual Tasks

Budgeting

Assessment Plans

Strategic Planning

NAW

National Assessment Week

Southern Methodist University Case Description

Dayna Oscherwitz

World Changers
Shaped Here

SMU

Optimally, Assessment, Budgeting, and Strategic Planning are all aligned at the institutional level. In such a system, assessment informs the strategic plan, and the strategic plan informs budgeting.

At SMU, Budgeting and Strategic Planning are fairly well aligned, but assessment is not specifically aligned with either budgeting or strategic planning.

Strategic Planning at SMU

Strategic planning is coordinated by the Executive Vice President. He works with Deans, Associate Provosts, Vice Presidents, members of the Board of Trustees, and other stakeholders to identify key strategic priorities that align with the institution's mission. He also identifies relevant metrics to evaluate progress towards those priorities.

Budgeting at SMU

Budgeting is a comprehensive process that begins with requests that originate with academic units, Deans, Associate Provosts, or Vice Presidents. All budget requests must be tied to strategic priorities to be funded. The request form asks for the relationship between the request and SMU's strategic goals. Requests are prioritized by the Vice Presidents (for their respective units) and then collectively decided upon by the Vice Presidents, the President, and the Deans.

Assessment at SMU

There are various types of assessment done at SMU. These include annual academic program assessment, annual support unit assessment, general education assessment, and academic program reviews. General education assessment and academic program reviews are closely aligned with both strategic planning and budgeting. Support unit assessment is somewhat aligned with strategic planning. Annual academic program assessment is not well-aligned with the strategic plan or the budgeting process. We are working to close these gaps by linking annual program assessment to the strategic plan and by expanding program reviews to support units.

University of Houston Clear Lake

UHCL Assessment Reporting FY22 & FY23

How are we working to simplify assessment toward the alignment of budgeting and strategic planning?

Pamelyn Klepal Shefman

Started with our assessment report (it is on-line):
https://www.uhcl.edu/about/administrative-offices/assessment/

Planning and Assessment

Planning and Assessment contributes to the mission of the university by promoting and leading institutional effectiveness activities. It works closely with the President and Provost to track the progress of the university strategic goals; monitors and reviews assessment activities of academic programs and support units to improve learning and teaching; supports compliance with the State of Texas, the Texas Higher Education Coordinating Board, and the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC), and other accrediting bodies; and works closely with the Quality Enhancement Plan leadership committee to ensure the plan is developed and implemented according to the standards established by SACSCOC.

- UHCL Annual Assessment Reporting AY22 and Planning AY23
- Assessment Calendar 2022-2023
- Planning and Budget Calendar
- Funding Request Form
- Assessment Submission Form Example

Assessment Submission Form

Observations

- Continuous improvement work is "happening" but is not included or documented in the assessment process

- Strong Compliance Culture

- Work best without "technology issues"

- Instability in our past leadership has made this work harder
  - Inconsistent knowledge and expectations

- Lack of program level ownership

- Task driven

- Change is accepted and expected to come from leadership

Nobody goes to work to do a bad job.
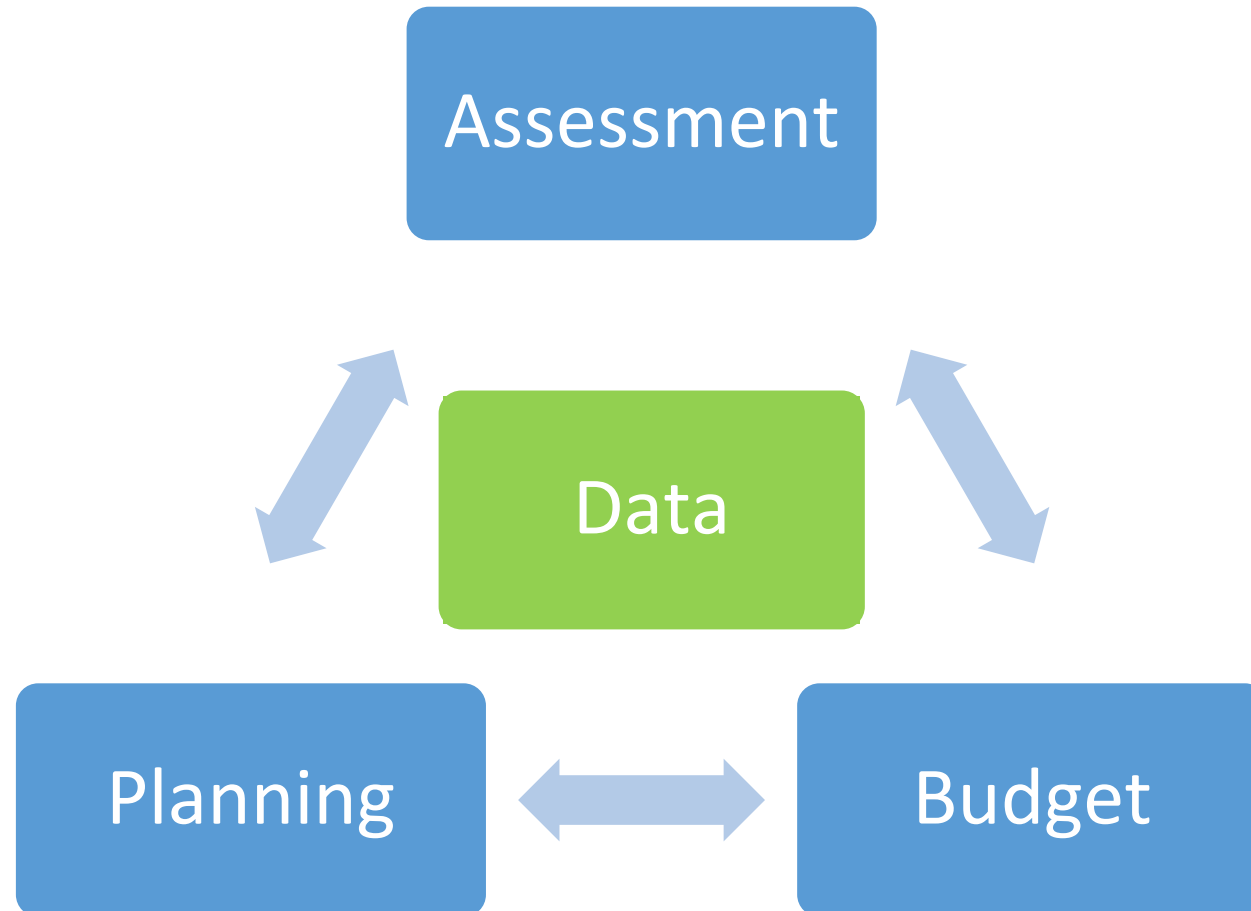
Why does this matter?

- The strategic plan, mission, and vision guide the institution

- UHCL must provide the narrative to our successes

- Demonstration of data-driven, continuous improvement for student success

- Accreditation looks at this integration as a measure of the strength of an institution

- It makes the work simplified, meaningful, and aligned

Report Recommendations - What can we do now?

9 Recommendations

   2 Macro-level (ELT, Deans, AVPs and major Leadership focus)

   3 Academic Affairs Macro-level (Provost and Dean focus)

   4 Micro-level A&P focused (OPA and the Assessment Committee)

Macro Recommendations

1. To address the concerns of utility of the assessment planning cycle and the expected accreditation requirements, add requirements that the academic colleges and administrative/co-curricular areas include the **institutional student achievement metrics and/or UHCL progress card** in the assessment plans.

2. To address the concerns of utility of the assessment planning cycle and the expected accreditation requirements, add requirements that the academic colleges and administrative/co-curricular areas include the metrics from the **strategic plan** into the plans and reporting.

Recommendations 1, & 2 – Move to Integrated Tasks
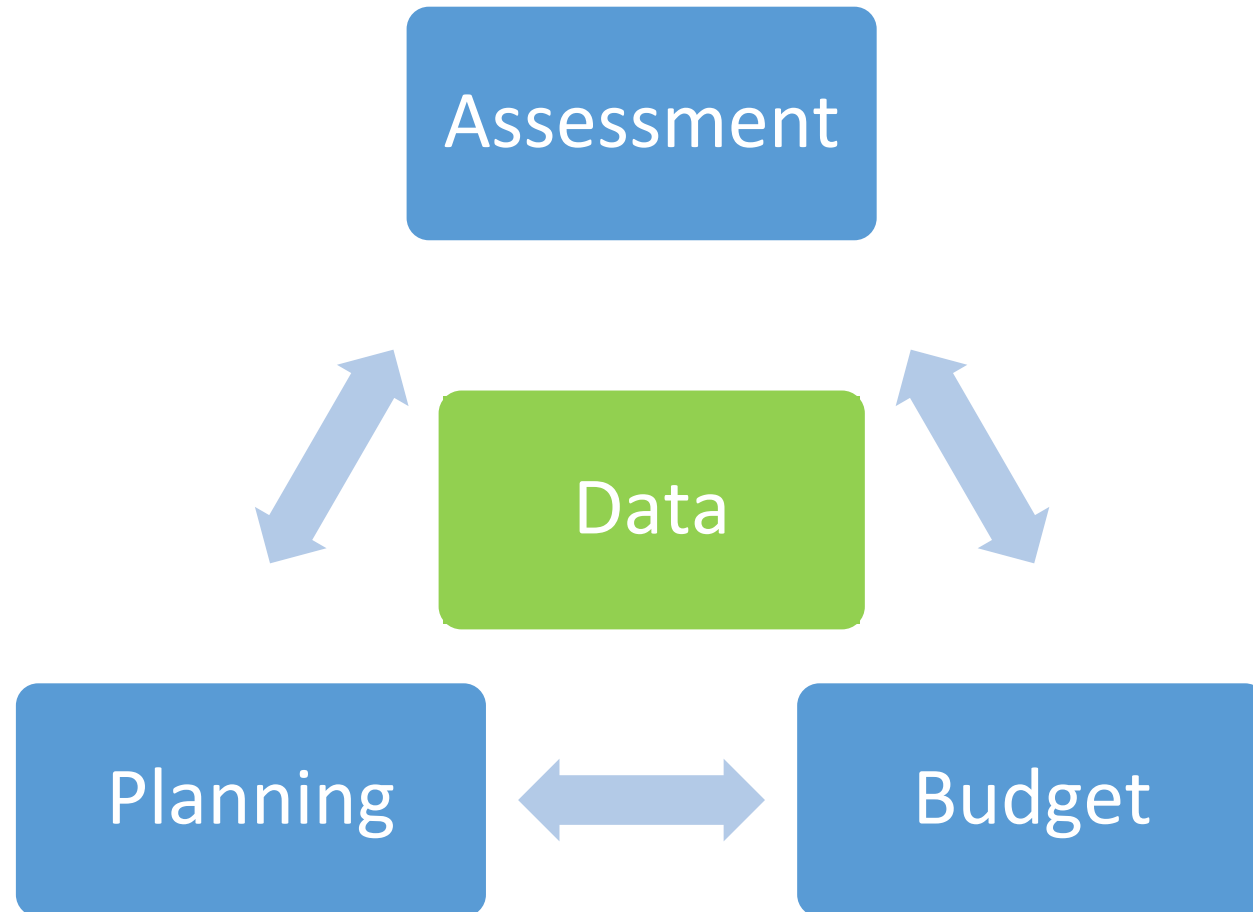
#1 - We are doing now

To address the concerns of utility of the assessment planning cycle and the expected accreditation requirements, add requirements that the academic colleges and administrative/co-curricular areas include the **institutional student achievement metrics and/or UHCL progress card** in the assessment plans.

- How does (or can) it map?

https://www.uhcl.edu/about/administrative-offices/institutional-research/student-goals-achievement

Goal 1: Graduation Rates

Outcome #1	Criteria	Target	Results
Increase graduation rates.	Track six-year and four-year graduation rates for first-time in college, full-time, degree seeking students.	60% of FTIC students will graduate in six years; 60% of FTIC students will graduate in four years.	The first year for 6-year data was 2020 when the graduation rate was 52%, below the 60% threshold. The effects of Hurricane Harvey and COVID-19 prevented many in these small cohorts from completing their programs on time.

Source: THECB LBB, Outcome 1, 6

Goal 2: Retention Rates

Outcome #1	Criteria	Target	Results
Promote student retention.	Track on-year retention rates for FTIC students and for transfer students.	75% of FTIC students will be retained after one year (the goal for retention is set at the mean for the last 6 years plus the standard deviation).	In 2020, both groups exceeded the target retention measure. While transfer rates at UHCL are typically higher, the dip in 2018-2019 is unusual.

Source: THECB LBB, Outcome 43

Goal 3: Course Completion Rates

Outcome #1	Criteria	Target	Results
Improve course	Track the percentage of semester credit	UHCL seeks to improve its course completion rates by surpassing the	The drop in the percentage of course completed between the 2017-2018 school years may be the result of Hurricane Harvey, which impacted the Houston area severely in August

Goal 4: Licensing Examinations

Outcome #1	Criteria	Target	Results
	UHCL will be in the		Of 144 students who tested for the

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• How does (or can) it map?

https://www.uhcl.edu/about/administrative-offices/institutional-research/fact-book

1. Nationally Competitive University
- 1.a. Total Research Expenditures
- 1.b. Federal Research Expenditures
- 1.c. Total Sponsored Program Expenditures
- 1.d. Number of Specialized Accredited Programs
- 1.e. Master's Degrees Awarded Compared to Peers (UHCL/Peer Group Median)
- 1.f. Total Sponsored Program Awards

2.A. UH System: Student Success
- 2.A.a. Total Enrollment
- 2.A.b. Transfer Retention Rate (First Year)
- 2.A.c. Transfer Graduation Rate (4 Years)
- 2.A.d. Total Degrees Awarded
- 2.A.e. Student Satisfaction Index

2.B. UHCL Student Success
- 2.B.a. FTIC Retention Rate (First Year)[2]
- 2.B.b. Hispanic Transfer Retention Rate (First Year)
- 2.B.c. Hispanic Transfer Graduation Rate (4 Years)
- 2.B.d. Bachelor's Degrees Awarded
- 2.B.e. Total Semester Credit Hours
- 2.B.f. Percent of Graduating Students Responding "Yes" to "Would you recommend UHCL and family?"
- 2.B.g. Certification Rate of Teacher Education Graduates
- 2.B.h. Course Completion Rates

3. Community Advancement
- 3.a. Percentage of Graduates Enrolled in Graduate Courses/Employed in Texas within One
- 3.b. Number of Courses with Community Engagement Activity
- 3.c. Number of Community Partnerships

4. Competitive Resources
- 4.a. Total State Appropriations per FTE Student
- 4.b. Total Expenditures per FTE Student
- 4.c. Endowment
- 4.d. Total Annual Giving (Cash Basis)

Notes:

#2 - We are doing now

2. To address the concerns of utility of the assessment planning cycle and the expected accreditation requirements, add requirements that the academic colleges and administrative/co-curricular areas include the metrics from the **strategic plan** into the plans and reporting.

- Working with the budget office
  - current requests are asked to align to assessment plans (was already aligned to strategic plan)
- Knowing assessment plan content now
  - before the reporting and planning cycle is "active"
- Reporting on the strategic plan progress with assessment in mind

https://www.uhcl.edu/about/strategic-plan/strategic-objec

#2 - We are doing now

2. To address the concerns of utility of the assessment planning cycle and the expected accreditation requirements, add requirements that the academic colleges and administrative/co-curricular areas include the metrics from the **strategic plan** into the plans and reporting.

1
- We **TRANSFORM** student lives through experiential learning and workforce readiness, using highly credentialed faculty with real-world experience and growth-oriented professional staff, focusing upon diverse communities, first-generation students, and lifelong learners

2
- We **TRANSLATE** knowledge to actionable solutions and interventions by generating, applying and communicating best practices, research, and discovery learning through multidisciplinary approaches to solve crucial institutional, social, and scientific problems

3
- We **TRANSCEND** individual and institutional boundaries to collaborate across industry and community partnerships to develop our economy, our educational systems, our physical and social ecology, and our quality of life

https://www.uhcl.edu/about/strategic-plan/strategic-objectives

Strategic Impact Factor	Strategic Objectives	Strategic Perspective
TRANSFORM: We TRANSFORM student lives through experiential learning and workforce readiness, using highly credentialed faculty with real-world experience and growth-oriented professional staff, focusing upon diverse communities, first-generation students, and lifelong learners	1: Improve Value of Diversity and Inclusion	Capacity Building
	4: Improve Learning Workload Management	Capacity Building
	5: Improve Campus Diversity	Process
	7: Improve Student Experience Process	Process
	8: Improve Business/Academic Operations	Process
TRANSLATE: We TRANSLATE knowledge to actionable solutions and interventions by generating, applying and communicating best practices, research, and discovery learning through multidisciplinary approaches to solve crucial institutional, social, and scientific problems	2: Improve Technology	Capacity Building
	9: Improve Communication	Process
	10: Increase Revenue	Resource Stewardship
	11: Improve Alignment	Resource Stewardship
	12: Reduce Costs	Resource Stewardship
TRANSCEND: We TRANSCEND individual and institutional boundaries to collaborate across industry and community partnerships to develop our economy, our educational systems, our physical and social ecology, and our quality of life	3: Improve Learning Resources	Capacity Building
	6: Improve Collaborative Community Presence	Process
	13: Improve UHCL Experience	Students & Stakeholders
	14: Improve Innovation	Students & Stakeholders
	15: Increase University Recognition	Students & Stakeholders

Implementation Year:

| 2021/2022 Capacity Building	2023/2024 Resource Stewardship
2022/2023 Process	2024/2025 Students & Stakeholders

POWERED BY IMPACT 2025 AND BEYOND   TRANSFORM + TRANSLATE + TRANSCEND

#2 - We are doing now

To address the concerns of utility of the assessment planning cycle and the expected accreditation requirements, add requirements that the academic colleges and administrative/co-curricular areas include the metrics from the **strategic plan** into the plans and reporting.

Alignment of Tier 2 and Assessment Objectives to Budget

https://www.uhcl.edu/about/strategic-plan/strategic-objectives
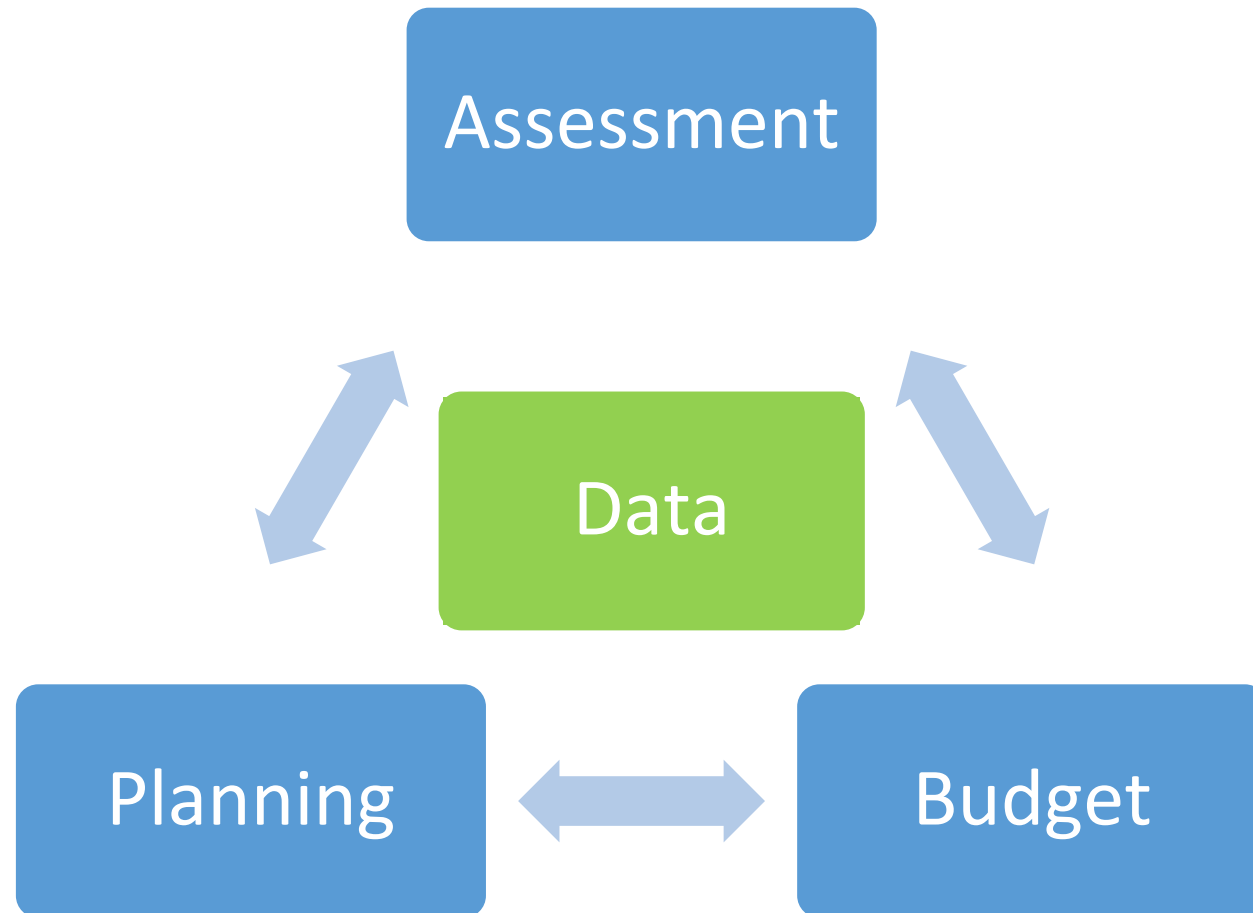
Before/After the Report Recommendations

1. Alignment of the Budget Initiative Requests to the assessment plans
   - FY24 request align to FY23 Assessment Outcomes

2. Sharing the reporting for assessment with senior leadership (with presidential support)
   - Lead to VP meetings & ownership of the alignment

3. Continue in one cycle using the tools we have then assess what ways we can streamline even more

4. Bi-weekly meetings with OUST, inclusion on committees

5. We are on the marathon and not the sprint

Review

Revise

Repeat
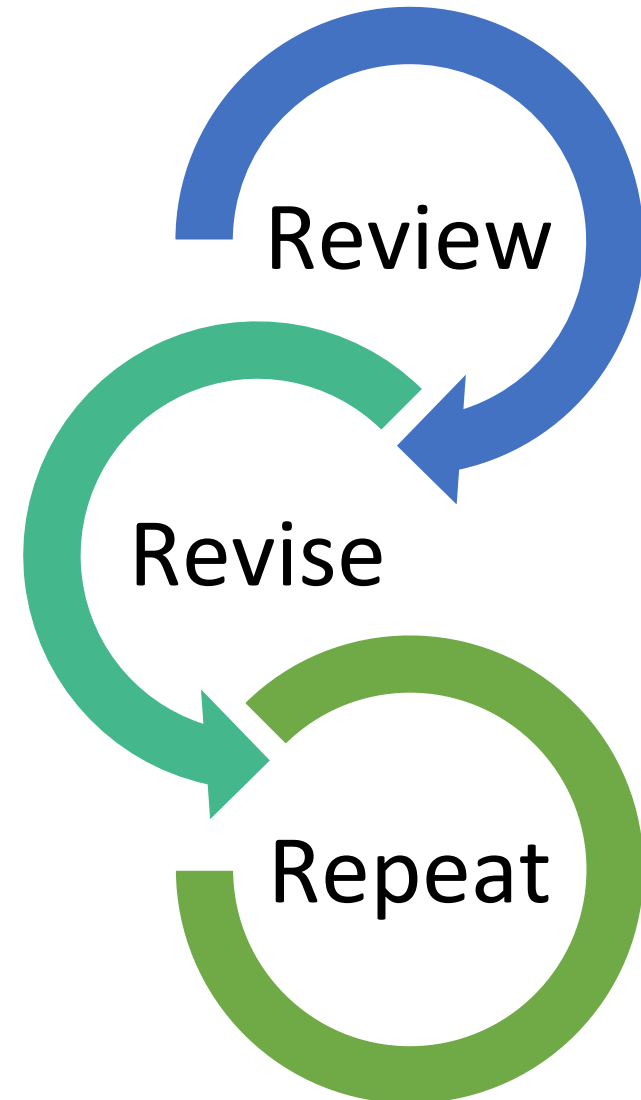
Breakout Conversations

Breakout plans

- Goal – add to the dialogue for strategic planning, assessment planning/reporting, and budget processes

- Randomly send you to breakout rooms – select a leader and reporter

- Each room will have a shared document to respond to open ended questions – makes the previous roles easier

- After 25 minutes we will bring everyone back – with broadcast warnings

- Questions?

NAW National Assessment Week

Breakout documents

Room 1: NAW-The Journey to the Simplification of Assessment

Room 2: NAW-The Journey to the Simplification of Assessment

Room 3: NAW-The Journey to the Simplification of Assessment

Room 4: NAW-The Journey to the Simplification of Assessment

Room 5: NAW-The Journey to the Simplification of Assessment

Room 6: NAW-The Journey to the Simplification of Assessment

Room 7: NAW-The Journey to the Simplification of Assessment

Room 8: NAW-The Journey to the Simplification of Assessment

Room 9: NAW-The Journey to the Simplification of Assessment

Room 10: NAW-The Journey to the Simplification of Assessment

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Breakout Sharing

Breakout sharing

- Each room will share takeaways
- Focusing on question 6 and any other stand-out items if time allows

Additional questions to consider

- What are some potential risks associated with simplifying these processes, and how can they be mitigated?

- What steps can organizations take to streamline their assessment, strategic planning, and budgeting processes without sacrificing quality or accuracy?

- How can organizations ensure that all stakeholders are involved in the simplification process and that their needs and perspectives are taken into account?

- What metrics should organizations use to measure the success of their simplified assessment, strategic planning, and budgeting processes?

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Closing

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