

# HUMBOLDT STATE UNIVERSITY

## Division of Administrative Affairs

### **ANNUAL PROGRAM REVIEW, EVALUATION & PLANNING (PREP) HANDBOOK**

**A guide to planning, implementing, and reporting  
division-wide evaluation and assessment**

Revised July 17, 2014

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# Acknowledgements

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This guide draws heavily from Southwestern University, University of North Carolina at Greensboro, and University of Central Florida Administrative Services/Units assessment guides and tools. Their works were based in part on a process pioneered by James O. Nichols that aims at connecting institutional effectiveness with assessment of intended Student Learning Outcomes. Refer to [Reference Materials & Additional Reading](#).

## How to Use This Handbook

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This PREP Handbook is meant to be comprehensive in that it includes the methodology, tools, and techniques. We expect that people will read the Overview section and understand the timeline and then only read the other sections when they are ready to work on that part of the assessment. As part of continuous improvement effort, please let the Division know how the handbook can be made more useful (contact the Administrative Affairs managers or Office staff or email [adminaffairs@humboldt.edu](mailto:adminaffairs@humboldt.edu)). This handbook and related tools are available at <http://www.humboldt.edu/adminaffairs/Assessment.html> .

# Overview

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## Purpose

The primary purpose of this guide is to assist administrators and staff with the development of the annual Program Review, Evaluation and Planning (PREP) for the Division of Administrative Affairs. PREP is a methodology that guides our division in: goal setting; task development and accomplishment; goal assessment; and goal review. We commit ourselves to developing and following through on effective assessment procedures to make our division and university stronger, more successful, and more effective.

Institutions of higher learning are becoming increasingly involved in conducting assessments within their academic administrative units and administrative support organizations because they are facing internal and external pressure to increase quality while funding resources are dwindling. The benefits of these assessments are to:

- Know how well the organization is doing.
- Improve strategic planning efforts.
- Improve decision support.
- Improve resource allocation.
- Improve operational excellence.

Effective assessment occurs when it:

- Is viewed as a comprehensive, systematic, and continuous activity.
- Is viewed as a means for self-improvement.
- Has meaningful measures.
- Utilizes multiple measures and multiple sources.
- Is used as a management tool.
- Has valued results, and they are genuinely used to improve the administrative organization's structure, services, and processes.
- Is coordinated by one person or a team and reviewed by a committee.
- Involves the participation and input of all faculty and staff.
- Includes student and external customer (ex. vendor, community member, etc.) involvement.

Humboldt State University began assessing its academic programs in the 2011-2012 academic year and the Division of Administrative Affairs developed and implemented its assessment process starting with the 2012-2013 fiscal year.

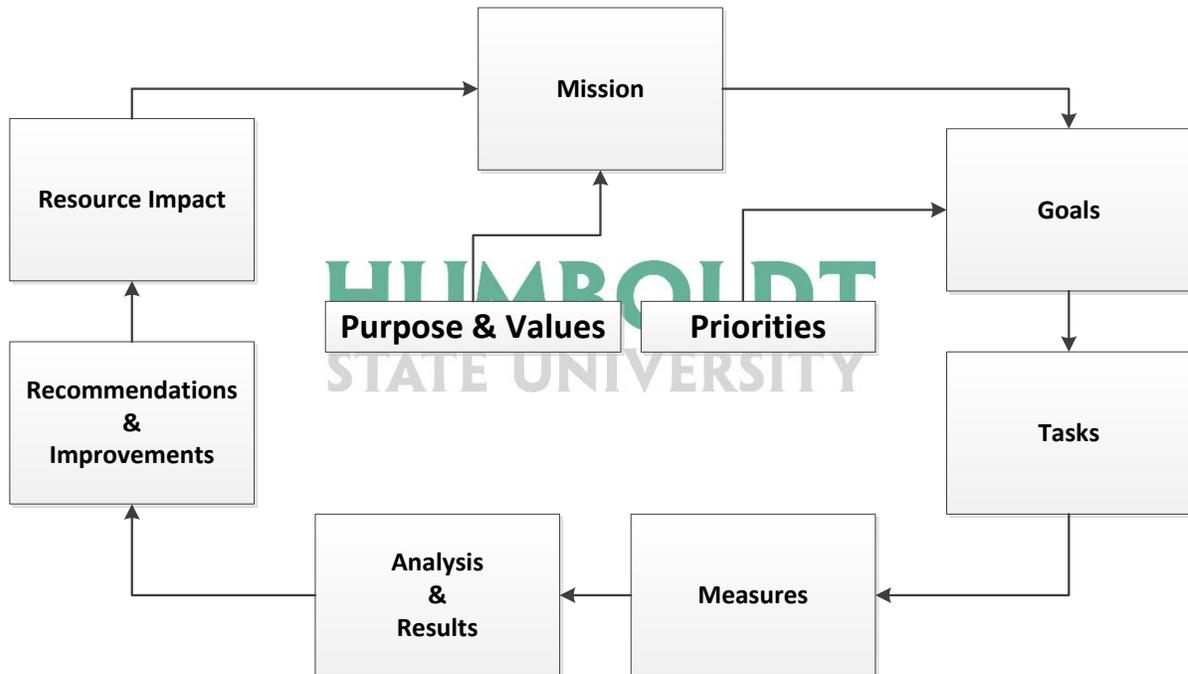
Since Administrative Affairs is new to the assessment process, it would like to consider the following for the future:

- Creating a single Administrative Services assessment process that spans all divisions. This would include effort prioritization, budgeting, and resourcing (human resources, technologies, and facilities).
- Creating an Assessment Committee that is responsible for reviewing the campus' administrative services plans for assessment, reviewing outcomes of assessment efforts, coordinating assessment efforts to ensure that the information is referred to the appropriate department for consideration, and evaluating the institutional research efforts of the university.
- Establishing a program/department review process through which every program/department in the Division is evaluated by external reviewers every five years (to parallel that of Student Affairs). Each review is conducted according to best practices in the field, and final reports are issued by the reviewers. These reports serve as guides for program improvement/change. The purpose of the reviews is:

- Have experts in each area take a comprehensive look at our operations and make recommendations on how we can improve our programs/services in support of student success.
- Provide recommendations on program/department operations, staffing, to help the administration understand how best to deploy the resources available to us across the Division.
- Provide exposure to HSU staff to experts in their fields, as an opportunity for personal and professional growth and development. So many of our staff are 'home-grown' and have not had an opportunity to attend conferences or network with others in their field. Through these reviews, staff are able to meet some of the best in their business, and to learn how to improve their own practice; they also then have someone to network with when issues or questions arise and they want/need advice.
- Incorporating national benchmarks into our assessment measurements.
- Investigating alternative Administrative Assessment software systems that may have more comprehensive assessment and user management features and functionality (ex. WEAVEonline used by Roanoke College) and can be integrated into related business processes/systems (ex. budget, project management, and performance evaluation).

## Model

Our PREP model supports continuous administrative service improvement and is based in part on a process pioneered by James O. Nichols. Based on the priorities set by the University, the Division of Administrative Affairs defines its mission, establishes goals, and determines how to measure tasks associated with those goals so that key processes continually meet the needs and expectations of students, parents, employees, faculty, and other stakeholders. Goals are aligned at the University, Division, Department, and Employee levels.



We are aware that there may be external factors (ex. other campus areas, Chancellors Office, federal government, etc.) that impact or influence these goals and tasks.

A detailed description of each process component, assessment cycle, and the annual assessment process are included in the next section of this handbook.

The University's 2012-2016 priorities can be found at <http://www.humboldt.edu/president/sites/president/files/priorities1216.pdf>.

# Administrative Affairs Division Mission Statement

Our Division developed this Mission Statement in summer 2013:

Administrative Affairs is the apex of support for University infrastructure and services using clear communication and a knowledge-driven foundation, with a flexible and collaborative approach.

We seek to continuously support the ongoing success of our students by efficiently utilizing our human and physical resources in a transparent, fiscally responsible and ethical manner.

We will strive for excellence throughout our interdependent operations to create a safe, attractive and vibrant campus and community, respectful of diversity and the environment, through critical examination and continuous improvement.

# Preparing the Assessment

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## Process & Timeline

Our annual assessment process is collaborative and it involves all Administrative Affairs employees. Certain employees are primarily responsible for certain steps at the following levels:

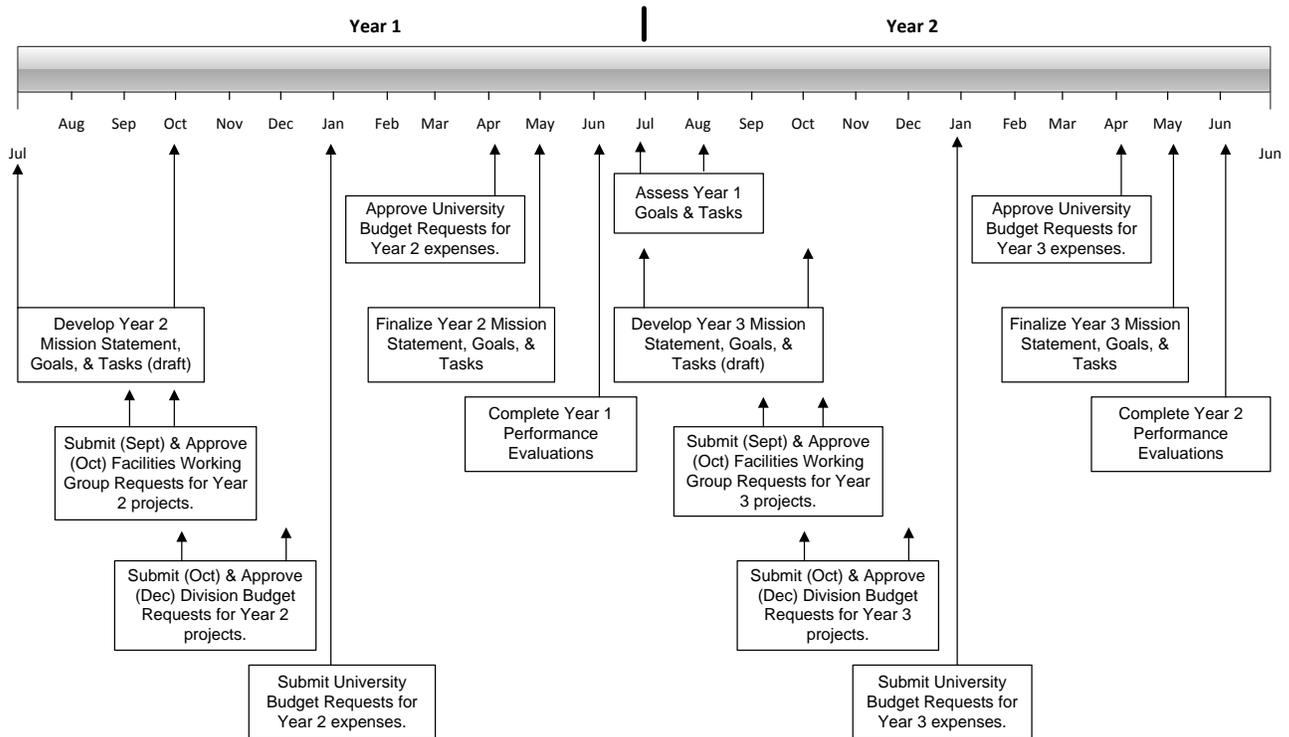
- Division: VP and AVPs
- Major Budget Unit (MBU): VP and AVP
- Department: AVP and Manager

The assessment process steps are:

1. Define/Refine Mission Statement, Goals, and Tasks for the following fiscal year.
2. Review and comment on those Mission Statement, Goals, and Tasks.
3. Finalize Mission Statement, Goals, and Tasks for the following fiscal year.
4. Perform work to achieve current year Tasks.
5. Gather and analyze the results of current year work and make recommendations.
6. Review and comment on those results and recommendations.
7. Report assessment future year plans and current year results (quarterly).

A single document (one per Goal), the [Assessment Plan](#), is used by the MBUs and Departments to record their Goals, Tasks, and Assessments.

The annual assessment cycle (perform and review work) is from July through June (fiscal year). Both the planning and assessment pieces align with the University's budget request, facility request, and employee performance review cycles (the call for IT project requests is random). The graphic on the next pages shows what the cycles look like over two years to highlight that planning for the second year occurs while work is being done during the first year. For additional details, refer to the [Assessment Checklist by Timeline and Responsibility](#).



NOTE 1: ITS Project Requests sometimes occur in September and March.

NOTE 2: Performance Evaluations would need to be completed later if Goal Assessments would be taken into consideration

Certain initiatives may span more than one fiscal year (either by design or due to extenuating circumstances) and they can be rolled forwards into the next assessment year.

Managers are strongly encouraged to involve their staff in the development of the Mission, Goals, and Tasks and to allow people to set aside sufficient time to participate (the process often times takes longer than expected). One method for developing and prioritizing goals that our Facilities Management MBU uses is to talk about barriers and challenges and then to identify which ones, if resolved, would bring the most benefit to the MBU/Division/University. This MBU also sets their goals/tasks for a two year period so that they can better prepare for budget and other requests.

The assessment process components, including tools and techniques, are discussed in the [Process Component section](#).

All of Administrative Affairs PREP handbook, templates, reviews, and reports are in our network file share (on Trinity at Administrative Affairs\PREP) that is accessible by all division employees. The handbook, templates, and reports on our website <http://www.humboldt.edu/adminaffairs/Assessment.html>.

# Process Components

The annual assessment process is made up of seven components:

1. **Mission Statement**: The Division's Mission Statement is drawn from the University's Core Purpose and Core Values and identifies ways in which each MBU contributes to fulfilling the purpose.
2. **Goals**: Goals are a roadmap to organizational success and set at the Division, MBU, and Department levels. They should be in sync with the Division's Mission Statement and University Priorities.
3. **Tasks**: Tasks state how each Department plans to accomplish its goals and will be the focus of the assessment activities for the coming year.
4. **Measures/Tools**: Measures and Tools are mechanisms that will be used to evaluate the Tasks.
5. **Results/Analysis**: Results and Analysis describe what was learned from each assessment mechanism about performance relative to the corresponding Task and must contain information that allows the Department to determine whether or not the criterion level was reached.
6. **Recommendations/Improvements**: Recommendations and Improvement identify efforts to make program or service improvements based on what was learned and reported in the Results/Analysis step.
7. **Resource Impact**: Resource Impact describes what effect the Recommendations and Impacts will have on resources (financial, personnel, equipment, facilities, time or effort).

The following sections expand upon each process component, including providing techniques and examples.

Supporting templates, completed-progress assessment plans, and annual assessment reports are available at <http://www.humboldt.edu/adminaffairs/Assessment.html> . Individual assessment plan are on our division's network share T:\Administrative Affairs\PREP (accessible only by Administrative Affairs employees).

## Mission Statement

The Mission Statement is a broad statement of the direction and values of the Division. It should reflect how the Division contributes to the education, development, and experiences of students, employees, and others at the Institution. The Mission Statement also should describe the services provided by the Division and is not likely to change significantly from year to year, although, it may be amended as the Division's role within the University changes.

Here are links to the [University's Core Values and Purpose](#) and [Administrative Affairs' Missions Statement](#).

A Mission Statement provides managers and employees with a framework and purpose. It explains:

- What the Division does? What's the function of the business?
- How the Division does it? What image it wants to promote? What values it wants to promote?
- Who the Division does it for? Who are its target customers? Where are the customers located?
- What value is the Division bringing to the University?

Here are some things to consider:

- *Keep It Easy to Remember.* Remember: This is a Mission Statement, not a mission essay. Try to sum up the entire Division's mission in one or two sentences. Think of it this way: The Mission Statement, at its absolute best, should be able to double as the Division's slogan. Concise Mission Statements are also more memorable and effective. So there's no need to make it overly complicated; just state the purpose of the Division, the reason for its being in the first place.
- *Consider Long-Term vs. Short-Term.* Mission Statements can be wildly different from one entity to the next. The idea here is to choose whether the Division's statement is to reflect its short-term goals or its long-term aspirations. Be sure to choose only one; specificity is key to an influential mission. Short-term Mission Statements allow one to be more specific with goals, but they also need to be updated more often to stay relevant.
- *Test It:* If the Division is revamping its statement, include employees in the process. Distribute drafts of the Mission Statement to every employee, and ask them what, if anything, should be added or changed. Not only will there be a better, more comprehensive statement, but employees will be more invested in it because they helped form it. The Mission Statement needs to accurately reflect the Division and be aligned with the University's Core Values and Purpose. Also, make sure that it distinguishes the Division from another administrative unit (If the name was removed, it should not be applicable to someone else).
- *Revisit It Often.* Evolution is inevitable. However, all too often a Mission Statement is written around the time of a Division's creation and then forgotten about. The statement ought to be an important representation of the Divisions culture. It's an opportunity to institute an overall sense of identity and should be constantly maintained and referred to. Incorporate the ideas and themes of the statement in how the business is run, and be sure to revisit it regularly to make any necessary changes. No entity ever stays exactly the same. Tweaking the statement ensures that it constantly parallels the direction of the Division.

Example Mission Statements:

- Auburn University's Budget Services Business Office: To support the University's mission of teaching, *research and public service by providing timely, relevant and accurate budget information to the university community in order for them to assess needs, evaluate past performances, and identify problems and future opportunities.*
- Vanderbilt University's Risk and Insurance Management Office: *The Office of Risk and Insurance Management supports the University community by identifying and minimizing risks to its students, patients, faculty and staff, property, and other resources. We are committed to serving the institution through a variety of risk financing, risk prevention, and risk control activities.*

Once created/updated, remember to share it with all Division and University employees and update the Division's website and other informational materials.

## Goals

*“Hope is not a strategy.”* ☐ *“Setting goals is the first step in turning the invisible into the visible.”*

Goals are broad statements that describe the overarching long-range intended end results of the administrative unit (Division, MBU, or Department). These goals are usually not measurable and need to be further developed as separate distinguishable tasks (also known as objectives and outcomes), that when measured appropriately, provide evidence of how well the goals were accomplished. Goals are primarily used for general planning and are used as the starting point for the development and refinement of tasks.

### Goals should

- Respond to the questions: “What does the unit wish to accomplish?” and “What is the unit’s vision for itself?”
- Be challenging, but attainable.
- Be linked clearly to the Division’s Mission Statement.
- Be consistent with the university’s educational ideals, philosophy, core values, and purpose.
- Be useful to the unit, as well as to long-range, University-wide planning.
- Be compatible with those of other units.

### Types of Goals:

- To increase something (revenue, customer satisfaction, effectiveness).
- To make something (products, services, image).
- To improve something (processes, results, relationships).
- To reduce something (risk, expenses, competition).
- To save something (time, money, space, energy).

### Example Goals:

- Marymount University’s Human Resources: *Attract and retain highly qualified professional faculty and staff.*
- Marymount University’s Information Technology Office: *Enhance the availability and use of Marymount’s print and electronic resources.*

Make one copy of the [Assessment Plan](#) for each Goal.

## Tasks

Tasks (also known as Objectives and Outcomes) can be defined as statements that describe the desired quality (timeliness, accuracy, responsiveness, etc.) of key functions and services within the Department. Tasks define exactly what the services should promote (understanding, knowledge, awareness, appreciation, etc.) and should not be office functions, but should focus on how to better serve the Department's constituents. The Tasks may change from year to year.

One method to develop Tasks is called SMART and made up of Specific, Measurable, Attainable, Relevant, Time-based criteria.

- **Specific** – detailed outcomes criteria: The Task should state the exact level of performance expected. What is the ultimate outcome? Who is the ultimate customer?
- **Measurable** – measurement criteria: To achieve Tasks, people must be able to observe and measure their progress. What are the actions that need to occur? How will the measurement be verified?
- **Attainable** – realistic, achievable criteria: Tasks should challenge people to do their best, but they need also be achievable.
- **Relevant** – significance criteria: Tasks need to pertain directly to the performance challenge being managed.
- **Time-based** – answers “by when?” criteria: Deadlines help people to work harder to get a Task completed.

Tasks Should:

- Respond to the questions, “How will the Department accomplish the associated goal,?” “What service is being provided,?” and “What value is being added to the service or program?”
- Be specific enough to allow assessment of progress, but not at the expense of failing to address important issues.
- Be assessable, though not necessarily in easy, quantifiable terms.

Example Tasks:

- Butler University's Building Services: *Building Services will seek Cleaning Industry Management Standard (CIMS) certification for campus housekeeping services. CIMS certification will help us to demonstrate consistency of our commitment to quality and student satisfaction by showing compliance with preferred industry standards improves overall cleaning operations including saving the university money.\**
- Florida Gulf Coast University's Environmental Health and Safety Unit: *Inspect all occupied building areas annually to identify safety deficiencies, submit noted deficiencies for correction, and follow-up to verify corrections are completed.\**
- Kean University's Office of General Accounting: *To reduce the number of “material” late invoices received after August 1st, through November 1st from the Campus Community (which pertains to goods or services related to the Prior Fiscal Year) by 65% of the amount received late in the prior year.*

Enter the Task in the associated Goal's Assessment Plan (created in the [Goals](#) section). Also identify the Individual Responsible, Target Start and Complete Dates, and any Data Sources/Co-Dependencies/Control Points associated with each Task.

Activities associated with fulfilling a Task may be of sufficient size (aka a project) to warrant detailed tracking. Administrative Affairs has “project management light” tools, training, and templates (<location TBD>) to assist with the effort.

## Measures/Tools

*“That which gets measured gets managed.”*

Assessments can be any type of qualitative or quantitative measure of achievement of Department Tasks. They should include evaluations already in use, as well as others the Department would like to put into place. They should also be tied directly to specific Tasks, so there is no doubt about what assessments are to be used to measure each Task. Avoid establishing Goals and Tasks which might be easily assessed, but which are of little value in improving the quality of programs and services.

A successful assessment program will be capable of responding to two questions:

- Is the unit accomplishing what it wishes to accomplish?
- How does it know?

It is very important to make sure up front that the data can be collected in the desired format and in the timeframe.

Example Measures/Tools:

- Campus crime statistics
- Computer transaction date/timestamps
- Cost-saving statistics
- Counts of students served
- Data extracts
- Energy usage statistics
- Facility usage statistics
- Focus Groups
- Number of hits to a web page
- Number of people or organizations impacted through activities
- Number of safe work days
- Number of visitors to department, unit, or function
- Percentage of students/faculty/staff who respond favorably on a survey
- Physical tally sheets
- Questionnaires (Students, Employers, Faculty/Staff, Alumni, etc.)
- Response rate for a survey
- Response time to requests for service
- Telephone system call date/timestamps
- Time taken to complete requests for services

Enter the Measures/Tools in the associated Goal's Assessment Plan (and amended with [Tasks](#)).

## Results/Analysis

Once the data have been collected, the next phase of the administrative assessment process is to analyze the results. Analysis of the collected data is primarily the responsibility of the Departments within the Division. This approach of self-evaluation is based on an assumption that to understand the meaning of the data, effectiveness at meeting the outcome, and interpreting the implications requires someone who is intimately familiar with the working of the Department and its services.

The analysis should be: standardized, unbiased, and documented.

Types of Analysis Tools:

- Audit Reports
- External Comparison Data (ex. benchmarks)
- External Reviews
- Quantitative Analysis
- Trend Analysis

Example Analysis/Results:

- Kean University's Purchasing Department: *Verbal survey conduct in September 2012. This includes approximately 10 departments. Results of survey showed departments understood information required; therefore, Purchasing will continue numbers, item description, and pricing.*
- Kean University's General Accounting Department: *Based on comparing the average check run time and check per minute metrics in June & July to these same metrics in August, September, and October the department has noticed a 31% increase in checks generated per minute and a 37% (~25 min) decrease in the time to prepare the check run.*

Enter the Results/Analysis in the associated Goal's Assessment Plan (amended with [Measures/Tools](#)).

## Recommendations/Improvements

Effective assessment should inform decisions leading to improvements in what is being done. Though value of an effective assessment program lies in its contribution to the improvement of the quality of programs and services. For an assessment to take hold, it must be integrated into regular work procedures. If the assessment shows that a Task is being met the Recommendations/Improvement column simply reports as such. When an assessment shows that a Task is not being met and/or ideas are suggested for doing better, the Recommendations/Improvements column reports the changes designed to enhance performance.

Department Quarterly and Annual Reports should include progress reports on assessment of Department Goals. Each Goal should be listed with a brief report on how it was assessed and what improvements or changes should be made as a result of what was learned from the assessments.

Perhaps each Department Goal relates to providing a particular service to students. An assessment of this Goal may consist of a couple of questions at the bottom of a form asking students to rate the quality of the service and to provide suggestions for improvements. An examination of the responses might result in a decision to expand hours or speed turnaround time. On-going assessment would then show whether the changes succeeded in improving perceptions of the quality of the service.

Example Recommendations/Improvements:

- A review of strategies for reaching young alumni in particular is called for.
- The campaign will be repeated next year.
- Develop new strategies for more effective follow-up.
- Campus workshops will be developed.

Enter the Recommendations/Improvement in the associated Goal's Assessment Plan (amended with [Results/Analysis](#)).

## Resource Impact

Resource Impacts are the effects of reaching/not completing a particular Task. They can be time, money, or effort and have input into future year planning. It is important to identify the additional stress on resources so that planning may account for additional needs to reach the unit's goals.

Example Resource Impact:

- We have a larger budget to work with next year.
- Will need to put more time, research and money into discovering why young alumni giving is down.
- Maintain current expenses, time, and effort.
- Expend employee time and effort to create/conduct workshops.

Enter the Resource Impact in the associated Goal's Assessment Plan (amended with [Recommendations/Improvements](#)).

# Reviewing & Reporting the Assessment

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## Reviewing

Assessment Plans are reviewed in draft format and then quarterly (in progress or completed). See the [Checklist by Timeline and Responsibility](#). Reviews are based on the [Assessment Rubric Definitions](#) and documented in the [Assessment Rubric](#) (one per Goal).

Reviews are done by different people based on the organizational level:

- Division: VP and AVPs
- Major Budget Unit (MBU): VP and AVP
- Department: AVP and Manager

## Reporting

Our Division summarizes the results of our quarterly reviews and then presents those results to the President and University Senate and posts them on our website at <http://www.humboldt.edu/adminaffairs/Assessment.html>.

### Summary Report



HSU\_AdminServiceA  
ssessment\_ExecRepc

We also track are individual projects:



AdminAffairs\_Projec  
tPortfolio.xlsx

# Appendix A: Assessment Planning Template

**DIRECTIONS**-- Complete a separate form for each goal. Goals and tasks should relate to the major business unit's or division goals and/or the university's priorities. More information about the components of this assessment plan or assessment process is in the Administrative Affairs Annual Program Review, Evaluation & Planning (PREP) Handbook and information about how the Plan will be evaluated is in the Administrative Affairs Annual Assessment Rubric (both at <http://www.humboldt.edu/adminaffairs/Assessment.html>).

<b>Administrative Affairs Assessment for</b>	<Dept/Unit>	<b>Fiscal Year</b>	<20XX-20YY>
<b>Department Lead</b>		<b>Last Updated</b>	<MM/DD/YY>
<b>University Priority No. &amp; Description</b>			
<b>Division Goal No. &amp; Description</b>			
<b>MBU Goal No. &amp; Description</b>			
<b>Department Goal No. &amp; Description</b> <i>Broad statement of the desired end result.</i>			

No. X.Y	Task (Objectives/Outcomes/ Actions)	Measures/Tools <i>How, when, and where did you assess or evaluate your objectives, either quantitatively or qualitatively (i.e., surveys, interviews, focus groups, logbooks, completion times, success rates, etc.)?</i>	Data Sources/Co- Dependencies/ Control Points <i>Names of the information provider/ other department or business process that could impact meeting the objective.</i>	Individual Responsible <i>Person who will make sure the work is done.</i>	Target Start <i>Planned date to begin work.</i>	Target Complete <i>Planned date that all activities related to this objective will be done.</i>	Status (Proposed, Approved, In-Process, Completed, On Hold, Cancelled)	Results/Analysis <i>What were the actual assessment results? How did you perform in meeting the objective?</i>	Recommendations/ Improvements <i>What programmatic improvements were identified or made based on the assessment results?</i>	Resource Impact <i>What was the impact on resources (financial, personnel, equipment, facilities, time or effort) on either meeting or not meeting the objective?</i>
X.Y				<First-Last>	<MM/DD/YY>	<MM/DD/YY>				

Template downloadable from <http://www.humboldt.edu/adminaffairs/Assessment.html>

# Appendix B: Assessment Rubric Template

**DIVISION of ADMINISTRATIVE AFFAIRS  
ANNUAL ASSESSMENT RUBRIC**

<input type="checkbox"/>	<b>Unit</b>	<Unit – Department Name>	<b>Fiscal Year</b>	<20XX-20YY>
	<b>Reviewer Name</b>	<First Last Names>	<b>Review Date</b>	<MM/DD/YY>

*Refer to the Administrative Affairs Annual Assessment Rubric Definitions.docx*

	A Model for Others	Acceptable	Needs Modification	Missing	Comments
<b>Goals</b>					
<b>Tasks</b>					
<b>Measures/Tools</b>					
<b>Analysis/Results</b>					
<b>Recommendations/Improvements</b>					

**Additional Comments:**

Template downloadable from <http://www.humboldt.edu/adminaffairs/Assessment.html>

# Appendix C: Assessment Rubric Definitions

**DIVISION of ADMINISTRATIVE AFFAIRS**  
**ANNUAL ASSESSMENT RUBRIC DEFINITIONS**



	<b>A Model for Others</b>	<b>Acceptable</b>	<b>Needs Modification</b>	<b>Missing</b>
<b>Goals</b>	<ul style="list-style-type: none"> <li>All goals are clearly aligned with the mission and division goals.</li> <li>Compatible with other departments</li> <li>Includes initiatives that resulted from previous assessments</li> <li>Responsive to new information or changing environment</li> </ul>	<ul style="list-style-type: none"> <li>Goals are explicit and support the unit's purpose(s).</li> <li>Clearly linked to the department's mission statement</li> </ul>	Goals are identified	None
<b>Objectives / Outcomes</b>	<ul style="list-style-type: none"> <li>At least one outcome is assessed for each goal</li> <li>Outcomes are identified</li> </ul>	<ul style="list-style-type: none"> <li>Clearly measurable</li> </ul>	<ul style="list-style-type: none"> <li>Not aligned with mission or</li> <li>Not measurable</li> </ul>	None
<b>Measures / Tools</b>	<ul style="list-style-type: none"> <li>Designed to promote improvement</li> <li>Clearly articulated rationale described</li> <li>Each outcome is measured</li> <li>Most of the measures are direct measures</li> <li>Criteria for success are clearly specified</li> </ul>	<ul style="list-style-type: none"> <li>Content to be assessed fits objectives and</li> <li>Data collection process is briefly described and</li> <li>Measures address issues with efficiency and/or effectiveness</li> </ul>	<ul style="list-style-type: none"> <li>Does not fit the objective or</li> <li>Does not describe data collection process</li> </ul>	None
<b>Analysis / Results</b>	<ul style="list-style-type: none"> <li>Multiple periods of data are available</li> <li>Trends or patterns over time are discussed</li> <li>Dissemination of results to appropriate stakeholders has been completed</li> </ul>	<ul style="list-style-type: none"> <li>Results entered for each measure and</li> <li>Status of result indicated and clearly described and</li> <li>Appropriate evidence is presented</li> <li>Results are analyzed and interpreted appropriately</li> </ul>	<ul style="list-style-type: none"> <li>Not aligned with measure</li> <li>Result status not indicated</li> <li>Description (results) missing</li> </ul>	None
<b>Recommendations / Improvements</b>	<ul style="list-style-type: none"> <li>Responsibilities for actions are assigned</li> <li>Target implementation date for action(s) is stated</li> <li>Implemented and planned changes are described and are linked to assessment data, or if no changes are reported, an explanation is provided</li> <li>The unit decides what <i>and</i> how the changes will be implemented <i>as well as</i> how the changes will impact the mission of the division.</li> </ul>	<ul style="list-style-type: none"> <li>Action plan is developed from findings and aligned with objective and</li> <li>Clearly describes intended improvements</li> <li>Unit decides what changes will be made <i>and</i> how changes will be implemented</li> </ul>	<ul style="list-style-type: none"> <li>Does not align with objective</li> <li>Does not describe intended improvements</li> <li>Unit decides what changes will be made</li> </ul>	None

✓ Efficiency refers to how well an activity or operation is performed (e.g., timelines, promptness, cost, etc.) while effectiveness relates to issues of quality and the achievement of desired outcomes.

✓ Ideally Recommendations/Improvements feed into next year's objectives.

Document downloadable from <http://www.humboldt.edu/adminaffairs/Assessment.html>

# Appendix D Assessment Checklist by Timeline & Responsibility

This checklist identifies the steps, responsible employees, source documents, and timelines of each assessment item. Note that most information is captured on the Assessment Plan. These dates are also on our Admin Affairs Division Google calendar.

One annual assessment's activities cross two fiscal years (see table below). The Mission Statement, Goals, Tasks, and Measures are defined between July and March of one fiscal year and then the work to support them occurs between July and June of the following fiscal year. Important business events are included in this checklist (in italics) for planning purposes.

Supporting templates, completed/in-progress assessment plans, and reports are in our division's network share T:\Administrative Affairs\PREP.

Description	Source	Responsibility	Timing
Define/Refine Mission Statements, Goals, Tasks, and Measures* (draft)-for <b>next fiscal year</b> . <ul style="list-style-type: none"> <li>• Division</li> <li>• MBU</li> <li>• Department</li> </ul> *Including Data Sources/Dependencies, Individual Responsible, and Target Start and Complete Dates	Assessment Plan (MS Word template)	<ul style="list-style-type: none"> <li>• VP</li> <li>• AVPs</li> <li>• Managers</li> </ul>	Jul – Sep
Report Annual Assessment-for <b>just ended fiscal year</b>	Assessment Plan (MS Word template)	Staff Assigned each Goal	Jul
Review and Comment on Annual Assessment reports for <b>just ended fiscal year</b> : <ul style="list-style-type: none"> <li>• MBU</li> <li>• Department</li> </ul>	Assessment Rubric (MS Word template)	<ul style="list-style-type: none"> <li>• VP</li> <li>• AVPs</li> </ul>	Aug
Update Division's Project Portfolio- for <b>just ended fiscal year</b>	PREP Portfolio (MS Excel template) – Update the one modified in March.	Project Manager	Aug
Produce Annual Assessment Executive Summary- for <b>just ended fiscal year</b>	Assessment Executive Summary (MS Word template)	Project Manager	Aug
<i>Submit Facilities Project Requests for <b>Next Fiscal Year</b> Activities</i>			Sep
<i>Submit Division Budget Requests for <b>Next Fiscal Year</b> Expenses</i>			Oct
<i>Approve Facilities Project Requests for <b>Next Fiscal Year</b> Activities</i>			Oct

Description	Source	Responsibility	Timing
Review and Comment on Missions, Goals, Tasks, and Measurements (draft) - for <b>next fiscal year</b> . <ul style="list-style-type: none"> <li>• MBU</li> <li>• Department</li> </ul>	Assessment Rubric (MS Word template)	<ul style="list-style-type: none"> <li>• VP</li> <li>• AVPs</li> </ul>	Oct
Report progress on Annual Assessment-for <b>current fiscal year</b>	Assessment Plan (MS Word template)	Staff Assigned each Goal	Oct
Review and Comment on Annual Assessment Progress reports for <b>current fiscal year</b> : <ul style="list-style-type: none"> <li>• Department</li> </ul>	Assessment Rubric (MS Word template)	<ul style="list-style-type: none"> <li>• AVPs</li> </ul>	Nov
Update Division's Project Portfolio- for <b>current fiscal year</b>	PREP Portfolio (MS Excel template) – Update the one modified in March.	Project Manager	Nov
Produce Annual Assessment Progress Executive Summary- for <b>current fiscal year</b>	Assessment Executive Summary (MS Word template)	Project Manager	Nov
Update Division's Project Portfolio- for <b>next fiscal year</b>	PREP Portfolio (MS Excel template) – Update the one modified in March.	Project Manager	Nov
Produce Annual Assessment Plan Executive Summary- for <b>next fiscal year</b>	Assessment Executive Summary (MS Word template)	Project Manager	Nov
<i>Approve Division Budget Requests for <b>Next Fiscal Year</b> Expenses</i>			Dec
<i>Submit University Budget Requests for <b>Next Fiscal Year</b> Expenses</i>			Jan
Report progress on Annual Assessment-for <b>current fiscal year</b>	Assessment Plan (MS Word template)	Staff Assigned each Goal	Jan
Review and Comment on Annual Assessment Progress reports for <b>current fiscal year</b> : <ul style="list-style-type: none"> <li>• Department</li> </ul>	Assessment Rubric (MS Word template)	<ul style="list-style-type: none"> <li>• AVPs</li> </ul>	Feb
Update Division's Project Portfolio- for <b>current fiscal year</b>	PREP Portfolio (MS Excel template) – Update the one modified in March.	Project Manager	Feb
Produce Annual Assessment Progress Executive Summary- for <b>current fiscal year</b>	Assessment Executive Summary (MS Word template)	Project Manager	Feb
<i>Approve University Budget Requests for <b>Next Fiscal Year</b> Expenses</i>			Apr
Report progress on Annual Assessment-for <b>current fiscal year</b>	Assessment Plan (MS Word template)	Staff Assigned each Goal	Apr

Description	Source	Responsibility	Timing
Review and Comment on Annual Assessment Progress reports for <b>current fiscal year</b> : <ul style="list-style-type: none"> <li>• Department</li> </ul>	Assessment Rubric (MS Word template)	<ul style="list-style-type: none"> <li>• AVPs</li> </ul>	May
Update Division's Project Portfolio- for <b>current fiscal year</b>	PREP Portfolio (MS Excel template) – Update the one modified in March.	Project Manager	May
Produce Annual Assessment Progress Executive Summary- for <b>current fiscal year</b>	Assessment Executive Summary (MS Word template)	Project Manager	May
<i>Complete <b>Current Fiscal Year</b> Employee Performance Evaluations</i>			Jun

## Appendix E: Glossary

Item	Definition
<b>Category</b>	<p>Classifies whether the project, service, or initiative is mandatory, essential, or not essential (HSU Prioritization Model for administrative type services (Program Assessment <a href="http://www.humboldt.edu/wasc/docs/Chapter3_2009_09_20.pdf">http://www.humboldt.edu/wasc/docs/Chapter3_2009_09_20.pdf</a>))</p> <ul style="list-style-type: none"> <li>• Level One: Mandatory or required (University Policy, CO Mandate, law, or identified as critical by accreditation or external consultant).</li> <li>• Level Two: Essential to campus operations and mission (If service, one that cannot be completed by any other department)</li> <li>• Level Three: Value-added, but not critical or essential to the University.</li> </ul>
<b>Co-dependencies</b>	Other projects, departments, business processes that could impact the completion of the Task.
<b>Control Points</b>	Milestones to track a Task's progress.
<b>Data Source</b>	The origin of the information used to measure the Task's results.
<b>Department</b>	An organizational unit one level below a Major Business Unit.
<b>Division</b>	An organizational unit one level below the University.
<b>Goals</b>	Goals are broad statements that describe the overarching long-range intended end results of the administrative unit (Division, MBU, or Department).
<b>Individual Responsible</b>	The one person who coordinates or fulfills the effort to complete the Task.
<b>Major Budget Unit (MBU)</b>	Organizational unit one level below a division.
<b>Measures/Tools</b>	Objective criteria that determine whether a goal is met or not.
<b>Mission Statement</b>	A broad statement of the direction and values of the Division.
<b>PREP</b>	See Program Review, Evaluation and Planning
<b>PREP Model</b>	Continuous improvement visual display about how the University's Purpose, Values, and Priorities are used to develop Administrative Affairs Division Mission and Goals and MBU and Department Goals and Tasks.
<b>Process Components</b>	The seven parts of the assessment process: Mission Statement; Goals; Tasks; Measures/Tools; Results/Analysis; Recommendations/Improvements; and Resource Impact.

Item	Definition
<b>Program Review, Evaluation and Planning</b>	Aka PREP. The methodology that guides Administrative Affairs' annual assessment.
<b>Recommendations/Improvements</b>	Suggestions on how to improve a service based on the Results/Analysis.
<b>Resource Impact</b>	The effect on time, money, or effort of reaching/not completing a Task.
<b>Results/Analysis</b>	Evaluation of the data collected after a Task is completed.
<b>Status (Task)</b>	Identifier of where the Task is in its progress: Planned; On Track; Some Concerns; In Jeopardy; On Hold; Cancelled; or Completed.
<b>Target Start</b>	Date that the Task is expected to begin.
<b>Target Complete</b>	Date that the Task is expected to be finished.
<b>Task</b>	Activity or action that defines how a goal will be accomplished. One goal usually has numerous tasks. A task is also known as outcome.
<b>University</b>	Sets campus priorities.

# Appendix F: Reference Materials & Additional Reading

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## Links to all referenced materials:

- Southwestern University's Office of Strategic Planning & Assessment  
<http://www.southwestern.edu/offices/planning/assessment/assessmentcommittee.php>
- University of Central Florida's administrative units handbook  
[http://oeas.ucf.edu/doc/adm\\_assess\\_handbook.pdf](http://oeas.ucf.edu/doc/adm_assess_handbook.pdf)
- Roanoke College's Administrative Assessment Program [http://roanoke.edu/A-Z\\_Index/Institutional\\_Effectiveness\\_Program/Assessment\\_Program/Administrative\\_Assessment.htm](http://roanoke.edu/A-Z_Index/Institutional_Effectiveness_Program/Assessment_Program/Administrative_Assessment.htm)
- Humboldt State University's Academic Programs Program Review web site  
<http://www.humboldt.edu/academicprograms/program-review>
- Building a Performance-Based Work Culture by Cali Ressler & Jody Thompson (free download  
[http://info.gorowe.com/building-a-performance-based-work-culture?\\_hssc=&\\_hstc&hsCtaTracking=50918325-31de-44d0-a3e4-1354bfe0978a|41705097-119e-4dea-b998-8b89b52b26bf](http://info.gorowe.com/building-a-performance-based-work-culture?_hssc=&_hstc&hsCtaTracking=50918325-31de-44d0-a3e4-1354bfe0978a|41705097-119e-4dea-b998-8b89b52b26bf))
- North Carolina State University's Planning & Analysis Internet Resources for Higher Education Outcomes Assessment website (great list of resources from other universities, assessment boards, etc. – see the Assessing administrative and support units)  
<http://www2.acs.ncsu.edu/upa/archives/assmt/resource.htm>
- Butler University's Office of Institutional Research & Assessment's 2011-2012 Administrative Assessment Reports <http://www.butler.edu/institutional-research/administrative-assessment/administrative-assessment-reports/2011-12-administrative-assessment-reports/>
- Kean University's Office of Accreditation & Assessment  
<http://www.kean.edu/KU/Administrative-Unit-Assessment>
- Marymount University's Office of Institutional Effectiveness Assessment Guide  
<http://www.marymount.edu/Media/Website%20Resources/documents/offices/ie/AdminAssessHandbook.pdf>

## Additional Reading:

- Pathfinder International's Series 1 Organizational Development Module 1 Strategic Planning  
[http://www2.pathfinder.org/site/DocServer/Strategic\\_Planning.pdf](http://www2.pathfinder.org/site/DocServer/Strategic_Planning.pdf)
- *Goals Gone Wild: The Systematic Side Effects of Over-Prescribing Goal Setting from Harvard Business School* (<http://www.hbs.edu/faculty/Publication%20Files/09-083.pdf>)
- Mission Statements from Fortune 500 companies  
([http://www.missionstatements.com/fortune\\_500\\_mission\\_statements.html](http://www.missionstatements.com/fortune_500_mission_statements.html)).

- 9 Characteristics of an Effective Mission Statement (<http://smallbusiness.chron.com/9-characteristics-effective-mission-statement-18142.html>).
- Set Goals and Objectives in Your Business Plan (<http://www.dummies.com/how-to/content/set-goals-and-objectives-in-your-business-plan.html>).
- Creating a Mission Statement, Setting Goals and Developing Strategies (Iowa State University Extension and Outreach <http://www.extension.iastate.edu/agdm/wholefarm/html/c5-09.html>).
- Georgia State University's Office of the Associate Provost for Institutional Effectiveness Institutional Effectiveness Overview [http://www2.gsu.edu/~wwwotc/WEAVE/Institutional%20Effectiveness%20Overview%20\(Review\)%202008.pdf](http://www2.gsu.edu/~wwwotc/WEAVE/Institutional%20Effectiveness%20Overview%20(Review)%202008.pdf) and Completed Reviews <https://app.gsu.edu/wwwasur/wwwasur.cfm?dir=Archive>
- State of Idaho's Division of Finance Strategic Plan and Performance Measurement Report Guide [http://dfm.idaho.gov/st\\_agency\\_guide/StratPlanPerfRpt/StratPlan\\_Manual\\_Updated%202011.pdf](http://dfm.idaho.gov/st_agency_guide/StratPlanPerfRpt/StratPlan_Manual_Updated%202011.pdf)
- Auburn University 2012 Assessment Reports <https://oira.auburn.edu/AUAssessment/2012Reports.aspx>
- Southern Polytechnic State University's Planning, Assessment, and Institutional Effectiveness Office <https://www.spsu.edu/planningassessment/> and 2011-2012 Assessments <http://www.spsu.edu/planningassessment/unitassessment/2012.htm>