Distributed versus Centralized Leadership of Administrative Assessment Processes: Two Institutions, Multiple Lessons

IUPUI Assessment Institute
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Expected Outcomes

After attending this session, participants will have the background information needed to assist them in:

- Determining if either a centralized or distributed leadership model is most appropriate for their own institutions, and
- Developing a plan to either implement the most appropriate structure for peer review of administrative and student affairs assessment on their campuses or improving their existing structure

FOCUS

Academic Assessment

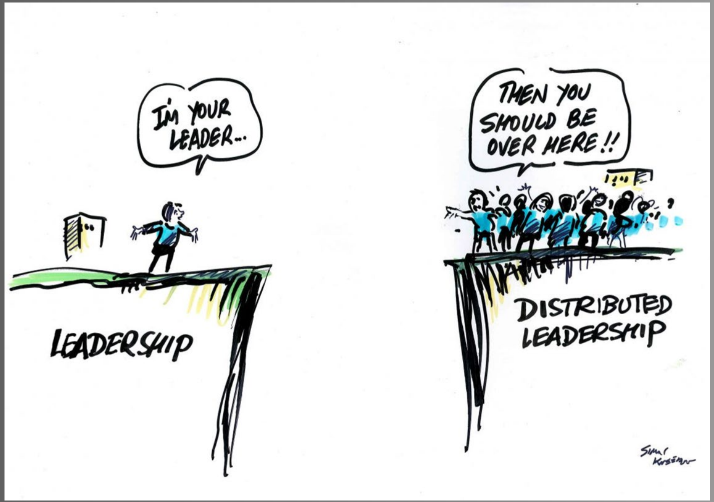
Administrative Assessment

General Education Assessment

Anything that involves strategic decision making Assessment

Distributed Leadership

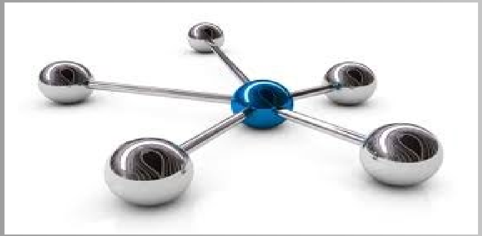
- Spillane, J. P. (2006). *Distributed leadership*. San Francisco, CA: Jossey-Bass.
  - "interaction of leaders, followers, and their situation….stretched over individuals who have responsibility for leadership routines" (p. 14)



Defining Frameworks

Distributed Model of Review and Feedback

vs



Centralized Model of Review and Feedback

Describing Us

Review Process

✓

✓…with qualification

Model

Distributed Centralized

Why Have a Review Process?

- In the absence of feedback, it may be assumed “administrators do not care”
- Those functioning as part of a review team become “assessment insiders,” and may “become leaders and advisors on assessment”
    - Fulcher, K. H., Coleman, C. M., & Sundre, D. L. (2016)
- The institutional assessment committee (not just academic)…”one that reviews annually a sample of unit assessment reports and provides feedback…appears to be single best predictor of compliance”
    - Dr. Alexei Matveev, *Director of Training and Research, SACSCOC (11/2019)*

Why Have a Review Process?

Our Early Model

Institutional Effectiveness Review Team – The Process

- Composed of 2 staff from each division, representing all divisions across campus (President, VPAA, VPIT, VPBF, VPRED, VPSAEM, VPUA)

- Coordinated by the AVP of Institutional Effectiveness

- Informally charged with:
  - Annual review of Institutional Effectiveness Assessment Reports
  - Providing feedback to report writers

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Early Peer Review of Reports

- Institutional Effectiveness assessment reports submitted annually, in early summer, representing the previous fiscal year
- Common template and timeline
- Reports peer-reviewed by IE Review Team Members
- Administrative Assessment Rubric (adapted with permission from James Madison University) applied to reports
- Electronic scoring process and final comments prepared for each unit

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The Lessons

- Team Members

- Institutional Receptiveness

- Team Support

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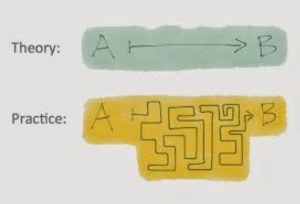
Where We Struggled

- Use of Feedback and Scores



- Norming versus Live Scoring

- Training and Time Connection

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Where We Succeeded*

- Time and Space
- Appreciation
- Trust

* Even if the successes were small☺


A Cautionary
Tale

At Present

- Contributing Factors
  - Leadership transitions
  - Strategic Planning
  - 2018 Consolidation

→ Large distributed team

→ Considerably smaller team

→ Currently centralized

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ODU - Journey to our Model

- About us
- Last Reaffirmation - 2012
- History of Office of Institutional Effectiveness and Assessment (decades)
- Office relies heavily on an Administrative Assessment rubric that was developed over 10 years ago
- Rubric is used as the indicator of reporting quality across all of our units

Aspects of this Centralized Model

The Collection, Review, Feedback, and Follow-Up are all executed by two Units

51 by Institutional Effectiveness & Assessment under Academic Affairs

19 by Assessment and Planning Office under Student Affairs

The Collection and the Review

- The Collection and Timeline
  - Reports are submitted by September 30 for all areas
  - Trainings are offered throughout the year, but emphasized in August and September (Worksheet)

- The Review
  - 5 Full-Time staff apply our Administrative Assessment Rubric (provided at the end)
    - developed internally to help us review our 51 Administrative Reports
  - We spend a day calibrating on the rubric, and then we score individually across the span of a month or two (a third review occurs with scores deviating more than 2 points)

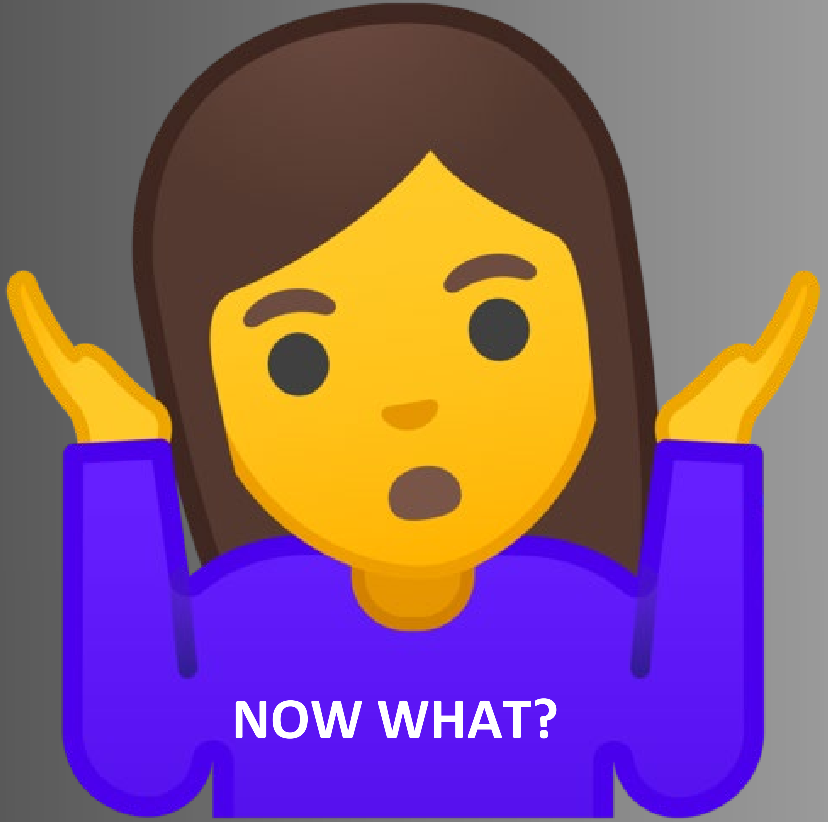
The Feedback and the Follow-Up

- The feedback
  - The rubrics are completed using Qualtrics, and written feedback is recorded, as appropriate, for each criteria along with scores

- The follow-up
  - Scores are collected and averaged
  - Three categories are determined based on averages
    - Needs:
      - Immediate attention
      - General support
      - Direct Intervention not required

- The scoring categories will determine the urgency and the method used to support/intervene assessment development

Where to Start?



Know the Standards and Expectations

7.3: The institution identifies expected outcomes of its administrative support services and demonstrates the extent to which the outcomes are achieved.

8.2c: The institution identifies expected outcomes, assesses the extent to which it achieves these outcomes, and provides evidence of seeking improvement based on analysis of the results for academic and student services that support student success.

- Admin Units: 7.3 -> Outcome Achievement
- Student Support Services: 8.2c -> Continuous Improvement

Focusing on Continuous Improvement

CR 7.1 Institutional planning: "Effective institutions demonstrate a commitment to principles of continuous improvements, based on a systematic and documented process of assessing institutional performance with respect to mission in all aspects of the institution."

Reporting:

1. How much documentation is necessary?

2. What's worth emphasizing?

Review:

1. What structural/cultural barriers exist that we can help our units overcome?

How Much is Enough? What's Worth Emphasizing?

	Old Dominion University	Georgia Southern University
Do we need to know **everything** a unit does?	• Limit established (3) • Administrative burden to consider	• Typically, no limit • Quantity over quality
What's worth emphasizing?	• Improvement: What are you doing that you're trying to improve?	• Improvement : Even **incremental** improvement is a good thing • Aim for progress….not perfection

What’s In the Way?

What structural/cultural barriers exist that we can help our units overcome?

- Miscommunication (when staff don’t understand expectations)
- Technology (fast reporting)
- Sharing the wins (and **only** the wins

- When **we** can’t clarify expectations
- Reporting structure (silos)
- Fear of being evaluated by internal peers who are external to their areas
- Technology (collaboration)
- Sharing the wins (and **only** the wins

Choose Your Own Adventure

- There are pros and cons with each approach

- Your culture and institutional needs may predict what works and what doesn’t
- Your leadership style and personal characteristics may also predict what works and what doesn’t

“Strategic consistency seems to be related to both organizational survival and the most efficient change over time concerning the key elements of a firm's strategy” (Lamberg et. al, 2008)

Tools to Share!

Old Dominion University	Georgia Southern University
Rubric for Review	**Rubric for Review**
Assessment Template	**Assessment Template**

References and Contact Information

Fulcher, K. H., Coleman, C. M., & Sundre, D. L. (2016). Twelve Tips: Building High-Quality Assessment through Peer Review. Assessment Update, 28(4), 1. https://doi.org/10.1002/au.30062

Lamberg, Juha-Antti, Tikkanen, Henrikki, Nokelainen, Tomi, and Suur-Inkeroinen, Henri. "Competitive Dynamics, Strategic Consistency, and Organizational Survival." Strategic Management Journal 30.1 (2009): 45-60. Web.

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Administrative, Academic, and Student Support Services

2020-2021

PLEASE INSERT UNIT/DIVISION NAME HERE

Mission Statement:

Goal 1:

Strategic Theme Relationship(s):

Objective 1:		
	Implementation Strategy:	
	Measurement Tool:	
	Data Collection Process:	
	Target:	
	Findings & Analysis:	
	Action Plan:	
Objective 2		
	Implementation Strategy:	
	Measurement Tool:	
	Data Collection Process:	
	Target:	

	Findings & Analysis:	
	Action Plan:	

Administrative, Academic and Student Support Services Institutional Effectiveness Rubric
(Revised June 2016)

Mission: Identifies the unit's **unique** role within the university

Needs Attention	Approaches Standard	Acceptable	Exemplary Standard
• Identifies only the unit's reporting division • Does not specifically identify the unit or its unique purpose (for example, "VP of Business and Finance" instead of "Postal Service")	• Identifies both the unit and its reporting division but does not clearly distinguish between the missions of the unit and its reporting division • Attempts to address: ○ the unit's unique purpose ○ the audience(s) the unit serves (e.g., faculty, staff, students.)	• Identifies both the unit and its reporting division • Clearly distinguishes between the two • Clearly addresses: ○ the unit and its reporting unit ○ the unit's purpose ○ the audience(s) the unit serves (e.g., faculty, staff, students) ○ the unit's connection to the divisional mission and/or the GSU mission	• Identifies: ○ the unit and its reporting unit ○ the unit's **unique** role within the university ○ the unit's purpose ○ the audience(s) the unit serves (e.g., faculty, staff, students) ○ to what disciplinary or professional standards and/or best practices the unit aspires ○ The unit's connection to the divisional mission and/or the GaSou mission **Guiding Question(s) and Note(s):** "Does the statement distinguish the unit from other administrative units? If the name was removed, it should not be applicable to another administrative unit." (UCF, 2008)

Goals: Broad, aspirational statements, specific to the unit, that address what the unit hopes to accomplish in the near and more distant future and align with the university strategic goals

Needs Attention	Approaches Standard	Acceptable	Exemplary Standard
• Vague statements that do not clearly represent what the unit intends to accomplish • All have a maintenance focus, without justification • No clear connection to university strategic goals	• Broad statements specific to the unit, that encompass most functions of the unit but do not clearly articulate what will ultimately be accomplished • Some may have an aspirational focus, but most are maintenance focused, without justification for maintenance • Seem to align with the university strategic goals	• Clear, broad statements specific to the unit • Encompass most functions of the unit • Statements may have a maintenance focus (with justification) but most should have an aspirational focus • Cleary align with the university strategic goals	• Clear, broad aspirational statements, specific to the unit • Address what the unit hopes to accomplish in the near and more distant future (both short- and long-term) • Encompass all functions of the unit as defined in the mission statement • Statements may have a maintenance focus (with justification) but most should have an aspirational focus • Clearly align with the university strategic goals **Guiding Question(s) and Note(s):** Effective with the FY'17 cycle, units should include all Goals in each assessment cycle, even if related *Objectives* are not assessed in that specific cycle.

Objectives: Specifically defined statements that operationalize the Goal (NOTE: Justification should be included for *new* Objectives)			
Needs Attention	**Approaches Standard**	**Acceptable**	**Exemplary Standard**
• All lack clarity and do not show clear alignment with the *Goals* or • All focus on maintaining or continuing a unit's ongoing responsibilities rather than on improving a function of the unit • Collaboration with other units may be mentioned, but not explained	• Statements need greater specificity to determine clear alignment with the *Goals* but appear to be controlled by the unit or include defined collaboration with other units • Statements are not focused exclusively on maintenance or continuation of the unit's ongoing responsibilities but also on improving the functions of the unit	• All statements clearly align with the *Goals* and are specifically defined • Predominantly focus on improvement rather than maintenance • All statements are within the control of the unit or include defined collaboration with other units* * (Details of collaboration are specified in *Implementation Strategies*) **Note:** A reduction in resources **could** make maintenance an acceptable outcome, but justification should be included.	• Specifically defined statements that operationalize the unit's *Goal* • Specifically define what aspects of the goal will be addressed • Describe desired improvements or enhancements of that aspect of the *Goal* • If not all are specifically addressed in the current assessment cycle, the full assessment cycle with timeline for all *Objectives* is presented in tabular form • May involve collaboration with other units * (Details of collaboration are specified in *Implementation Strategies*) **Guiding Question(s) and Note(s):** **Suggested Key Words:** Increase Enhance Reduce Enhance Minimize Promote

Implementation Strategies: Clear and detailed steps units will take to accomplish the *Objective*			
Needs Attention	**Approaches Standard**	**Acceptable**	**Exemplary Standard**
• Described in such general terms a colleague could not implement in another's absence • Cannot determine a clear connection between the *Implementation Strategies* and *Objectives* • Does not reflect *Action Plan* from previous year	• Described in general terms, making it difficult for a colleague to implement in another's absence • Show insufficient or vague connection between the *Implementation Strategies* and *Objectives* • May include general justifications for why some of the *Implementation Strategies* were developed or selected • If collaboration with other units is involved, specifics of the collaboration are not included • Reflects *Action Plan* from previous year	• Most are clearly described with a level of detail allowing a colleague to implement in another's absence • All *Implementation Strategies* clearly relate to the associated *Objective* • Include general justifications for why most of the *Implementation Strategies* were developed or selected • If collaborating with other units, include details of how that collaboration will occur (Who (title) will do what, when, and how?) • Steps and strategies from *Action Plan* from previous year are presented in their entirety for all *Objectives*	• Clear and detailed steps the unit will take to accomplish each Objective with a level of detail allowing a colleague to implement in another's absence (Who (title) will do what, when, and how?) • All *Implementation Strategies* clearly relate to the associated *Objective* • If collaborating with other units, include details of how that collaboration will occur (Who (title) will do what, when, and how?) • Steps and strategies from *Action Plan* from previous year are presented in their entirety for all *Objectives* **Guiding Question(s) and Note(s):** *Action Plan* from previous year should be written such that units can cut and paste from *Action Plan* at the end of previous cycle to Implementation Strategies for upcoming cycle. May retain strategies from the previous year, but new strategies should be clearly identified.

Measurement Tools: Tools used to determine progress toward/achievement of all aspects of the Objectives			
Needs Attention	**Approaches Standard**	**Acceptable**	**Exemplary Standard**
• Will not provide information about progress toward or achievement of all *Objectives* • Vaguely described, making it difficult to determine the tools' ability to provide information about progress toward or achievement of all *Objectives* • Do not include discussion of the development or selection of the tools	• Adequately described to determine the tools' ability to provide information about progress toward or achievement of the *Objective* for some, but not all, *Objectives* measured during this year • Do not include discussion of the development or selection of the tools	• Adequately described to determine the tools' ability to provide information about progress toward and/or achievement of the *Objective* as a whole • Provide the details needed to identify strengths and weaknesses for some *Objectives* (e.g., measuring ticket sales to faculty, staff, and students rather than ticket sales as a whole) • Include a general discussion of their development and selection, including consultation with credible sources (e.g., someone knowledgeable or expert publication) regarding the development of the *Tool* selected (e.g., survey, focus group, rubric, etc.) • Examples of actual *Measurement Tools* are included as appendices	• Adequately described to explain the tools' ability to provide detailed information to identify strengths and weaknesses used to determine whether or not units are making progress toward and/or achieving the *Objective* • Include detailed description of their development and selection, including consultation with credible sources (e.g., someone knowledgeable or expert publication) regarding the development of the *Tool* selected (e.g., survey, focus group, rubric, etc.). Who had input, how were tools chosen over other options, or how were tools developed, etc. • Examples of actual *Measurement Tools* are included as appendices • Include multiple measures for some *Objectives* **Guiding Question(s) and Note(s):** **Possible Measurement Tools:** • Rubrics • Behavioral observations • Point-of-Service surveys • Nationally available surveys • Locally developed surveys • Focus groups • Interviews • BANNER Data • Spreadsheets What do units need to look at to make the determination that they have reached or made progress toward achieving the *Objective*?

Targets: Clear description of a performance/achievement mark from the measurement tool to establish a meaningful, desired level of achievement for each outcome/ objective assessed and a timeframe for doing so			
Needs Attention	**Approaches Standard**	**Acceptable**	**Exemplary Standard**
• Do not include performance/achievement levels (e.g., funding target/quantity of object/quality improvement) from the M*easurement Tool* to establish a desired level of achievement for any *Objectives*, **or** • Do not provide clear and specified information or time frame for completion or reaching milestones by specific dates	Include: • a performance/achievement level (e.g., funding target/quantity of object/quality improvement) from the *Measurement Tool* to establish a desired level of achievement for some *Objectives* **and/or** (when appropriate) • clear and specified information or time frame for completion or reaching milestones by specific dates for some but not all expectations	Include: • a performance/achievement level (e.g., funding target/quantity of object/quality improvement) from the *Measurement Tool* to establish a meaningful, desired level of achievement for each outcome/objective assessed **and/or** (when appropriate) • clear and specified information or time frame for completion or reaching milestones by specific dates for all expectations • a general description of the process of developing the *Target* and the parties involved	Include: • a detailed description of a performance/achievement level (e.g., funding target/quantity of object/quality improvement) from the *Measurement Tool* to establish a meaningful, desired level of achievement for each outcome/ objective assessed and a timeframe for doing so **and/or** (when appropriate) • clear and specified information or time frame for completion or reaching milestones by specific dates for all expectations • a detailed description of the process of developing the *Target* and the parties involved **Guiding Question(s) and Note(s):** This is not a target *audience* (e.g. "students" or "participating staff"). How will units know when they have achieved the *Objective*? What is the specific mark of achievement (funding target, quantity to increase or decrease, or quality improvement)

Data Collection Method(s): Thorough description of how the *Measurement Tools* will be distributed and how the data will be collected			
Needs Attention	**Approaches Standard**	**Acceptable**	**Exemplary Standard**
• Unclear if the process will provide the information necessary to determine progress toward or achievement of the *Objectives*	• Include(s) a vague description of how the *Measurement Tools* will be distributed, how the information will be collected, and from whom • Do/does not clearly include sufficient data gathering or tracking opportunities to collect the information necessary to determine progress toward or achievement of the *Objectives* (timeline, places, conditions, etc.) • Not clearly based on any accepted practice	• Generally describes how *Measurement Tools* will be distributed, how the information will be collected, and from whom* • Appear(s) to include sufficient data gathering or tracking opportunities to collect the data necessary to determine progress toward or achievement of the *Objectives* (timeline, places, conditions, etc.) • Based on accepted practice *When sampling is used, the sample is representative of the population served. Include rationale and seek advice if unsure.	• Include a thorough description of how the *Measurement Tools* will be distributed, how the information will be collected, by whom, from whom, and at what point(s) to determine if the *Objectives* have been reached or if progress has been made toward reaching the *Objectives* • Information should, when appropriate, be gathered at different times throughout the year if a strategy is introduced at multiple times ○ For example, Research Accounting collects data relative to effort reporting for grant funded projects. After implementing the same strategies each term, data are collected by semester during fall, summer, and spring terms for comparative purposes and trends. **Guiding Question(s) and Note(s):** When sampling is used, the sample is representative of the population served. Include rationale and seek advice if unsure. Units should be sure to collect data from subgroups, at different times, or under different conditions, if any could yield different results ○ For example, the Performing Arts Center collects data relative to ticket sales for each performance and disaggregates the data based on population (faculty/staff, student, patrons, and general public tickets sold.).

Findings & Analysis: Was *Objective* achieved or was progress made toward achievement of the *Objective*? Results explained in terms of the *Implementation Strategies* employed

Needs Attention	Approaches Standard	Acceptable	Exemplary Standard
• In all cases, do not indicate progress toward or achievement of the *Objectives*, but report only basic results (numbers, ratings, etc.) • Results are presented and may indicate target met or unmet, but *Implementation Strategies* are not addressed	• Do not indicate, in all cases, progress toward or achievement of the *Objectives* • Do not include who interpreted and do not appear to have been discussed with multiple representatives from the unit • Seem related to the intended *Objective* • Makes a general connection between results and *Implementation Strategies* collectively	• Indicate, in all cases, progress toward or achievement of the *Objectives* • Include who interpreted and were shared with others • Clearly relate to specific measures and *Objectives* • Explain, in some cases, which *Implementation Strategies* **seemed** to contribute to success and which did not	• Indicate, in all cases, if the strategies collectively resulted in progress toward or achievement of the *Objectives* • Indicate who interpreted the data and were shared and used to facilitate discussions with multiple representatives from the unit • Explain which *Implementation Strategies* **seemed** to contribute to success and which did not • Include relevant data from prior years to demonstrate growth and loss

Action Plan/Use of Results: Based on the *Findings and Analysis* describe, with detail, next year's *Implementation Strategies*, with a level of specificity that details how, when, and by whom the strategies are to be implemented

Needs Attention	Approaches Standard	Acceptable	Exemplary Standard
• Vague and not clearly aligned with *Findings and Analysis* or *Objectives*	• Generally aligned with *Findings and Analysis*, but vaguely stated, such that a colleague could not implement in another's absence • If new *Objective*/assessment strategies introduced, no supporting data are included • Are not shared, reviewed, or evaluated with others	• Developed directly from the *Findings and Analysis* and clearly align with the *Objective* • While some may be general, most include a level of specificity that details how, when, and by whom the *Implementation Strategies* are to be implemented, such that a colleague could implement in another's absence • May include changes to *Objective*/assessment strategies (based on evidence presented) • Have the input of multiple people, when additional expertise is needed	• Based on the *Findings and Analysis* describe, with detail, next year's *Implementation Strategies*, with a level of specificity that details how, when, and by whom the *Implementation Strategies* are to be implemented • A colleague could implement in another's absence • Should have input of multiple people, when additional expertise is needed **Guiding Question(s) and Note(s):** Based on *Findings and Analysis* or new evidence collected?* Who (title) will do what, when, and how? *If *Objective* changes or is replaced with a new *Objective*, should be explained here, with appropriate evidence.

_____________(YOUR OFFICE NAME HERE)_________

ASSESSMENT WORKSHEET (Due______________)

Please Complete the worksheet (Sections 1-7) in its entirety by writing in the "Fill in" Columns

SECTION 1 **Three IMPROVEMENT Strategies/tactics/initiatives** that your office engaged in since (September 2019). **No less than three improvement Strategies.**		
Fill in	Directions	Examples
Strategy 1: *(Use Formula)* **Strategy 2:** *(Use Formula)* **Strategy 3:** *(Use Formula)*	**Formula:** The <u>(your office name)</u> pursued improvement by <u>(select *__improvement action word__* then describe what you're implementing).</u> ***Improvement Action Words** to select: *implementing, maximizing, enhancing, developing, distributing, evolving, pursuing, examining, determining, evaluating. providing* A strategy is a **new or revised** initiative, intervention, or change that is implemented. <u>Do not</u> describe unchanging ongoing responsibilities - *the key is to emphasize strategic change.*	**Example Strategy 1:** The <u>Office of Reporting</u> pursued improvement by ***<u>providing</u>*** *additional* reports to institutional leadership. ------------------------------------- **Example Strategy 2:** The <u>Office of Reporting</u> pursued improvement by ***<u>enhancing</u>*** the capabilities of its data-focused staff through requiring them to earn certificates of completion in trainings for a new software application.
SECTION 2 **The Amount/Level of change** intended for each Strategy/Tactic		
Fill in	Directions	Examples
Amount/level of change for Strategy 1 **Amount/level of change for Strategy 2** **Amount/level of change for Strategy 3**	This is where you can indicate to what extent you want your improvement to be accomplished. This is generally ***a change in time, cost, quality, or quantity.***	**Amount/Level of change for Example Strategy 1:** Deliver 12 monthly reports per year to institutional leadership. This will be an increase of 8 reports, as prior practice was to deliver quarterly reports to leadership. ------------------------------------- **Amount/Level of change for Example Strategy 2:** 100% of the Office of Reporting's data-focused staff members (4 people) will complete training and receive a level-1 certificate in a new and advanced software application.

SECTION 3 **The Rationale for** each Improvement Strategy/Tactic		
Fill in	Directions	Examples
Rationale for Strategy 1 **Rationale for Strategy 2** **Rationale for Strategy 3**	This is where you are addressing why you chose to implement this strategy. Answer that by responding to the following: 1. How does your strategy relate to the larger strategic plan, mission, or vision of your office or the institution? 2. What **evidence or information** can you provide to show that your unit should have implemented this strategy/tactic? ***Evidence or information** can be the result of **planning meetings, historical data, best practices, profit/loss statements,** etc – *evidence is essentially any justification you can provide to illustrate that your decision to implement a strategy was created as a result of some form of insight. Hint: While implementing a particular strategy may seem obvious in some cases, <u>it's critical that we provide deeper insight into what informs our rationale **beyond**</u> "it's just what we do," "it was a good idea," or "it was the right thing to do." Describing what tangible information supports your strategy is a vital component of this documentation.*	**Rational for Example Strategy 1:** 1) The Office of Reporting has a mission to support institutional decision making with data and information. Providing more reports will allow us to better achieve that mission since it will better inform our leaders in their decisions related to enrollment, recruitment, and retention using reliable and valid information. 2) Institutional leadership gathers for monthly strategic progress meetings. Out of one of these meetings was a request that our office provide more frequent reports to provide them with information that may be more time-sensitive. ------------------------------------- **Rationale for Example Strategy 2:** 1) The Office of Reporting has a strategic goal to provide institutional leaders with cutting edge descriptive and predictive analytics. Requiring our staff to further develop their skills on the latest software will ensure that they have the capability to provide the best insights. **2)** Evidence was provided through meeting with the staff and institutional leaders and discovering that the better visualizations provided by the new software application would enhance our data provisions. Further, several of our aspirational institutions have implemented this software systems and report that it has increased their ability to make informed decisions. Additionally, our current data-focused staff members have zero experience with the new software system, which will require that they all complete level-1 training to help them achieve competence in the software. This information is used as evidence for enrollment, recruitment, and retention decision making.

SECTION 4 **The Tool** you are going to use to determine success of the Strategy		
Fill in	Directions	Examples
Tool used for Strategy 1: **Tool used for Strategy 2** **Tool used for Strategy 3**	Describe the **tool*** you are using that shows you the information on whether or not your strategy is met. ***Tools** can be spreadsheets, rubrics, surveys, word documents, meeting notes, etc. Basically, anything that provides a record that you are tracking your improvement initiatives.	**Tool for tracking Example Strategy 1:** We used an excel spreadsheet that tracks the report development and distribution dates. ------------------------------------ **Tool for tracking Example Strategy 2:** Successful completion of training with the new software tool results in earning a level-1 certificate of completion. The tool to records the staff's achievement of this certificate is an Excel spreadsheet.

SECTION 5 **Overall Results** that your tool provided		
Fill in	Directions	Examples
Overall Results for Strategy 1: **Overall Results for Strategy 2:** **Overall Results for Strategy 3:**	Here you will provide a brief mention of what your tool told you. Basically, answer this question - to what extent does your tool show that you met the desired amount/level (section 2) for each strategy/tactic?	**Results for Example Strategy 1:** The Excel spreadsheet shows that the increased number of reports were delivered on time and at the desired amount of 12 for the year. ------------------------------------ **Results for Example Strategy 2:** The Excel spreadsheet shows that 3 of 4 data-focused staff members received a certificate level-1 in the new software.

SECTION 6 **Reflection on** results		
Fill in	Directions	Examples
Reflection on Strategy 1: 1. What went well? 2. What were challenges? 3. What was unexpected? **Reflection on Strategy 2:** 1. What went well? 2. What were challenges? 3. What was unexpected? **Reflection on Strategy 3:** 1. What went well? 2. What were challenges? **3.** What was unexpected?	Share what went well and what presented challenges/obstacles for you in pursuing improvement by implementing these strategies. Consider the following: 1. Went Well: **what went according to plan?** 2. Challenges: **what were the challenges encountered?** 3. Unexpected: **what aspects of pursuing this strategy were not anticipated?**	**Reflection on Example Strategy 1:** ***Went Well?*** We were able to add the additional reporting responsibilities into our current workload without impacting the efficiency of our other responsibilities. Reports were provided on time. ***Challenges?*** Our prior reporting methodology was insufficient to generate 12 reports per year, so we had to develop a new and more efficient process that would allow us to generate more frequent reports. ***Unexpected?*** It was initially assumed that our prior reporting methodology would be sufficient. However, there were key pieces of data that were not available within the time frames anticipated, so we had to adjust accordingly ------------------------------------ **Reflection on Example Strategy 2:** ***Went Well?*** All four staff members successfully enrolled and three earned a certificate. ***Challenges?*** One of the three staff members ended early due to a fundamental shift in work responsibilities. ***Unexpected?*** One of the staff members chose to complete an 8-week course, while the other 3 chose a 4-week course. The staff member who completed the 8-week course felt as though it was drawn out and was not as supportive as the students who experienced the 4-week course.

SECTION 7 **Plan to** further **Improve** <u>**or**</u> **Phase Out**		
Fill in	Directions	Examples

Plan for Strategy 1: **Plan for Strategy 2:** **Plan for Strategy 3:**	Here you have two options to describe your unit's intention to either: **Plan to improve*** within your particular strategies/tactics by changing your amount/level **OR** **Plan to phase out**** your strategies/tactics to implement a new strategy/tactic. ***Option 1: Plan to improve –** This option will allow you describe how your reflection (Section 6) will inform your unit's plans to further achieve the stated strategy/tactic. ***Planning to improve will result in changing/fine-tuning the AMOUNT/LEVEL (Section 2) for the next year's (2020-2021) report.*** ****Option 2: Plan to Phase Out –** This option will allow you to close out your strategy/tactic due to you either achieving it or, perhaps, it is no longer being a priority for your office to pursue for the next year. You will want to indicate what the new strategy/tactic will be for the following year.	**Plan for Example Strategy 1:** ***Option 1 – Plan to Improve -*** After having to develop a new methodology to increase the frequency of reporting, it was found that we may also have an opportunity to provide bi-weekly reports to institutional leaders. As a result, for next year (2020-2021), **the amount/level** changes to delivering bi-weekly reports instead of monthly reports to institutional leaders. ***Option 2 – Plan to Phase Out -*** The office has achieved its strategy/tactic to provide an increased amount of reports to institutional leadership. As a result, this strategy is no longer relevant for pursuit. However, the office received feedback that there are several new data points that would be helpful to include. Therefore, the new strategy/tactic that will be implemented for the next cycle (2020-2021) will be as follows: *The Office of Reporting will pursue improvement by providing new data visualizations and outputs to institutional leadership in its reporting efforts.* -- **Plan for Example Strategy 2:** ***Option 1 – Plan to Improve -*** With each of the data-focused staff members having now earned certificates, which quality them to deploy and implement the new software application, **the updated amount/level for 2020-2021** is that a majority of the data-focused staff (2/3) will complete training to earn an advanced level-2 certificate. ***Option 2 – Plan to Phase Out –*** While the office will continue to value the training of its staff on this particular software application, the office will pursue a new strategy/tactic. The new strategy/tactic states that: *The Office of Reporting will pursue improvement by developing and distributing a survey to audiences who will evaluate the timeliness of its reporting from receiving requests up through delivery.*

NAME OF UNIT:

	Exceeds Standards	Meets Standard	Below Standard	Needs Attention
1 Overall Sufficiency of information	At least 3 objectives/strategies are assessed for the year with a presentation of targets, findings and action plans provided for each.	At least 3 objectives/strategies are provided, but less than 3 include targets, findings, and action plans. Rationale is present to justify missing presentation.	At least 3 objectives/strategies are provided, but less than 3 assessed. No rationale is provided to support why less than 3 are assessed. While all objectives may have targets, findings, and an analysis, action plans are missing.	Less than 3 objectives/strategies are provided. A presentation of targets, findings, and analysis of findings is missing
Helpful Comments				
	Exceeds Standards	**Meets Standard**	**Below Standard**	**Needs Attention**
2 Objective Purpose	An objective's purpose to yield change/improvement is clear across the targets, findings, **and** reflections.	An objective's purpose to yield change/improvement is clear across the targets, findings, **or** reflections.	All objectives are unclear in their ability to contribute to improving some aspect of the unit.	All objectives only describe ongoing activities and no focus made on improving some aspect of the unit
Helpful Comments				
3 Objective Alignment	An objective is aligned to priorities/mission established areas beyond the unit itself (reporting division/agencies/institution, etc)	An objective is aligned to support some internal goal/priority	Alignment of objectives to external or internal priorities can be inferred, but is not direct	No objectives are aligned in support of any priorities beyond the strategy itself
Helpful Comments				
4 Objective evidence	An objective is supported by providing excerpts and examples of concrete information/data that informs the decision to select the strategy/objective	An objective is supported by a reference to sources of information/data, but no excerpt of the data/information is provided.	It has to be inferred that an objective is grounded in information/data, but it is not direct	Strategies/objectives include no evidence to support the rationale for their implementation.
Helpful Comments				
5 Reflection on implementation	A reflection leverages the information/data gathered from implementation to describe the successes and challenges/unexpected elements of implementation	A reflection provides results and information and the narrative is restricted to describing only success or challenges	Reflection of the strategies only provide results with no statements describing the experience(i.e. successes or challenges) of implementing the strategy	Reflections are missing references to results and may only superficially describe successes or challenges
Helpful Comments				
6 Informed Future Improvement Plans	The unit clearly identifies an intended improvement/change to document next year. Justification for that improvement/change clearly incorporates a reflection of their successes/ challenges with their current objective, **or** a description of how some new major priority is shifting their focus.	The unit clearly identifies an intended improvement/change to document next year, however, justification for this future action is unclear.	A statement on future action is provided, but it is unclear if that future action reflects an improvement/change.	There is no statement indicating the establishment of plans for improving the unit.
Helpful Comments				