

# Institutional Effectiveness Manual 2005-2006

Administrative Departments and  
Continuing Education  
Southwestern Community College

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# Introduction

## WHAT IS INSTITUTIONAL EFFECTIVENESS?

Institutional effectiveness (IE) essentially involves two questions. The first question focuses on what a college (and each of its departments/programs) intends to do. This relates to the vision and mission, specifically where the college (or department) wants to go, what it wants to become and how it will get there. The second question is related to and flows from the first- how well is the institution (or department) doing its job in order to arrive where it wants to be or to become what it wishes to be.

Simply stated, institutional effectiveness involves:

- ?? establishing a clearly defined mission or purpose
- ?? formulating educational goals consistent with this mission
- ?? developing and implementing procedures to evaluate the extent to which goals have been achieved, and
- ?? using the results of evaluations to improve programs and services of the college.

## WHY IS INSTITUTIONAL EFFECTIVENESS IMPORTANT?

Over the past decade, colleges have come under increasing scrutiny by legislative bodies, accrediting agencies and the public in general. All of these groups are demanding more accountability on the part of individual colleges. As a result, institutional effectiveness is now a primary consideration at colleges throughout the nation. All college employees who have been involved in a reaccreditation visit by the Southern Association of Colleges and Schools (SACS) would agree that institutional effectiveness was a central theme to that visit. In addition, the concept of performance based funding for colleges is gaining momentum and has been implemented to varying degrees in a number of states. South Carolina and Tennessee are examples of two states that have adopted a form of performance based funding for community colleges. The North Carolina Community College System made an initial step in this direction with the implementation of the Performance Measures and Standards. For additional information on this topic, please refer to Appendix I.

While meeting the requirements of these **external** bodies underscores the importance of institutional effectiveness, the **internal** applications are even more important. Institutional effectiveness provides a mechanism whereby colleges can assess and improve its programs and services (both academic and administrative). This enables the college to better serve and meet the needs of its students and other customers.

## WHO IS RESPONSIBLE FOR INSTITUTIONAL EFFECTIVENESS?

Without question, institutional effectiveness is the responsibility of all employees of the college. While some may be surprised by this answer, a successful institutional effectiveness effort demands the interest and participation of everyone. At Southwestern (as well as at most other colleges) the Institutional Research and Planning Office **coordinates** the institutional effectiveness activities of the college. This is the appropriate role for any institutional research/institutional effectiveness department.

# The Institutional Effectiveness Process at SCC

Like most colleges, the institutional effectiveness process at SCC has been an evolutionary journey shaped by changes in the requirements of the System Office, changes in the SACS Criteria, changes in college leadership and philosophy, and changes in theory and practice in the institutional effectiveness discipline. Throughout these series of changes, the overall commitment of the college to institutional effectiveness has remained firm as has the image of the college as a leader in this field among community colleges in the state. The college has put a number of initiatives and practices in place to contribute to the overall institutional effectiveness of the institution. These activities and practices are described in the following sections of this document and are also outlined in the SCC Institutional Effectiveness Calendar, located in Appendix II.

The institutional effectiveness process at the college begins with the college vision, mission and goals. Each of these elements are reviewed and if necessary, modified on a regular basis. The current version of the college vision, mission and goals is listed in the following section and was approved by the Board of Trustees on July 23, 2002.

## Vision

Southwestern Community College will be:

- A **Gateway** for enriching lives and broadening horizons
- A **Guiding Force** in growing and caring for our mountain community
- A **Creative Partner** in collaborative solutions

## Mission Statement

Southwestern Community College is a comprehensive learning and teaching institution offering high quality innovative instruction and support to all who need and value these services. Seamless links with the community, advanced technology and a culturally rich environment promote student achievement and academic excellence.

Southwestern Community College accomplishes its mission through customer focus, continuous improvement and teamwork:

- ? to awaken the potential of each student, offering multiple pathways for learning what is important to know and to do -- giving coherence and meaning to the total educational experience,

- ? to aggressively pursue the most current technologies while maintaining a nurturing atmosphere which appreciates the value of every individual,
- ? to be a catalyst for community service -- removing barriers, creating linkages, building relationships and integrating resources to enhance the quality of life,
- ? to be a leader in economic development and a mindful steward of the natural and cultural resources of the area,
- ? to prepare citizens to live, learn and work in a diverse global village.

## Institutional Goals

### The College Will...

1. Seek excellence in learning and teaching for transfer, vocational and technical education, literacy development, business and industry training and life long learning in an accessible format to serve a diverse population.
2. Maintain a nurturing learning environment by providing comprehensive support and intervention services for every individual.
3. Proactively identify, acquire and maintain college resources to support the vision, mission and goals of the college.
4. Attract and retain quality employees and provide for their personal and intellectual growth.
5. Develop cooperative community-based relationships which contribute to the cultural, economic, educational and social betterment of the region.
6. Assess institutional effectiveness as part of the planning and renewal process based on continuous improvement principles.
7. Effectively promote the college to the community.

# Southwestern Community College 2005-2006 Priorities

## Criteria for College Annual Priorities

The planning process at Southwestern Community College requires that all annual priorities be consistent with the long-term goals of the institution. In addition, all priorities must address at least one of the following criteria:

- ?           Contribute Toward **Enrollment Growth** at the College
- ?           Contribute Toward **Income Growth** at the College
- ?           Contribute Toward the Ability of the College to Receive **External Funding**
- ?           **Position** the College to Receive Funding
- ?           Contribute to Overall **Efficiency** at the College
- ?           Enhance the Overall **Quality** of the Programs or Services of the College
- ?           Contribute Toward the **Sustainability** of Programs or Services of the College
- ?           Enhance the Ability of the College to Provide Those Services Which Will Assist the General **Advancement** of Those Communities in Jackson, Macon and Swain Counties

## 2005-06 Institutional Priorities by College Goal

1. Seek excellence in learning and teaching for transfer, vocational and technical education, literacy development, business and industry training and life long learning in an accessible format to serve a diverse population.

- Achieve a five percent increase in FTE for both curriculum and continuing education over the 2004-05 year
- Continue to Implement New 21<sup>st</sup> Century technology applications into the classroom
- Finalize strategy for utilizing Jackson Campus bond money
- Prepare for development of the new Macon Campus (with anticipated opening by Fall 2006)

2. Maintain a nurturing learning environment by providing comprehensive support and intervention services for every individual.

3. Proactively identify, acquire and maintain college resources to support the vision, mission and goals of the college.

- Continue migration to the Information System of the Future
- Finalize strategy for utilizing Jackson Campus bond money
- Continue to implement new 21<sup>st</sup> Century technology applications into the classroom
- Prepare for the development of the new Macon Campus (with anticipated opening by Fall 2006)

4. Attract and retain quality employees and provide for their personal and intellectual growth.

- Continue migration to the Information System of the Future

5. Develop cooperative community-based relationships which contribute to the cultural, economic, educational and social betterment of the region.

- Prepare for the development of the new Macon Campus (with anticipated opening in Fall 2007)

6. Assess institutional effectiveness as part of the planning and renewal process based on continuous improvement principles.

- Engage in the reaffirmation process with the Southern Association of Colleges and Schools (SACS)

7. Effectively promote the college to the community.

## KEY COMMITTEES

At this time there are three primary committees at SCC that are involved with institutional effectiveness activities/issues. Each of these committees, including the primary focus, membership structure and other information is described in the following narrative.

### Executive Council

The Executive Council is the primary decision making body of the college. This group is comprised of the college president, all five college vice-presidents, the Director of Human Resources and Facility Development, and the Institutional Research & Planning Officer. The president chairs the Council. The Council meets weekly.

### President's Council

The President's Council (formerly known as the Planning Council) is designed to provide broad-based participation in the college planning process. The President's Council consists of 24 members. Fifteen membership seats are permanent and include the president, all five vice-presidents, the Director of Community and Resource Development, the Institutional Research and Planning Officer, the Public Information Officer, the Director of Human Resources and Facility Development, the four college deans, a Faculty Senate representative and the SLA President. Nine membership seats are at-large and include four members from Instructional Services (one faculty member from each division, plus one Library/LAC representative), one representative from Student Services, two representatives from Extension Education & Services, one representative from Information Technology & Telecommunications and one representative from Administrative Services. At-large members serve for two years. The chair position rotates within the Council. This group primarily serves in an advisory capacity. The Council provides feedback in the following areas:

- ? The college mission, vision, values, and long-range goals (up-dated at least every five years).
- ? Annual planning assumptions (which will serve as the basis for the annual priorities/objectives/initiatives).
- ? Annual priorities/objectives/initiatives for the college.
- ? Monitoring college internal measures and monitoring progress in achieving annual priorities/objectives/initiatives.
- ?? President's Council typically meets three to four times per year- January, April/May, September/October, and sometimes in November/December.

- ? The President's Council address issues with institution-wide significance on an as-needed basis.
- ? Provides a forum for members to provide input and/or voice concerns from their department/area of campus.

#### Institutional Effectiveness Committee

Of all college committees, this one is most intimately involved with institutional effectiveness activities of the college. This committee is an outgrowth of the former Outcomes Assessment Team. In 1998 the scope of the Outcomes Assessment Team was broadened to include not only the outcomes assessment process, but also all institutional effectiveness processes at the college. As a consequence, this group was renamed the Institutional Effectiveness (IE) Committee. The IE Committee provides input into institutional effectiveness methodology, survey design and content, and related matters. This committee is primarily advisory. All recommendations from this committee are forwarded to the Executive Council. At this time the committee has thirteen members. Membership includes representation from Administrative Services, Extension Education & Services, Information Technology & Telecommunications, and Instruction & Student Services. Members are appointed by the respective vice-president in their area. Current members of this committee are:

- Rudy Beharrysingh
- Thom Brooks
- Chris Cox (Faculty Senate Representative)
- Debra Klavohn
- Delos Monteith
- Barb Putman
- Chuck Reece
- Ryan Schwiebert
- Kirk Stephens
- Scott Sutton
- Julie Voorhees
- Paul Wolf
- Phil Weast

## PLANNING/OUTCOMES DOCUMENT

As its name implies, institutional effectiveness is an issue with college-wide significance. However, much of the activity occurs at the department or program level. Examples of departmental/program planning efforts at the college include the Outcomes Assessment Report (an annual academic program report which was initiated in 1992) and the Advance Planning Report (also an annual report which was initiated in 1997 and required for both academic and administrative programs/departments). Because of the similarities and overlaps between these two reports, they were combined into one report beginning with the 2000-2001 planning period. The resulting report is the Planning/Outcomes Document, which serves as the college's primary institutional effectiveness tool at the departmental level. The new report combines the best attributes of the Outcomes Report and the Advance Planning Report into one report that will simplify the planning process for college programs and departments. The new document is designed to meet the planning requirements of both SACS and the System Office, while also serving the internal planning needs of our individual departments.

Preparation of the Planning/Outcomes Document is basically a two-step process that begins in July (for administrative units) and August (for academic programs) each year. This two-step process involves:

1. Assessing the extent to which departmental goals/outcomes from the prior year were achieved (closing the loop on the previous year) and,
2. Developing the departmental goals/outcomes for the current academic year.

The form for the Planning/Outcomes Document is included on the next page. A narrative which details the various components of the new document as well as examples of responses to these components is also included.

# PLANNING/OUTCOMES DOCUMENT

<b>Name of person(s) completing form:</b>		<b>Curriculum/Department:</b>	
<b>Purpose/Mission Statement</b>		<b>Vision Statement, 3-5 years</b>	
<b>Departmental Strengths</b>		<b>Departmental Weaknesses</b>	
<b>Departmental Opportunities</b>		<b>Departmental Threats</b>	
<b>College Goals</b>	<b>2004-05 Department Outcomes/Goals</b>	<b>Success Criteria</b> (e.g. outcomes, enrollment increases)	<b>Plan of Action</b> (including resources needed)

<b>Criteria Results</b> Be sure to utilize most current data available		<b>End of Year Analysis</b> (Goals achieved, impact of equipment purchased, improvements to program or service, contingencies, etc.). Describe how you used the results to improve your program/department.	
<b>College Goals</b>	<b>2005-2006 Department Outcomes/Goals</b>	<b>Success Criteria</b> (e.g. outcomes, enrollment increases)	<b>Plan of Action</b> (including resources needed)

<b>Budget Item Description: (Budget items requested from college funds)</b>	<b>Current Year Budget:</b>	<b>Ongoing Operational Budget:</b>	<b>Expansion Budget:</b>
Supplies-			
Equipment-			
Travel-			
Program Accreditation-			
Other-			
<b>TOTALS</b>			

### **Mid-point Review**

**Progress Notes:**

### Purpose/Mission Statement

This section relates to the purpose/mission of your program or administrative department. This statement can be brief, but you should ensure that it does not conflict with the college mission statement. This statement sets forth the reason for the unit's existence and is descriptive of the unit's role within the overall college. The following example of a unit purpose/mission statement was developed by the financial aid office at a neighboring institution: *"We exist to serve students by reducing the financial barriers to educational goals."*

### Vision Statement

While the mission statement should be a concrete and matter of fact description of the unit's scope within the overall context of the college, the vision statement should be a more creative expression. The vision statement should be a projection of what the unit will be in three to five years in the future. The following example of a vision statement was developed by SCC's Public Information Office: *"Will have the highest quality presence on the Internet among all community colleges in the nation; will have eliminated the need for film processing and printing via the uses of digital cameras and color printers; and will have surpassed Western Carolina University and regional hospitals for the dominant presence among local newspapers in the college three-county service area."*

### Departmental Strengths

Departmental Strengths should be fairly evident for most areas. These are internal attributes possessed by individual departments. For example, a departmental strength might be- "the staff in this department have an average of twenty years experience at the community college level." Another strength might be the technology available in a particular department. For example, a departmental strength could be "this department possesses cutting edge technology resources that meet or exceed the resources available in similar departments in the North Carolina Community College System."

### Departmental Weaknesses

Likewise, Departmental Weaknesses should be fairly evident for most areas as well. Also, as is the case with Departmental Strengths, Departmental Weaknesses are internal challenges which face individual departments. For example, a weakness could be- "this department is understaffed when compared to its counterparts at similar size community colleges in North Carolina." Another example might be that "the technology utilized by this department is outdated and hampers efficiency."

### Departmental Opportunities

Departmental Opportunities may not be as evident as strengths or weaknesses. An example of a departmental opportunity would be "the rapid increase in the number of individuals age 65 and over in the college service area represents an opportunity to offer a wider array of personal enrichment continuing education classes." Another example would be "the development of a new Macon Campus provides an opportunity for the college to increase the number of Macon County residents enrolled in SCC programs."

### Departmental Threats

In some instances there may be some difficulty distinguishing departmental weaknesses and departmental threats. However, there are some clear differences. A departmental threat is often an external circumstance which could have a negative impact on a department. Departmental weaknesses are usually circumstances which are internal to a department. Also, departmental threats are often pending events which might have a

negative impact on a department. An example of a departmental threat might be- “the migration of the college computer information system from the Unix System to the Information System of the Future could have a negative impact (at least in the short-run) on the ability to access critical college data.” Another example would be “the growth of enrollment by private distance learning institutions could have a negative impact on the ability of the college to recruit students in the future.”

### College Goals

This is the narrow column on the left edge of the planning/outcomes document. Departments should enter the college goal **number** that corresponds to each departmental goal in the adjacent column. Currently there are seven college goals- these are listed on page 4 of this manual. This demonstrates the linkage of departmental goals to the goals of the college. For example, most goals of the Institutional Research & Planning Office would correspond to College Goal 6- Assess institutional effectiveness as part of the planning and renewal process based on continuous improvement principles.

### 2004-2005 Department Outcomes/Goals

Departments should enter their 2004-2005 goals/outcomes in this section. These are the goals/outcomes that were developed **last year**. All goals/outcomes should be numbered. New departments/programs will leave this section blank.

### Success Criteria

Departments should enter the success criteria for each 2004-2005 goals/outcomes in this section. Again, these were developed by all departments last year. Each criteria should be numbered in sequence with the goal it corresponds with. New departments/programs will leave this section blank.

### Plan of Action

The plans of action developed last year by all departments should be entered in this section. Again, each plan of action should be numbered to correspond with the appropriate goal/outcome and the appropriate success criteria.

### Criteria Results

This is one of two sections designed to “close the loop” on those departmental goals/outcomes developed for the prior year. Basically, this section is designed to assess how well the department did in achieving the success criteria for each goal. Departments should utilize **the most current data available** to gauge the extent to which each criteria was met. For example, the Enrollment Services area may have listed a 2% fall to fall retention rate as one of its success criteria for the 2004-2005 year. The department would list **the most current data** to assess how well it met this criteria.

### End of Year Analysis

This is the other section designed to “close the loop” on those departmental goals/outcomes developed for the prior year. Basically, this section requires a brief narrative of how your department used the results to improve the program. From a SACS

perspective, this is one of the most critical sections of the planning document. In recent years SACS visiting teams have given special emphasis to the use of results in the planning cycle.

#### 2005-2006 Department Outcomes/Goals

In this section all departments will list their outcomes/goals for the 2005-2006 year. I would suggest a rule of thumb, as advocated by Dr. James Nichols, one of the leading authorities on college planning and outcomes. Nichols recommends that four goals is the ideal number for a departmental plan. While departments are free to select more than four goals, I would concur that four or five goals that are appropriate and are well thought out, are preferable to eight or nine that may be less meaningful to the overall operation of a college department or program. **Each goal/outcome should be numbered.** Also, be sure to list the number of the college goal that corresponds most closely with each departmental goal/outcome. As stated earlier, a list of the college goals is available on page 4 of this document. Also, you should review the list of annual college priorities that are included in this document (beginning on page 5). You should evaluate how your departmental outcomes/goals relate to these institutional priorities. This connection is especially important if you are trying to justify additional resource needs for your area for the 2005-06 year.

Finally, while this section is labeled goals/outcomes, departments should put an emphasis on outcomes. This is particularly critical in light of changes by the Southern Association of Colleges and Schools (SACS) to its criteria for accreditation and reaffirmation at its December, 2002 annual meeting. The revised criteria states that *“the institution identifies expected outcomes for its educational programs and its administrative and educational support services; assesses whether it achieves these outcomes; and provides evidence of improvement based on analysis of those results.”*

Admittedly, the development of measurable outcomes is somewhat easier for curriculum programs, which have been developing annual outcomes since the early 1990's. Curriculum programs have considerably more outcomes based resources from which to draw (such as employer satisfaction with graduates, licensure exam pass rates, etc). In light of the revisions to SACS criteria, administrative departments must begin emphasizing outcomes as opposed to goals that are task oriented. The following examples illustrate outcomes/goals developed by (1) a curriculum department and by (2) an administrative department.

*1. Graduates of the Automotive Technology program will be successfully employed in the field.*

*2. Students will be satisfied with the convenience of the college registration process.*

### Success Criteria

In order to measure the extent to which goals/outcomes are achieved, success criteria must be listed for each outcome/goal. Again, these should be numbered to correspond with the appropriate goal/outcome. What types of data are available to be used for success criteria? The following are some examples of data that is routinely collected at the college. Also, a listing of all surveys which are routinely administered at the college is listed in Appendix III.

- Graduate survey results (conducted annually for each curriculum program as part of the annual program review process). Includes various measures of graduate satisfaction with their program of study, as well as for student service areas such as admissions, registration, Library, etc.
- Student satisfaction with a variety of college services (admissions, bookstore, Library, registration, etc.) is collected through various annual college surveys. These surveys include the New Student Survey (conducted in fall semester), the Student Climate Survey (survey of a sample of curriculum students conducted in spring semester), the Distance Learning Survey (administered to students taking distance learning classes), the Library Student Survey and the Library Faculty Survey. All of the previous surveys generate data that can be used by a variety of college departments to gauge success criteria.
- Employee Evaluation of College Services that is conducted during spring semester each year. This survey assesses faculty and staff satisfaction with a variety of college services (such as Business Services, Institutional Research & Planning, Human Resources, Technology, etc.).

### Plan of Action

As stated earlier, the plan of action outlines how programs and departments will achieve each goal/outcome. This section of the plan is more task-oriented. What key steps are necessary? What new resources if any, are required to meet the goals/outcomes? This section can be brief- there is no need to outline the entire process.

### Budget Items

A new component to the Planning/Outcomes Document for this planning cycle is the Budget Item section. The rationale for this addition is to more closely and directly link planning to budgeting. Planning units can select from several categories (Supplies, Equipment, Travel, Program Accreditation, and Other) to list budget requests for the 2005-06 year. Planning units will indicate in the appropriate column whether these requests are part of the ongoing operational budget for their area, or if these requests are expansion budget requests.

### July/August Review/Mid-Year Review

The plan for each area must be reviewed by the appropriate vice-president. The purpose of this review is to ensure that the goals/outcomes are appropriate and that the entire planning process has been completed. This initial review will occur during July/August for all programs and departments. The form includes a provision for a mid-year review. The exact date of this review will be left to the determination of each vice-president (some point during the first part of January would seem to be a logical time). Some areas of the college may elect to conduct the end of year review near the end of Spring Semester. Otherwise, the end of year assessment would be conducted during the initial review in July/August. The form includes a section for any comments during the review sessions.

### Logistics/Deadlines

**The blank template for this document is located on the college m-drive under the Planning subdirectory. A WordPerfect version and a Word version are both available. Click on the 2005-06 folder. The filename for the WordPerfect version is plan-adm.wpd and the Word version is PLAN-ADM.doc. Do not use the plan-cur.wpd or PLAN-CUR.doc file- that is the version for curriculum programs and is slightly different from the administrative departments' version. BE SURE TO SAVE A COPY OF THE BLANK DOCUMENT TO YOUR OWN DISK OR DRIVE!** You cannot save the information for your department in the Planning directory on the m-drive.

**Beginning with this planning cycle, signatures are no longer required for plans, as all plans will be submitted electronically. All administrative departments must fully complete all sections of the plan and e-mail a copy to the vice-president for their area no later than August 15.** Each vice-president will review the plans for their area and once approved, will forward them electronically to the Institutional Research & Planning Office. All plans must be submitted to the Institutional Research & Planning Office no later than **September 1**.

# Other Institutional Effectiveness Activities

## CURRICULUM PROGRAM REVIEW PROCESS

Program review has been an integral component of the institutional effectiveness effort at North Carolina community colleges since the late 1980's. In addition to its obvious appeal as a tool for internal assessment efforts, program review was also viewed as a key instrument for meeting the requirements of program accrediting bodies, SACS and the System Office.

Until 1989, there were no official System Office mandates concerning program review, but in February of that year a task force recommended to the State Board of Community Colleges the following policy for adoption:

Each college shall monitor the quality and viability of each of its curriculum programs. Each program shall be reviewed at least once every five years with regard to the achievement of its stated purpose, quality of instruction, curriculum design, cost, student outcomes, and contributions to the overall mission of the college. Summary reports of these reviews shall be transmitted to the System President.

This policy was adopted by the State Board on October 12, 1989. This initial policy by the System Office was intentionally broad and did not require a precise approach to program review. Each college was simply required to conduct program review on all curriculum programs at least once every five years.

However, in 1994 the North Carolina General Assembly adopted provisions (Senate Bill 109, Sections 109 and 119) which necessitated significant changes in the program review process. To comply with these provisions, the State Board charged the Program Review and Accountability Task Force with devising a new review process and to set standards programs must meet. The changes recommended by the Task Force (which were adopted by the State Board in November, 1994) resulted in a highly prescribed program review process. This new process was known as the Annual Program Review (APR) and was largely based upon the Desktop Audit Model developed by Dr. Walter Timm at Coastal Carolina Community College.

Basically, the APR required an annual review for all curriculum programs at each community college. The APR involved two levels of review- Level I and Level II. The Level I review consisted of various data elements including graduate satisfaction results, employer satisfaction results, noncompleter satisfaction results, licensure pass rates (where applicable), program enrollment, program FTE, etc. All colleges were required to follow System Office survey methodology and design for the employer, graduate and noncompleter surveys. Colleges were required to submit a program review report to the System Office on each of its curriculum programs.

Under the APR, standards were established for each of the data elements in the Level I

review. Individual programs failing to meet the minimum number of standards were required to undergo a Level II Review. Under the Level II Review colleges were required to justify why a program failed to meet the Level I standards. Failure to adequately justify these failings could result in program termination by the System Office.

State mandated changes to the program review process occurred again in 2000, when the State Board of Community Colleges and the General Assembly approved the new Performance Measures and Standards for the North Carolina Community College System. Please refer to Appendix I for more information on the Performance Standards. One of the changes resulting from the adoption of the Performance Standards was the elimination of the Annual Program Review requirement. Colleges are now no longer required to submit program review reports on its curriculum programs to the System Office. The nature of the program review process is now up to each individual college.

At this point SCC (like many other colleges in the state) will continue to follow the desktop audit program review model on which the APR was based. Under this scenario, the Office of Institutional Research & Planning meets with the coordinator(s) for each program during the early stages of fall semester. The purpose of these meetings is to review the graduate and employer surveys to determine if any changes are needed (either to meet changes in program accreditation requirements or other revisions which would result in more meaningful data). During these meetings, program coordinators are asked to provide the names/addresses of the employers of their graduates from the prior year. Later during fall semester, the Institutional Research & Planning Office mails surveys to all graduates from the prior academic year and their employers. Considerable effort is made to obtain a good response rate for each program. During spring semester the Institutional Research & Planning Office provides a report on each program, including survey results from the graduate and employer surveys. Programs utilize this information in preparing their Planning/Outcomes Document the following fall.

## ADVISORY COMMITTEE MEETINGS

Closely linked with the issue of program review is the topic of advisory committee meetings. This issue primarily relates to curriculum programs. The benefits of regular meetings (at least annually) with an advisory committee are recognized by most, if not all, program coordinators. An advisory committee can be an invaluable source of information of what is occurring in that field and can provide input on how to best prepare graduates to have the requisite skills and training needed by their employers. Care must be taken in selecting the advisory committee- certainly its membership should include leaders in the particular field in question, but these same individuals must also have an interest in working with the college to shape its academic programs and must be willing to devote the necessary time to attend advisory committee meetings. Fortunately for our students, the academic programs at Southwestern have generally done a fine job of organizing regular meetings with their respective advisory committees. Those programs that do not have active advisory committees tend to be those with part-time coordinators or those programs that only have periodic enrollment. In recognition of the inherent value of advisory committees, the college conducts an Advisory Day during spring semester each year. Most programs host advisory committee meetings on this day.

## INSTITUTIONAL EFFECTIVENESS PLAN

Both the North Carolina General Assembly and the State Board of Community Colleges took action in 1989 to require that North Carolina community colleges submit an annual institutional effectiveness plan (Chapter 752, Senate Bill 44, Section 80 and the State Board minutes of the July, 1989 meeting). These plans were to be tailored to the specific mission of the college and would address the critical success factors and the goals of the Community College System. Guidelines stipulated that each plan should address educational programs, faculty, administrative services, student services, learning resources, marketing, literacy, diversity, small business and focused industry training. Plans were to be submitted on a biennial basis, with full plans submitted in September of even numbered years and updates submitted in September of odd numbered years.

In September, 1998, the North Carolina State Board of Community Colleges took action to change the reporting requirements for the institutional effectiveness plans. While maintaining the requirement that each college develop an annual institutional effectiveness plan, the State Board took the position that the plan should be designed to meet the needs of the college and should not be a state compliance document. Effective July 1, 1999, community colleges are no longer required to submit an institutional effectiveness plan to the System Office. However, the System Office does require that the State Education Program Auditors monitor compliance with the legislative mandate that colleges do prepare an annual institutional effectiveness plan and that the plan be indicative of a sound planning process. The auditors also monitor the plans to ensure that the plans specifically address the issues of diversity and technology.

To comply with this mandate, Southwestern Community College produces an annual institutional effectiveness plan. The plan is published in September of each year and is reviewed by the State Education Program Auditor. Key components of the plan include:

- Substantive changes to the college planning process
- Internal and external events affecting plans of the college
- College planning assumptions
- Annual college priorities
- Planning/Outcomes Documents for all programs/departments
- Success of the college in meeting the Performance Measures and Standards
- College Diversity Plan
- College Technology Plan

Copies of the Institutional Effectiveness Plan are on file at the Library and in the Institutional Research & Planning Office.

## THE SCC FACTBOOK

While not generally regarded as an institutional effectiveness activity, the SCC Factbook can be a valuable resource to such efforts. The Factbook is updated annually and includes a variety of information on the college, its academic programs, its students, its employees, and its physical and financial resources. The Factbook also includes data on the college service area. Copies of the Factbook are available in the Library, the office of each college vice-president and in the Institutional Research & Planning Office. The Factbook is also available on the SCC Webpage- to access it, click on the topic *About SCC* , and then scroll down until you see the link to the Factbook. A new edition of the Factbook is released in February of each year.

# Appendix I

## **Performance Measures and Standards**

The North Carolina Community College System has utilized numerous processes over the past three decades to ensure public accountability for state monies spent. These processes have included fiscal audits, program audits, institutional effectiveness plans and program review. Beginning with the 1999-2000 fiscal year, a new system of accountability based on 12 performance measures has been implemented and will become the cornerstone of public accountability.

In February 1999, the North Carolina State Board of Community Colleges adopted 12 performance measures for accountability recommended by the Performance Measures and Standards Task Force chaired by Dr. Willard Lewis, president of Isothermal Community College. After working with the measures for one year and receiving feedback from college personnel, recommendations for changes in the measures were submitted to the Policy Committee of the State Board. These recommendations were accepted and approved by the full State Board in May 2000.

The 12 Performance Measures for the North Carolina Community College System are:

1. Progress of basic skills students
2. Passing rates for licensure and certification examinations
3. Goal completion of program completers
4. Employment status of graduates
5. Performance of college transfer students
6. Passing rates of students in developmental courses
7. Success rate of developmental students in subsequent college-level courses
8. Student satisfaction of program completers and non-completers
9. Curriculum student retention and graduation
10. Employer satisfaction
11. Business/Industry satisfaction with services provided
12. Program enrollment

### Performance Funding:

This undertaking was in response to a special provision of the 1998 legislative session (Section 9.2 of S.L. 1999-237).

Section 9.2 of S.L. 1999-237 specified:

Section 9.2.(a) It is the intent of the General Assembly that the the [sic] State Board of Community Colleges implement the findings of the consultant's Phase IV Funding Study Report, prepared by the State Board and submitted to the Education

Appropriations Subcommittee, on performance budgeting; therefore, Chapter 115D of the General Statutes is amended by adding a new section to read:

**"§ 115D-31.3. Performance budgeting.**

(a) The State Board of Community Colleges shall create new accountability measures and performance standards to be used for performance budgeting for the Community College System. The results of a survey may be used as a performance standard only if the survey is statistically valid. The State Board of Community Colleges shall review annually the accountability measures and performance standards to ensure that they are appropriate for use in performance budgeting.

(b) Notwithstanding any other provision of law, the State Board shall authorize each institution meeting the new performance standards to carryforward funds remaining in its budget at the end of each fiscal year in an amount not to exceed two percent (2%) of the State funds allocated to the institution for that fiscal year. The funds carried forward shall be used for the purchase of equipment and initial program start-up costs excluding regular faculty salaries. These funds shall not be used for continuing salary increases or for other obligations beyond the fiscal year into which they were carried forward. These funds shall be encumbered within 12 months of the fiscal year into which they were carried forward.

(c) The five required performance measures are (i) progress of basic skills students, (ii) passing rate for licensure and certification examinations, (iii) goal completion of program completers, (iv) employment status of graduates, and (v) performance of students who transfer to the university system. Colleges may choose one other performance measure from the list contained in the State Board's Phase 4 Funding Formula Study, which was presented to the Joint Legislative Education Oversight Committee. Successful performance on each of the six performance measures shall allow a college to retain and carry forward up to one-third of one percent (1/3 of 1%) of its final fiscal year General Fund appropriations into the next fiscal year.

(d) Each college shall publish its performance on these six measures in its catalog each year beginning with the 2001 academic year."

Section 9.2.(b) The State Board of Community Colleges shall report to the Joint Legislative Education Oversight Committee and to the Fiscal Research Division prior to March 1, on an annual basis, on the implementation of this provision.

Section 9.2.(c) This section becomes effective July 1, 1999. The State Board of Community Colleges shall authorize institutions meeting the new performance standards to carry forward funds from the 2000-2001 fiscal year to the 2001-2002 fiscal year and at the end of subsequent fiscal years.

In an effort to avoid imposing multiple performance systems on the community colleges and to ensure consistency, the Legislative Study Group worked with the Performance Standards and Measures Task Force in the development of measures and standards. The following requirements for performance funding were adopted by the State Board of Community Colleges in February 1999.

- ? The accountability measures and performance standards may use survey data only if the survey is statistically valid. The special provision authorizes the carry forward of a maximum of 2% of the total State aid budget, as defined as State dollars allocated to the 58 community colleges. The funds can only be used for the purchase of equipment and initial program start-up costs, excluding regular faculty salaries. The funds may **not** be used for continuing salary increases and other obligations beyond the fiscal year (continuing). Another restriction is that funds must be encumbered within twelve months of the fiscal year.

The special provision specified the following five required performance measures for use in performance funding:

- progress of basic skills students
- passing rate for licensure and certification examinations
- goal completion of program completers
- employment status of graduates
- performance of students who transfer to the university system

The colleges may choose one other performance measure from approved list, excluding the enrollment measure that establishes minimum enrollment for a viable program. For each of the six performance measures, a college shall retain and carry forward 1/3<sup>rd</sup> of 1% of final General Fund appropriation.

3. The special provision requires that each college publish its performance on the six measures in its catalogue beginning with the 2001 academic year. Furthermore, the System Office is required to report annually to Education Oversight Committee and the Legislative Fiscal Research Division prior to March 1.
4. This provision was effective July 1, 1999, and the performance funding is to be implemented in fiscal year 2001-2002, based upon data reported during 2000-2001. The accountability measures and performance standards are to be implemented July 1, 2000.

## **Discussion of Measures and Standards**

## 1. Progress of Basic Skills Students

**Description/definition:** Basic skills students include all adult literacy students. The percentage of students who progress is based on three measures: (1) progressing within level, (2) completing the level entered or a predetermined goal, and (3) completing the level entered and advancing to a higher level.

**Methodology and data source:** The indicator measures the progress of basic skills students through the basic skills program. All of the data on literacy students are entered at the college level. Data on the progression of students through the basic skills programs are collected and analyzed using the Literacy Education Information System (LEIS) at the North Carolina Community Colleges System Office.

**Reporting periods/timelines:** Data are requested annually on students enrolled in basic skills programs in a community college between the beginning of the summer term and the end of spring semester. Colleges report the status of these students by August 15. The federal report completed by the department is due to Department of Education - Division of Adult Education and Literacy on October 1.

**Standard:** A fixed standard of 75%

## 2. Passing Rates for Licensure and Certification

**Description/definition:** The percentage of first-time test-takers from community college graduates passing an examination required for North Carolina licensure or certification prior to practicing the profession. A licensure requirement for an occupation is one that is required by state statute for an individual to work in that occupation. Certification is generally voluntary but may be required by employers or an outside accrediting agency. Purely voluntary examinations will not be reported.

**Methodology and data source:** The examination pass rates for each college are reported on a program-by-program basis. The pass rate for a particular college program will be calculated by dividing the number of first-time test-takers passing the examination by the number of first-time test-takers sitting for the examination. Data are collected by the Planning and Research section of the North Carolina Community Colleges System Office from agencies issuing the license or certification. The data are collected and analyzed during the fall and reported in the spring.

**Reporting periods/timelines:** Participating boards and agencies report data to the System Office annually and colleges review the data before publication in the Critical Success Factors Report.

**Standard:** An aggregate institutional passing rate of 80% for all first-time takers of licensure/certification examinations, plus no passing rate falling below 70% for any single examination.

### 3. Goal Completion of Program Completers

**Description/definition:** The proportion of graduates of certificate, diploma, and degree programs who report that their primary goal in attending has been met.

**Methodology and data source:** The data are collected by survey, with each college using a standard set of questions. A response rate of 50% is suggested, and a minimum of 15 respondents will be required to report the data at the institutional level. If a 50% response rate is not achieved, a statistically significant (90% confidence interval) sample size will be necessary for the data to be used for performance funding.

**Reporting periods/timelines:** The data will be collected in February of each year by the Planning and Research section of the North Carolina Community Colleges System Office.

**Standard:** 95% of program completers will report goal completion.

### 4. Employment Status of Graduates

**Description/definition:** The proportion of identified community college completers who are employed within one year of last attendance.

**Methodology and data sources:** With the North Carolina Common Follow-up System (CFS), we are now able to accurately track students' employment status after they leave the colleges. The Common Follow-up System (CFS) is a cooperative venture of the participating state agencies under the auspices of the North Carolina State Occupational Information Coordinating Committee (NC SOICC). The CFS provides a highly efficient and cost effective method for collecting follow-up information for education, employment, and training program participants statewide. The NC SOICC decided that the CFS would be maintained by the Employment Security Commission (ESC).

Each year the agencies involved in the CFS submit unit record data on participants to the ESC. Among the agencies included in this process are the public high schools, community colleges, and the four-year public universities. Each agency's data is matched against the Unemployment Insurance (UI) files and the other participating agencies files. A database containing information on employment, employer, quarterly wages, receipt of unemployment benefits, and participation in other agencies programs is returned to each submitting agency. The database each agency receives is limited to the participants that the agency submits for the data match. This is to say, the database received by community colleges has information only on community college students.

Once the CFS database is received, it is matched against the Curriculum Student Progress Information System (CSPIS) database and the following year curriculum student registration database. This matching is conducted to determine demographic characteristics of the participants, such as students completion status at the end of the academic year and whether they re-enroll the following year. Students who obtain an associate degree, certificate, or diploma in the year given and do not re-enroll in any of the colleges the following year are

defined as exit completers. Those who do not obtain an associate degree, certificate, or diploma in the year given and do not re-enroll in any of the colleges the following year are considered as exit non-completers.

Students who have wages in any quarter during the year are considered employed. Those who are found both in registration records and UI records but have no quarterly wages during the year are considered unemployed.

**Standard:** 95% will be employed. The percentage will be corrected for the average annual unemployment rate in the service area of each college in the following way: compute the difference between the state's average annual unemployment rate and that of the service area and divide by 2. This amount will be deducted from (for colleges with unemployment rates **higher** than the state average) or added to (for colleges with unemployment rates **lower** than the state average) the 90%.

## 5. Performance of College Transfer Students

**Description/definition:** College transfer programs provide educational experiences that will enable transfer students to make the transition to a baccalaureate program and perform as well as the students who enroll as first-time freshmen at universities. The purpose of this measure is to compare the performance of community college associate degree students who transfer to public North Carolina universities with students native to the four-year institution.

**Methodology and data source:** The cohorts consist of college transfer students entering the public universities each fall. One cohort analysis compares the performance of college transfer degree recipients at the end of two semesters to the performance of native juniors. The other cohort analysis compares the performance of college transfer students completing at least 24 hours or more but not completing the degree at a community college to the performance of native sophomores. The two cohorts will be combined for this analysis. There must be at least ten students for a community college to have this measure reported for accountability purposes. Performance data on students who transfer to a four-year public institution are provided by the University of North Carolina General Administration and include only those students who transferred to one of the 16 constituent institutions of the UNC System. No data are available from the private colleges and universities in North Carolina.

**Reporting periods/timelines:** The UNC System provides data annually, between June and September. The data are published annually in the Critical Success Factors Report.

**Standard:** The percentage of community college students with a GPA of 2.0 or higher after two semesters at a UNC institution will equal the percentage of native UNC sophomores and juniors with a GPA of 2.0 or higher.

## 6. Passing Rates of Students in Developmental Courses

**Description/definition:** The developmental course passing rates for all developmental English, mathematics, and reading.

**Methodology and data source:** The North Carolina Community Colleges System Office has developed a computer program to identify developmental courses, identify students who are enrolled in these courses, and calculate passing rates for these courses. The number and percent of students completing these courses with a grade of "C" or better will be calculated.

**Reporting periods/timelines:** Annually data from each college will be sent electronically to the System Office and reported in the Critical Success Factors Report.

**Standard:** 70% passing rate for all developmental courses.

## **7. Success Rate of Developmental Students in Subsequent College-Level Courses**

**Description/definition:** The performance of developmental students in subsequent college level courses will be compared with the performance of non-developmental students in those courses. Specifically, performance of students in English 111 will be used to assess developmental English; performance in the first college-level mathematics course will be used to assess developmental mathematics; and performance in the first social science course after completion of developmental reading will be used to assess developmental reading. The purpose of this measure is to provide evidence that developmental courses equip students with the skills and knowledge necessary for success in their college studies. Once students have successfully completed the developmental courses, they should be able to pass curriculum courses.

**Methodology and data source:** A computer program has been developed and is being implemented at the colleges that will identify developmental courses and identify students who are enrolled in these courses. This program will have to be expanded to track cohorts of developmental students and compare performance with non-developmental students.

**Reporting periods/timelines:** Annually data from each college will be sent electronically to the department and reported in the Critical Success Factors Report.

**Standard:** Developmental students will perform as well or better than nondevelopmental students at a statistically significant level.

## **8. Student Satisfaction of Program Completers and Non-Completers**

**Description/definition:** This indicator reports the proportion of graduates and early-leavers who indicate that the quality of the college programs and services met or exceeded their expectations.

**Methodology and data source:** The data are collected by survey, with each college using a standard set of questions. A response rate of 50% for completers is suggested, and a minimum of 15 respondents (total) will be required to report the data at the institutional level. No minimum response rate is proposed for non-completers.

**Reporting periods/timelines:** The data will be collected in February of each year by the Planning and Research section of the North Carolina Community Colleges System Office.

**Standard:** 90% of the combined respondents will report being satisfied with quality of college's programs and services.

## **9. Curriculum Student Retention and Graduation**

**Description/definition:** This composite measure consists of:

1. Number completing a curriculum program with a certificate, diploma, or degree
2. Number who have not completed a program but who are continuing enrollment in either curriculum or occupational extension programs

This composite indicator will consist of two measures, each reported separately for each college. The sum of the two will be divided by the total curriculum students in the cohort to compute an indicator of curriculum student progress and success.

**Methodology and data source:** Cohorts will be defined each fall based upon number of students enrolled in degree granting curriculum programs. The cohort will be tracked from fall to fall to determine those who have graduated and those who have continued to be enrolled. This number divided by the initial cohort is the percentage reported.

**Reporting periods/timelines:** Initial cohorts will be identified each fall. Graduates of programs will be determined using software developed by the System Office. Student enrollment files as of the census date will be used to determine the number from the cohort who are still enrolled in either a curriculum or occupational extension program.

**Standard:** 60% of the defined cohort will graduate or be retained.

## **10. Employer Satisfaction with Graduates**

**Description/definition:** The percentage of a sample of businesses who employ community college students indicating that their expectations have been met. This measure is intended primarily to determine the satisfaction of organizations whose employees have been trained through a community college.

**Methodology and data source:** A state level survey will be conducted each year to determine employer satisfaction. Employers will be divided into 3 categories based on historic enrollment of community college students and Standard Industrial Classification (SIC) code. Each category of employers will be surveyed every 3 years on an alternating basis.

**Reporting periods/timelines:** The data will be collected in February of each year by the Planning and Research section of the North Carolina Community Colleges System Office.

**Standard:** 85% of employers report being satisfied with preparation of community college graduates.

## **11. Business/Industry Satisfaction with Services Provided**

**Description/definition:** The percentage of a sample of businesses/industries who have received services from a community college indicating that their expectations of have been met. This measure is intended primarily to determine the satisfaction of organizations who received services from a community college.

**Methodology and data source:** A state level survey will be conducted each year to determine business/industry satisfaction. Businesses/industries will be divided into 3 categories based on historic enrollment of community college students and Standard Industrial Classification (SIC) code. Each category of businesses/industries will be survey every 3 years on an alternating basis.

**Reporting periods/timelines:** The data will be collected in February of each year by the Planning and Research section of the North Carolina Community Colleges System Office.

**Standard:** 90% will report being satisfied with the services provided by community colleges.

## **12. Program Enrollment**

**Description/definition:** The annual unduplicated headcount enrollment in a curriculum program.

**Methodology and data source:** This indicator would measure the number of individuals enrolled in a given curriculum program, with enrollment meaning the student was enrolled as of the census date. The data are available from the colleges Curriculum Registration File.

**Reporting periods/timelines:** Curriculum registration data are submitted to the North Carolina Community Colleges System Office by the colleges at the end of each semester. In addition, the annual data are available from the Annual Program Review file submitted by each college in October.

**Standard:** The current fixed standard of an average of 10 students over a three-year period is recommended. **However, this measure is not recommended for use in performance funding since it is a minimum standard for program viability.**

**PERFORMANCE MEASURES AND STANDARDS  
NORTH CAROLINA COMMUNITY COLLEGE SYSTEM**

<b>MEASURE</b>	<b>STANDARD</b>
Progress of Basic Skills Students	75%
Passing Rates on Licensure/ Certification Exams for First-Time Test Takers	Aggregate = 80% Exams = 70%
Goal Completion for Completers	95%
Employment of Graduates	95% (adjusted)

Performance of College Transfer Students	Equivalent to Native UNC Sophomores and Juniors
Passing Rates in Developmental Courses	70%
Success Rate of Developmental Students in Subsequent College Level Courses	Developmental Students Perform as Well as or Better Than Nondevelopmental Students at a Statistically Significant Level
Student Satisfaction of Completers and Non-completers	90%
Curriculum Student Retention & Graduation	60%
Employer Satisfaction with Graduates	85%
Business/Industry Satisfaction with Services Provided	90%
Program Enrollment	No Programs With Three-Year Average Annual Enrollment of Less than 10

# Appendix II



## SCC Institutional Effectiveness Calendar

	<b>Planning/Outcomes Document</b>	<b>Program Review</b>	<b>Surveys</b>	<b>Other</b>
January	Mid-point evaluation	Follow-up phone calls to employers & graduates who have not responded to survey	Non-completer Survey (for Performance Measures)	New edition of Factbook released President Council meets
February		Tabulate survey results, finalize reports.	Student Climate Survey	Performance Measures due at System Office
March		Route completed reports to program coordinators	Employee Evaluation of College Services Survey	
April		Program coordinators incorporate any necessary changes based upon program review results	Library Student Survey Library Faculty Survey Student Opinion Survey	President Council meets
May	End of year review (Academic programs)		Distance Learning Survey (Spring Semester)	
June				College selects “6th” performance funding measure
July				Update Institutional Effectiveness Manual
August	Beginning of planning cycle for coming year. Administrative depts. “close loop” on previous year.			
September		Meet with program coordinators to discuss changes for graduate/employer surveys. Program coordinators to provide info on employers.		Institutional Effectiveness Plan produced  President Council meets
October		First mailing of surveys to graduates, employers	New Student Survey	
November		Follow-up mailing to graduates and employers		
December		Follow-up phone calls to employers & graduates who have not responded	Distance Learning Survey (Fall Semester) Student Opinion Survey	

# Appendix III

## Standard Surveys Administered at Southwestern Community College

### **Surveys Administered Each Semester**

Distance Learning Survey  
Student Opinion Survey (course evaluation)

### **Annual Surveys**

Employee Evaluation of College Services  
Gear-Up Student Survey  
Library User Survey (Faculty)  
Library User Survey (Student)  
New Student Survey  
Non-Returning Student Survey  
Student Climate Survey  
Survey of Employers of SCC Graduates

### **Other Surveys**

Student Satisfaction Inventory Survey (Noel-Levitz)\*  
Institutional Priorities Survey (Noel-Levitz/Faculty & Staff Survey)\*  
Community College Survey of Student Engagement (CCSSE)\*\*

\*These Noel-Levitz surveys were administered Fall Semester 2001 and Fall Semester 2003

\*\*CCSSE survey administered Spring Semester 2005