

Strategic Planning and Performance Assessment for Institutional Effectiveness

Prepared for XYZ

In this report The Hanover Research Council examines the topic of institutional effectiveness in higher education. While measures of “effectiveness” tend to vary from one institution to the next, there are several core principles that underlie most effective organizations. In particular, these organizations typically have a coherent, clearly outlined method for both setting goals and assessing their progress toward those goals. To this end, the bulk of this report draws upon models for both strategic planning and organizational performance assessment within the business realm and that of higher education to provide a context for effective planning and assessment in higher education.

Overview

Business management guru Peter Drucker once noted that “the basic problem of service institutions is not high cost but lack of *effectiveness*...[s]ome are very *efficient*, but they tend not to do the right things [emphasis added].”¹ Institutional effectiveness is a major area of interest for many institutes of higher education spanning the globe. Yet, as Cornell researcher Kim Cameron noted in a 1978 report on organizational effectiveness in higher education, “organizations may pursue multiple and often *contradictory* goals [emphasis added].” Cameron’s research suggests that it is often hard for one institution to turn to another for advice on becoming more effective precisely because the measures of effectiveness are rarely the same across all institutions. Over thirty years later, many of Cameron’s findings still hold true in the current landscape. Even as institutions today are required to report such factors as headcount, enrollment, and employee salaries, there still remains a lack of consensus about what exactly makes for an effective institution. While one institution may have a mission to build up global scholars, another might be looking primarily to prepare disadvantaged youth for the workforce. Thus, although both of these institutions may be effective in meeting their respective missions, they are achieving very different aims.

Rather than parse through the details of student outcomes, The Southern Association of Colleges and Schools (SACS) provides a broader definition of institutional effectiveness, linking effectiveness to practices that involve “ongoing, integrated, and institution-wide research-based planning and evaluation processes that incorporate a

As defined by the Southern Association for Colleges and Schools, effectiveness means that an institution can demonstrate through a measurable process that it is fulfilling its mission statement and goals.

systematic review of programs and services,” which translate into “continuing improvement” and show that “the institution is effectively accomplishing its mission.”² In other words, effectiveness means that an institution can demonstrate through a *measurable process* that it is fulfilling its mission statement and goals. This definition is useful because it provides a way to actually compare progress from one institution to the next, although notably one institution’s goals may be significantly more ambitious than those

of another. Therefore, while standard definitions of effectiveness remain murky, there are some useful lessons that can be gleaned from other definitions of effectiveness – both inside and outside of the world of higher education. To provide guidance in this direction, this report describes best practices from both industry and higher education to provide a comprehensive look at how institutions might measure and achieve progress.

¹ Drucker, Peter. *Management: Tasks, Responsibilities, and Practices*. Gulf Professional Publishing, 1999. p. 132.

² “Principles of Accreditation: Foundations for Quality Enhancement.” Southern Association of Colleges and Schools, Commission on Colleges. 2001. p. 19. www.sacscoc.org/pdf/PrinciplesOfAccreditation.PDF

This report is divided into three main sections. First, following this brief introduction, it provides a general discussion on the topic of planning for and measuring effectiveness. Second, it offers lessons from the business world on building specific and measurable organizational plans and assessment materials. Third, it gathers wisdom from higher education, pulling from four different models for organizational planning and assessment – two of which are national in perspective, and two of which are taken from peers of XYZ. Many of the models that we discuss are accompanied by charts or tables, which are briefly highlighted in the body of this report and reproduced in detail in the appendix. This appendix is intended to serve as a ready source of rubrics and assessment tools that XYZ can emulate in its own planning process.

Effectiveness: The Need for Clear Standards and Targets

No organization can achieve its objectives unless these objectives are made clear to its staff. In a recent *Harvard Business Review* article, David Collins and Michael Rukstad emphasize the need for a clearly defined strategy statement that guides the progress of an organization and helps it meet its goals. While effectiveness is not often easily bottled at one source and reproduced at another, a cohesive management strategy and the principles that underlie such a strategy can help turn ambitions into outcomes.³

Like Collins and Rukstad, Peter Drucker also emphasizes the need for clearly defined measures of success:

Achievement is never possible except against specific, limited, clearly defined targets, in business as well as in a service institution. Only if targets are defined can resources be allocated to their attainment, priorities and deadlines be set, and somebody be held accountable for results.⁴

Drucker goes on to suggest that one of the major hurdles to success for many service institutions is a vast constituent network and over-reliance upon budget-based planning.⁵ However, Drucker reminds readers that one of the most important questions that a business or a service institution can ask itself is “What is our business?”⁶ In tandem with its specific goals, then, an organization must also have a clear overarching goal, often articulated in the form of a mission statement. Both the tangible goals and the intangible mission statement, Drucker says, are crucial for success.

³ Collis, David J., and Michael G. Rukstad. “Can You Say What Your Strategy Is?” *Harvard Business Review*. April 2008. www.dallascap.com/pdfs/CanYouSayWhatYourStrategyIs.pdf

⁴ Drucker. *Management*. op. cit. p. 134.

⁵ Ibid.

⁶ Ibid.

By defining its aims, an organization crystallizes its focus, direction, and approach for meeting its desired ends. Collis and Rukstad note that effective strategies have three key aspects:

- ❖ Clearly defined goal/ends
- ❖ Clearly defined scope/domain
- ❖ Clearly defined competitive advantage⁷

This simple approach can work well at both a macro level and a micro level. By clearly defining a long-term goal, scope, and competitive advantage, an organization sketches the path that its executives and employees must follow to attain success. Correspondingly, by articulating cogent short-term objectives, scopes, and competitive advantages, an organization helps set trail markers along the way.

Assessment Prior to Planning

Many resources recommend a cautious, “look before you leap” approach when it comes to laying the groundwork for organizational success. Before planning for the future, they suggest that organizations should first assess their present status. Researchers Cameron and Whetten recommend that organizations ask themselves the following questions before beginning to assess their current levels of effectiveness and plan for future success:

- ❖ From whose perspective is effectiveness being assessed?
- ❖ On what domain of activity is the assessment focused?
- ❖ What level of analysis is being used?
- ❖ What is the purpose for assessing effectiveness?
- ❖ What time frame is being employed?
- ❖ What type of data are being used for assessments?
- ❖ What is the referent against which effectiveness is judged?⁸

Rather than rushing into defining a vision, this approach emphasizes a critical analysis period in which an organization clearly defines what is being measured, and the metrics that will be adjusted when setting goals. Similarly, in a 1988 piece for the *Harvard Business Review* entitled “What’s Wrong with Strategy?” Andrew Campbell and Marcus Alexander suggest that most strategies fail because they lack critical insight:

⁷ Collis and Rukstad. op. cit.

⁸ Cameron, Kim and D.A. Whetten. *Organizational Effectiveness: A Comparison of Multiple Models*. Academic Press, New York: 1983. Cited in Cameron, Kim. “Effectiveness As Paradox: Consensus and Conflict in Conceptions of Organizational Effectiveness.” *Management Science*. Vol. 32, No. 5. May 1986. p. 542. www.jstor.org/pss/2631845

In strategy formulation, we counsel managers to focus less on the action plan – or even on the articulation of the strategy itself – and more on the insights. We suggest that planning processes are not strategic (and may not even be worth engaging in) unless they focus initially on defining the insights from which the strategy will be developed.⁹

Like in Cameron and Whetton’s piece, the emphasis here is upon looking inwardly before outwardly. Arguing essentially the same thing in a different manner, international business consulting firm Booz & Company notes that successful strategic execution begins with assessing a company’s alignment between “information flows, decision rights, motivators, and structure.”¹⁰ They suggest that this kind of assessment involves identifying “gaps and conflicts” by surveying employees, and precedes *any* measures involving reorganization.¹¹

By assessing before planning, organizations gain a clear sense of where they stand and are therefore more likely to set realistic, achievable goals for the future. Likewise, by looking holistically at their current state of affairs, they may identify areas for improvement that a formal planning process might otherwise miss.

In this report, Hanover presents two tools that may prove useful in the initial assessment process. The first tool is a simple “Organizational DNA” quiz developed by Booz & Company. It asks a variety of questions to help organizations quickly assess their leadership style and organizational health.¹²

The second tool is more in depth, as it asks a wide range of questions regarding specific groups of employees. Developed by Jim Collins, author of *Good to Great* and *Built to Last*, the Good to Great Diagnostic Tool is intended to help executives grade the health of their company.¹³ It pulls from concepts detailed in Collins’ *Good to Great*, and asks organizations to grade their performance based on the following scale:

By assessing before planning, organizations gain a clear sense of where they stand and are therefore more likely to set realistic, achievable goals for the future.

A = We exemplify this trait exceptionally well; there is limited room for improvement.

⁹ Campbell, Andrew, and Marcus Alexander. “What’s Wrong with Strategy?” *Harvard Business Review*. November-December 1997.

uwacadweb.uwyo.edu/mpeterson/MBAM5400%20documents/What%20is%20Wrong%20with%20Strategy.pdf

¹⁰ “Putting Strategy into Action: Building a Discipline for Better Performance.” Booz & Company. 2009. pp. 8-9. www.booz.com/media/uploads/Putting_Strategy_into_Action.pdf

¹¹ Ibid.

¹² “Organizational DNA.” Booz & Company. www.orgdna.com/index.cfm

¹³ Collins, Jim. “Good to Great Diagnostic Tool.” Jim Collins.com. www.jimcollins.com/tools/diagnostic-tool.pdf

B = We often exemplify this trait, but we also have room for improvement.

C = We show some evidence of this trait, but our record is spotty.

D = There is little evidence that we exemplify this trait, and we have obvious contradictions.

F = We operate almost entirely contrary to this trait.¹⁴

Although the Collins metric is too long to reproduce in its entirety, the following list provides several examples of the kinds of statements that organizations are asked to use in evaluating their performance:

- ❖ People in our system understand that they do not have “jobs”— they have responsibilities—and they grasp the distinction between just doing assigned tasks and taking full responsibility for the results of their efforts.
- ❖ We avoid bureaucracy that imposes unnecessary rules on self-motivated and self-disciplined people; if we have the right people, they don’t need a lot of rules.
- ❖ We never pump up our reputation with a sales job (“buy into our future”) to compensate for lack of results.
- ❖ We understand that if our list of core values is too long, we are very likely confusing core values with practices and aspirations; we have no more than six values that we consider to be truly core.¹⁵

Forming a Strategy and Measurement System

After registering their current status, organizations can then set the bar for future outcomes, crafting both a strategic plan and a measurement system. Collis and Rukstad suggest that strategy involves three basic elements:

- ❖ *Objective* (Ends): This step involves setting an endpoint and a time frame for reaching that goal.
- ❖ *Scope* (Domain): An organization’s scope defines its areas of focus – what the organization should and should not do.
- ❖ *Advantage* (Means): The process of defining a firm’s advantage involves identifying what makes it distinctive and unique.¹⁶

¹⁴ Ibid., p. 7

¹⁵ Ibid., pp. 7-20

¹⁶ Collis, David & M. Rukstad. “Can You Say What Your Strategy Is?” Harvard Business Review, April 1, 2008. <http://hbr.org/product/can-you-say-what-your-strategy-is/an/R0804E-PDF-ENG>

In his discussion of service guidelines, Peter Drucker outlines the following planning process for organizations and institutions looking to become more effective:

1. Define what the business is about and what it should look like, evaluating alternative options that help to crystallize the “function, purpose, and mission.”
2. Develop “clear objectives and goals.”
3. Prioritize goals and objectives and set targets by forming deadlines and “minimum acceptable results.”
4. “Define measurements of performance.”
5. Formalize a feedback system that avoids unfairly measuring certain results.
6. Build an auditing structure to measure “objectives and results” and identify objectives that have become irrelevant and unproductive performance.¹⁷

The remainder of this report will look more closely at the topics of planning and assessment, providing some examples from both business and education that bring to light how the suggestions of the experts mentioned above can be put into practice.

¹⁷ Drucker, Peter. *People and Performance: The Best of Peter Drucker on Management*. Harvard Business School Press, 2007. pp. 141-142.

Lessons from Business

The section below highlights three approaches to business management and organizational development from the business world. Two of the models feature lessons from leading consulting firms, McKinsey & Company and Mercer Human Resource Consulting, both of which have worked with thousands of successful leaders across a multitude of industries. The other model in this section comes from management experts Robert Kaplan and David Norton, developers of *The Balanced Scorecard*.

McKinsey and Company's 7-S Framework

In a March 2008 article, McKinsey and Company highlight a model for organizational change known as the 7-S framework. McKinsey's 7-S framework focuses upon seven core areas: shared values, skills, style, structure, staff, strategy, and systems. Employed for over 30 years in many settings, this framework suggests that organizational change only happens effectively when organizations assess their performance in many areas, rather than focusing upon a single aspect of a given organization.¹⁸ McKinsey's website offers an interactive tool that helps explain the seven aspects of their 7-S framework. Below, we present a one-sentence summary of each aspect:

- ❖ *Shared values*: What is the organization trying to achieve?
- ❖ *Skills*: What are the institutional and individual skills that comprise the organization? Which skills can be outsourced?
- ❖ *Style*: What are "the informal rules of conduct" in the company? What is the leadership style of its key figures?
- ❖ *Structure*: How are the company relationships organized? Who is responsible for the organization's various functions?
- ❖ *Staff*: What are the intrinsic talents of the organization? What is its turnover rate and level of diversity?
- ❖ *Strategy*: What is the company trying to do to gain comparative advantage?
- ❖ *Systems*: What is the process that defines "how work is done" in the company?¹⁹

¹⁸ "Enduring Ideas: The 7-S Framework." McKinsey Quarterly. March 2008.
www.mckinseyquarterly.com/Enduring_ideas_The_7-S_Framework_2123

¹⁹ "Enduring Ideas: The 7-S Framework - Interactive." McKinsey Quarterly. March 2008.
www.mckinseyquarterly.com/wrapper.aspx?ar=2123&story=true&url=http://www.mckinseyquarterly.com/Enduring_ideas_The_7-S_Framework_2123%3fpagenum%3d1%23interactive_7s&pgn=frameworks_7S

In 2001, McKinsey & Company published a report in conjunction with Venture Philanthropy Partners that illustrates how the 7-S framework can be tied to an organizational effectiveness assessment. As part of this project, McKinsey developed a “Capacity Assessment Grid,” intended for use by non-profit organizations. While this model is not directly intended for higher education, a given college or university could easily tailor McKinsey’s assessment matrix to fit its organizational needs. McKinsey’s model offers a very detailed infrastructure for assessing an organization’s overall capacity, and although it is too lengthy to include in its entirety in the appendix of this report, we reproduce one small excerpt below. A full version is also available online at the Venture Philanthropy Partners website.²⁰

McKinsey & Company’s 7-S Framework in Action: The “Capacity Assessment Grid”

Strategy	1. Clear need for increased capacity	2. Basic level of capacity in place	3. Moderate level of capacity in place	4. High level of capacity in place
Program Growth and replication	No assessment of possibility of scaling up existing programs; limited ability to scale up or replicate existing programs	Limited assessment of possibility of scaling up existing programs and, even when judged appropriate, little or limited action taken; some ability either to scale up or replicate existing programs	Occasional assessment of possibility of scaling up existing programs and when judged appropriate, action occasionally taken; able to scale up or replicate existing programs	Frequent assessment of possibility of scaling up existing programs and when judged appropriate, action always taken; efficiently and effectively able to grow existing programs to meet needs of potential service recipients in local area or other geographies

Source: Venture Philanthropy Partners²¹

As shown in the table above, this grid measures goal completion using four possible levels of success: a need for increased capacity, a basic level of capacity, a moderate level of capacity, and a high level of capacity. Using this structure, an organization would first set its goals, define the levels of success for each of the goals, and then assess goal completion based upon the measures previously set. In their report, McKinsey emphasizes that organizations should not focus upon trying to numerically tabulate results across each category, but rather use the tool as a holistic way to track organizational performance.²²

²⁰ “Capacity Assessment Grid.” Venture Philanthropy Partners. 2001. www.venturephilanthropypartners.org/learning/reports/capacity/assessment.pdf

²¹ Ibid., p. 11

²² “Capacity Assessment Grid.” *Op. cit.*

Balanced Scorecard Approach

Citing a study published in *Fortune* magazine in the early 1980s, strategic management experts Robert Kaplan and David Norton argue that less than 10% of organizations effectively execute their strategies.²³ In the early 1990s, Norton and Kaplan published the Balanced Scorecard (BSC) as a way to help businesses succeed in executing and assessing their strategies. Since its introduction, the BSC has evolved considerably and been adapted in many workplaces around the world.

The Balanced Scorecard is a performance evaluation tool acting, more or less, as a barometer by which organizations can measure how effectively they are implementing their organizational strategies. It includes both financial and nonfinancial criteria to measure performance. Although its use in higher education is not widespread, a handful of institutions have reported “successful applications of [the] BSC [method] in higher education.”²⁴

In a May 2009 article in the *Journal of Education for Business*, Deborah Beard highlights two exemplary models of the BSC’s implementation in higher education: the Kenneth W. Monfort College of Business at Northern Colorado and the University of Wisconsin-Stout, both former winners of The Malcolm Baldrige National Quality Award (discussed in the next section of this report). Beard also mentions the use of the BSC at a handful of other institutions, although research on the extent of BSC’s success in higher education remains sparse. Citing Kaplan and Norton, Beard outlines the measures involved in the BSC as follows:

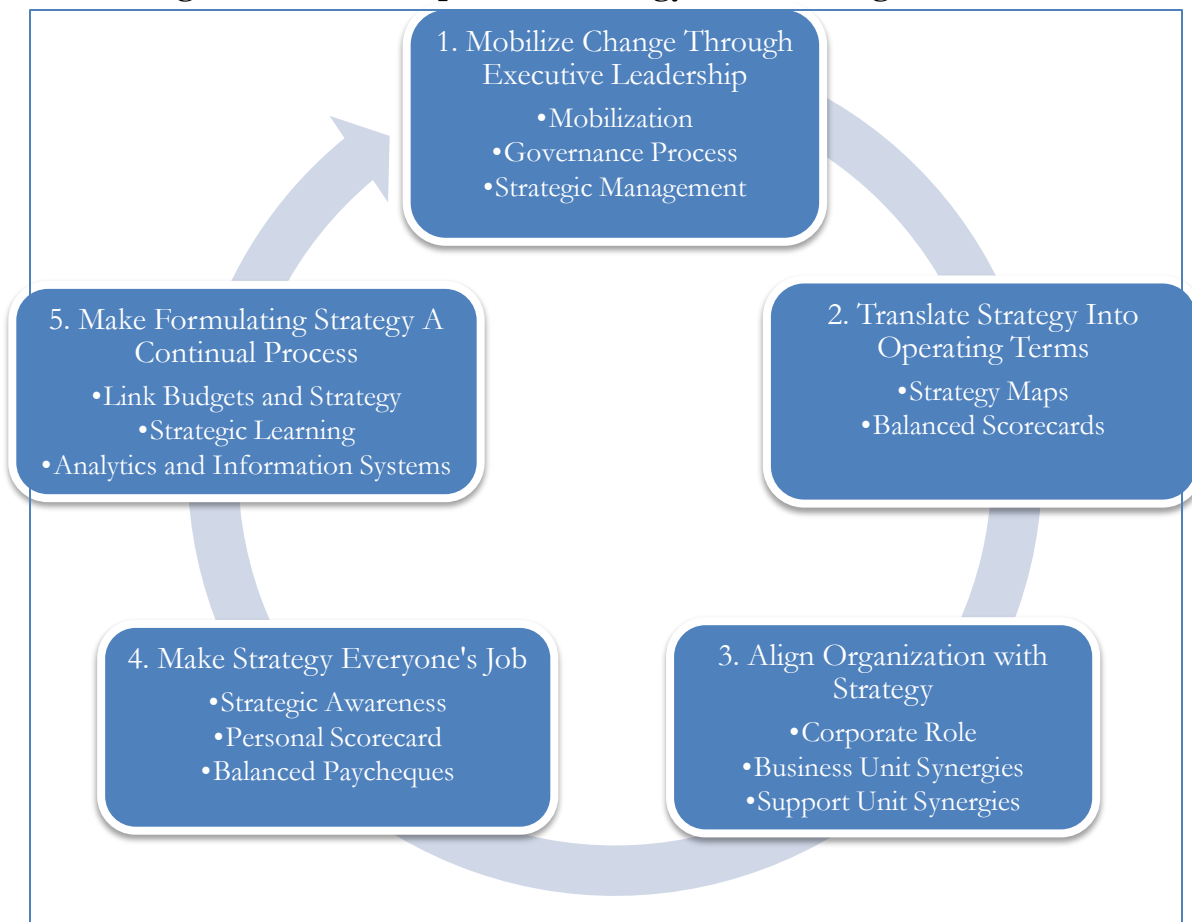
- ❖ *Financial perspective*: How should we appear to our stakeholders?
- ❖ *Customer perspective*: How should we appear to our customers?
- ❖ *Internal business processes perspective*: What processes must we excel at?
- ❖ *Learning and growth perspective*: How can we sustain our ability to change and improve?²⁵

As outlined by Kaplan and Norton, the Balanced Scorecard has 5 key components. These components are illustrated in the figure below.

²³ Kiechel, Walter “Corporate Strategists Under Fire.” *Fortune*. Dec. 27th, 1982. Cited by Kaplan, Robert and David P. Norton. “Building a Strategy-focused Organization.” *Ivey Business Journal*, 2001.

²⁴ Beard, Deborah F. “Successful Applications of the Balanced Scorecard in Higher Education.” *Journal of Education for Business*. Vol. 84, No. 5. May-June 2009.

²⁵ *Ibid.*, p. 275

Figure 1: The Principles of a Strategy-Focused Organization²⁶

Each of the steps illustrated in Figure 1 are discussed in further detail below to provide a more holistic picture of their components. Before going into detail, though, Norton's work at the Palladium Group underscores some of the key aspects of this method and serves well as a summary of Kaplan and Norton's lengthier approach. Based upon the Palladium Group's studies of over 80 high-performing organizations, they identified six core management practices that are prevalent among such "high performers." In general, "high performers" do the following:

- ❖ Articulate and measure the strategy
- ❖ Manage a limited number of strategic initiatives
- ❖ Conduct regular meetings to report on and manage the strategy
- ❖ Communicate the strategy to all levels
- ❖ Align business units and support units to the strategy
- ❖ Link strategic initiatives to the budget²⁷

²⁶ Kaplan and Norton. op. cit. p. 14

BSC Method in Detail

As shown in Figure 1 above, the Balanced Scorecard approach involves five key “phases.” In the first phase, managers begin organizational change by starting at the top, catalyzing strategic change through effective leadership. Towards this end, the organization will help people, particularly its unit heads, see why *change is needed now*, creating a “sense of urgency.” Moreover, the organization will need to develop a leadership team that will guide the execution of the Balanced Scorecard approach; Kaplan and Norton suggest that this “team” should include not only “functional and business unit heads” but also non-traditional leaders like the head of marketing. In some cases, this may mean that the organization will need to alter its executive staffing model. Finally, the organization will need to develop and articulate a “shared” vision and strategy that encompasses the whole organization.²⁸

During the second phase, strategic ideas and vision are translated into action items and organizational plans. Kaplan and Norton recommend building a “strategy map” to help the organization illustrate and crystallize what it is trying to achieve and how it plans to achieve it. Correspondingly, organizations should also develop their “scorecard” at this phase. The scorecard will act as a tool to measure performance and targets, as directly aligned with the organization’s broader strategic goals and objectives.²⁹

The third phase of Kaplan and Norton’s Balanced Scorecard approach involves “aligning the way the organization works with its strategy. Often, an organization has goals and objectives that do not correspond with the way that it functions on a day to day basis. Thus, managers will need to assess and tweak each of the units and/or departments to match the strategic direction of the organization. Additionally, the organization should adjust staff functions and “shared service units,” like the IT department, to align with the organizational strategy.³⁰

In the fourth step, Kaplan and Norton suggest that organizations should “make strategy everyone’s job.” In this step, leadership will create awareness across the organization regarding the overall strategy so that all employees are informed of the organization’s strategic objectives. To make the strategy more cohesive across all staff levels, Kaplan and Norton encourage the creation of personal goals and personal scorecards for each individual. And, to reinforce the individual scorecard approach, they suggest linking pay to performance by incentivizing compensation to reward those who successfully implement their Balanced Scorecards. Although not explicitly stated by Kaplan and Norton, this approach could also work well in a higher education context to incentivize departments that are accustomed to receiving guaranteed budget allocations regardless of performance.³¹

²⁷ Ibid., pp. 2-5

²⁸ Ibid., pp. 14-15

²⁹ Ibid., pp. 15-16.

³⁰ Ibid., pp. 16-17.

³¹ Ibid., pp. 17-18.

The fifth and final phase of the Balanced Scorecard method involves making strategy formulation a continual rather than intermittent process. In many of their articles on the Balanced Scorecard, including the one referenced in this report, Kaplan and Norton suggest that the most successful organizations adjust their strategies over time. Likewise, Peter Drucker suggests that strategic management constitutes an ongoing process, rather than something that is set at a given point in time and then readdressed only on occasion. Says Drucker: “The question that faces the strategic decision-maker is not what the organization should do tomorrow. It is, ‘What do we have to do today to be ready for an uncertain tomorrow?’”³²

“The question that faces the strategic decision-maker is not what the organization should do tomorrow. It is, ‘What do we have to do today to be ready for an uncertain tomorrow?’” – Peter Drucker

To make strategy applicable in present decision-making, Kaplan and Norton recommend linking strategy to budgeting and formalizing regular management meetings to review strategy. Instead of just gathering to discuss financial performance, Kaplan and Norton suggest that these meetings address *all* outcomes of a business (i.e., the four perspectives noted by Beard, as cited above). The last aspect of this final step is the development of a process for learning and

adapting the strategy over time. This aspect can involve company meetings where employees give input on the strategic performance of their organization and suggest new ideas; or it can involve a more quantitative method where the organization formally tests how well each unit is implementing the established strategy by measuring things like customer satisfaction or process improvement.³³

All in all, the balanced scorecard is an intensive, but highly measurable approach to business management, and it has garnered a consistent following in the business community. While it is not favored by all, it represents a very tangible way to organize and keep track of progress.

Mercer’s Strategic Management Approach

When it comes to catalyzing organizational effectiveness, consultants at Mercer recommend an approach that emphasizes “strategic management” instead of strategic planning. In a discussion on strategic planning entitled “Strategic Planning Redux,” Mercer stresses the fact that the business landscape is always changing, and that successful businesses do not lean too heavily on spreadsheets and numbers or vague overarching vision statements. Instead, Mercer recommends that businesses tow a middle ground that is focused upon making thoughtful, strategic decisions on a day-

³² Drucker. *Management*. op. cit. p. 119

³³ Kaplan and Norton. op. cit. pp. 18-19.

to-day basis. Within the aforementioned article on strategic management, Mercer's consultants underscore four core principles that help businesses succeed:

- ❖ *Number 1: Start with the customer* - Successful businesses focus upon their customers' priorities. Their assessment of priorities goes beyond stated wants and needs, says Mercer, and extends to those things that they cannot even articulate.
- ❖ *Number 2: Connect strategy with capital allocation and execution* - Like Kaplan and Norton, Mercer recommends tying budgets to strategies. Limiting spending to only a small list of priorities will ensure that money is spent on the right things instead of the wrong ones. Correspondingly, ensuring that a specific manager is directing expenses towards the right functions within each business unit/department is an important consideration. Mercer notes that it is critical for the executive-level-management, even of large organizations, to know all of the initiatives that are in play and what funding is going towards those initiatives. Likely, this process will involve cutting out some non-priority projects. To keep all of these initiatives organized, Mercer recommends that executives implement the use Gantt charts or similar tools.³⁴
- ❖ *Number 3: Embrace debate* - Instead of simply implementing significant changes, Mercer emphasizes the need for discussion and debate in the strategic planning process. They recommend opening the floor for debate so that employees can "raise uncomfortable truths and question assumptions" as the organization learns what strategies will work best. In one example highlighted in Mercer's article, a featured company designed discussion guides to foster a spirit of healthy debate surrounding a new strategic plan.
- ❖ *Number 4: Keep the process evergreen* - Finally, Mercer recommends implementing a straight-forward planning process that is ongoing. For some organizations, this will involve completely revamping the strategy, while for others it will mean a simple updating process from one year to the next. Regardless, it involves tailoring an organization's strategy to the current marketplace.³⁵

On the whole, Mercer's process is fairly straightforward, but provides some strong examples of how a given organization can crystallize its overall strategy. Like those processes mentioned above, it draws out specific areas for organizations to focus upon as they work towards a comprehensive and actionable strategy. The next and final section will look more closely at planning and assessment models in higher education.

³⁴ Appendix A includes an example of a Gantt chart from Northern New Mexico College, showing how such charts can be used in Higher Education strategic planning.

³⁵ Rothschild, Phyllis., Jag Duggal and Richard Balaban. "Strategic Planning Redux." *Mercer Management Journal*. www.mmc.com/views/viewpoint/archive/Rothschild200404.php?pv=660

Models and Practices in Higher Education

National Models

The Hanover Research Council's study of planning and assessment in higher education uncovered a number of useful tools. At a national level, we have identified two prominent frameworks, the Malcolm Baldrige Criteria for Performance Excellence and the WEAVE system, that provide broad suggestions that can be implemented in any college or university. At a more specific level, we also found two peer institutions with planning and assessment models that were especially detailed and thorough, which may serve as more practical guides of processes that could be readily applied at XYZ.

Malcolm Baldrige Criteria for Performance Excellence

In the late 1980s, an act of Congress established the Baldrige National Quality Program, which awards top-performing non-profit and for-profit organizations each year based upon a rigid set of evaluation criteria. This awards process was set up to encourage organizations to attain organizational excellence in both setting and meeting performance standards. Currently, The National Institute for Standards in Technology (NIST) administers the award and provides the tools and criteria for evaluation on its website. Non-profit excellence is one of the categories awarded each year, and to that effect the NIST publishes a set of criteria to measure performance excellence in educational institutions on its website.

In education, the Baldrige National Quality Program assesses seven categories of "performance excellence," areas that will likely be of interest to institutions developing their own internal evaluation criteria. As outlined in NIST's 2009-2010 report, these criteria are:

- ❖ Leadership
- ❖ Strategic Planning
- ❖ Customer Focus
- ❖ Measurement, Analysis, and Knowledge Management
- ❖ Workforce Focus
- ❖ Process Management
- ❖ Results³⁶

³⁶ "2009-2010 Education Criteria for Performance Excellence." Baldrige National Quality Program at the National Institute for Standards and Technology in Gaithersburg, MD. p. 7.
www.baldrige.nist.gov/PDF_files/2009_2010_Education_Criteria.pdf

In its lengthy report on these criteria, the NIST outlines a variety of suggestions for institutions looking to achieve performance excellence, asking a plethora of specific questions aimed at evaluating performance in each area.³⁷ Alongside this report, NIST also publishes several assessment tools designed to serve as a guide for institutions in the process of developing their assessment methods.³⁸ NIST's "Self-Assessment and Action Planning" tool enables institutions to self-assess for a variety of organizational characteristics and compare their performance to other institutions participating in the survey.³⁹ Meanwhile, NIST's "Self-Analysis Worksheet" enables institutions to measure and compare progress in each of the seven categories through a two-page rubric.⁴⁰ NIST also offers a tool for senior leadership to evaluate organizational progress⁴¹ and a similar tool for employers to evaluate employee perceptions of progress.⁴²

The WEAVE Framework

WEAVEonline is a popular assessment framework used by many institutions around the United States. WEAVEonline provides fee-based guidance and planning resources for institutions looking to formulate and assess their institutional plans. It offers a "web-based tool that helps [institutions] manage [their] accreditation, assessment, planning, and quality improvement processes." Institutions that utilize the service can also receive customized guidance from WEAVEonline's team.⁴³

The WEAVE framework involves five key steps that operate as a cycle, repeated by institutions each year:

1. Write expected outcomes/objectives
2. Establish criteria for success
3. Assess performance against criteria
4. View results from the assessment
5. Effect improvements through actions⁴⁴

³⁷ While NIST's report is too lengthy to chronicle here, a full version can be accessed at the following link: www.baldrige.nist.gov/PDF_files/2009_2010_Education_Criteria.pdf

³⁸ For a brief synopsis of NIST's available self assessment tools, see www.baldrige.nist.gov/PDF_files/Getting_Started.pdf

³⁹ "Self-Assessment and Action Planning: Using the Baldrige Organizational Profile for Education." National Institute for Standards and Technology Website, 2007. patapsco.nist.gov/eBaldrige/Education_Profile.cfm

⁴⁰ "2009-2010 Baldrige Application Self-Analysis Worksheet." National Institute of Standards and Technology Baldrige National Quality Program Website.

www.baldrige.nist.gov/Word.../2009_2010_Optional_Worksheet_ED.doc

⁴¹ See www.baldrige.nist.gov/PDF_files/ProgressAL.pdf

⁴² See www.baldrige.nist.gov/PDF_files/Progress.pdf

⁴³ "What is WEAVEonline?" WEAVEonline Website. <http://www.weaveonline.com/what-is-weave-online/>

⁴⁴ WEAVEonline Website. <http://www.weaveonline.com/media/>

Virginia Commonwealth University is one institution that has implemented the WEAVE framework, utilizing it to evaluate students in academic programs and audit their “administrative and educational support units.” In partnership with WEAVE, VCU has established a variety of benchmarks and scoring rubrics for quality enhancements amongst its various departments. An example component of VCU’s WEAVE Assessment is presented below.⁴⁵

Virginia Commonwealth University		
Quality Enhancement Reporting Form (2001-02)		
for Academic Programs and Administrative and Educational Support Units		
Program/Unit Identification		
Program/Unit Name		Unit's VP/School or College Area
Unit/Program Purpose or Mission		

Objective/Outcome 1		

Assessment Measures for Objective/Outcome 1 – Criteria for Success – Time frame		
Assessment Activity	Criterion/What Constitutes Success	Timetable
_____	_____	_____
_____	_____	_____
_____	_____	_____
Assessment Findings (to be reported June 2002)		

Use of Assessment Results (to be reported June 2002)		

Source: Virginia Central University WEAVE Manual, 11. As cited below.

⁴⁵ For more information on VCU’s use of WEAVE and sample rubrics see “WEAVE: A Quality Enhancement Guide for Academic Programs and Administrative and Educational Support Units.” Virginia Central University Website, 2002, pp. 8-9, 11, 17. <http://www.vcu.edu/quality/pdfs/WEAVEManual2002.pdf>

South Texas College also uses WEAVE to measure institutional effectiveness, although its assessment tools look a bit different from those of VCU. We have reproduced an example in a slightly different format, for clarity. Appendix C includes additional examples in their original form.⁴⁶

Sample from WEAVE Assessment Rubric Used at South Texas College

Division of Finance & Administrative Services Sample CQI Report 2005-2008						
Department	Performance Indicator #	2005-2008 Performance Indicator	Action Plan	Data Source	Actual Outcomes	Improvements and Linkages to 2008-2009
Human Resources	4.2.5	Human Resources will initiate a feasibility study to incorporate incentives in salary plans for staff completing higher degrees, licenses, and certifications to be implemented by FY 06-07.	Survey other community colleges to review their processes, analyze process for possible implementation, form a committee and develop recommendations, and compose another general compensation study for administrators, professional support, and classified staff.		Plan has not been completed. HR Director is getting information from other Texas community colleges.	Need to finalize a proposal to present to Cabinet (This is addressed by 2008-09 HUMAN RESOURCES IE Plan Outcome #2: Implement staff salary increases).

Source: Sample CQI Report, South Texas College Department of Institutional Effectiveness and Assessment

Peer Examples

Using the peer list for XYZ generated by the National Center for Education Statistics' International Postsecondary Education Data System (IPEDS) peer tool, Hanover researched institutional planning and assessment methods commonly used at these institutions.⁴⁷ Our research uncovered two models (detailed below) that may be of particular interest to XYZ.

Albany State University

Albany State University (ASU) uses a straightforward method for conducting its institutional assessments. ASU's method follows the Nichols Model of assessment planning, which is based upon James Nichols' research on effective institutional evaluations. First and foremost, Albany State University uses the definition of institutional effectiveness established by the Southern Association of Colleges and Schools (summarized in the introduction to this report). In accordance with SACS

⁴⁶ "Institutional Effectiveness Plans and Reports." South Texas College. isp.southtexascollege.edu/iea/ie_reports/index.html

⁴⁷ "The Integrated Postsecondary Education Data System (IPEDS) Executive Peer Tool." National Center for Education Statistics. nces.ed.gov/ipeds/pas/expt/

compliance standards, ASU has a “systematic planning process,” and annually “assesses progress” to determine whether effectiveness is improving.⁴⁸

With the help of its Strategic Plan Oversight Committee, ASU completes on-going evaluations of each of its strategic initiatives as well as the success of its strategic plan as a whole. The individuals who are responsible for carrying out each initiative within ASU’s strategic plan are required to report back “key performance indicators for assessing the success of the initiative and “the intended outcomes and benchmarks, and [whether] change actually occurred.”⁴⁹ Based upon the reports that are delivered to the Strategic Oversight Committee, the committee makes decisions about how to alter the institution’s strategic plan moving forward.

Within ASU, all “units” or departments are required to document the ways in which they are employing “mission-related assessment.” Each unit must write an “Assessment Plan” that will guide the evaluation of planning, assessment, and learning outcomes at the unit level. Appendix D offers one example of what these plans look like. The example in Appendix D, from ASU’s Nursing department, has three main components, listed below:⁵⁰

- ❖ An expanded statement of institutional purpose
- ❖ The intended outcomes/objectives of the department
- ❖ Three explicit means of assessment for each of the stated objectives.

In order to demonstrate that objectives have been attained, ASU’s Nursing department has outlined metrics for each of its objectives. For each assessment measure, they detail the means of assessment and criteria for success, the results of the assessment itself, the way in which the results were used, and any comments/needs that arose from this assessment. This standardized evaluation format allows ASU to quickly discern whether or not departments met their objectives and what proof they have of meeting them. Both the objectives and the measures used in this example are focused upon student outcomes, but can be adapted to focus on other areas such as operational effectiveness.⁵¹

⁴⁸ “Albany State University SACS Compliance Certificate.” Albany State University. p. 1. asu-sacs.asurams.edu/ComplianceDoc/ComplianceDoc_section2.5.pdf

⁴⁹ Ibid., p. 18

⁵⁰ “Assessment Record for Nursing.” Albany State University. asu-sacs.asurams.edu/SuppDocs/ASU/Assessment_Plan_Sample.pdf

⁵¹ Ibid.

Sample from ASU's Nursing Department Assessment Tool⁵²

Intended Educational (Student), Research or Public Service Outcomes or Departmental Administrative Objective 1:
The graduate student will use knowledge synthesized from behavioral and natural sciences and humanities to perform advanced practice nursing roles.
Second Means of Assessment for Objective Identified Above:
b. Means of Assessment & Criteria for Success: 100% of the Nurse Educator students will receive an "satisfactory" or above rating on their teaching evaluation as part of their practicum course.
b. Assessment Results: None of the Nurse Educator students currently in the concentration was enrolled in the practicum course during 2005-2006.
b. Use of Results N/A
b. Comments/Needs: Continue to monitor student teaching evaluations by faculty.

In addition to internal evaluation procedures required for each department, ASU also requires periodic comprehensive assessments of its departments by external auditors. These audits are more frequent for those departments that appear to be lagging behind, or that have demonstrated low performance in particular areas.⁵³

Fort Valley State University

The term "institutional effectiveness" is broadly defined by Fort Valley State University (FVSU) as "a sustained commitment to continuous improvement of institutional quality."⁵⁴ Fort Valley State University regularly assesses all of its staff and departments to determine the institution's overall impact and level of success. To this end, the university has published a variety of institutional assessment practices and rubrics on its website.

Appendix E provides an example of FVSU's annual strategic planning calendar in addition to several samples of unit assessments and institutional questionnaires. As noted on FVSU's strategic planning calendar, the strategic planning process operates on an annual cycle that starts with a review of mission and purpose (in August-September), continues through Annual Reviews in May and a staff retreat in June, and culminates in a review of strategic progress and unit objectives in late Summer (prior to the new school year).⁵⁵

⁵² As cited and detailed further in Appendix D.

⁵³ "Albany State University SACS Compliance Certificate." op. cit. pp. 19-20.

⁵⁴ "Comprehensive Assessment and Planning Guide." Fort Valley State University Office of Institutional Effectiveness. November 2008. p. 4.
www.fvsu.edu/files/mainfiles/Comprehensive%20Planning%20Guide%202008-2009.pdf

⁵⁵ "Fort Valley State University Strategic Planning Calendar (Administrative and Educational Support Unit Involvement)." Fort Valley State University. fvsu.edu/files/mainfiles/Strategic%20Planning%20Calendar.pdf

FVSU performs unit assessments to measure the progress of each of its different units, including administrative units, community service liaisons, educational support units, academic degree and General Education students, academic degree programmatic aspects, and its research department.⁵⁶ Like Albany State's assessments, these evaluations list the programmatic goals, assessment criteria, assessment results, and use of results for each department.⁵⁷ While Appendix E offers only a few examples, there are many more available on FVSU's website.⁵⁸

Students and faculty are also asked to answer questionnaires in order to further gauge FVSU's overall effectiveness and assess trends at the university. These surveys are not included in the Appendix due to their lengthy nature, but are partially reproduced below. The faculty questionnaire asks faculty members to answer questions such as the following:

- ❖ Faculty meetings have been a source of stress for me during the last two years.
 - Not at all
 - Somewhat
 - Extensive

- ❖ In how many of the courses that you teach do you use group projects?
 - None
 - Some
 - Most
 - All

- ❖ Opportunities for personal growth exist at FVSU.
 - Don't know
 - Strongly Disagree
 - Disagree
 - Agree
 - Strongly Agree⁵⁹

Student questionnaires are administered for student satisfaction, academic program assessment, and General Education skills. FVSU's "Student Satisfaction Inventory" asks students to rate their satisfaction with several different aspects of the university, including various departments offering student services, student life activities, and the

⁵⁶ "Unit Assessments." Fort Valley State University.

fvsu.edu/academics/academic-affairs/institutional-research-planning-effectiveness/unit-assessments

⁵⁷ As in the example of FVSU's marketing unit assessment, enclosed in Appendix F and available online at www.fvsu.edu/files/mainfiles/Marketing%202007-2008_6.pdf.

⁵⁸ "Unit Assessments." Fort Valley State University. op. cit.

⁵⁹ "Fort Valley State University Faculty Questionnaire." Fort Valley State University. fvsu.edu/files/mainfiles/Faculty%20Questionnaire%20Fall%202009.pdf

general condition of campus buildings. Possible answers for each question/area include:

- ❖ Very dissatisfied
- ❖ Dissatisfied
- ❖ Neutral
- ❖ Satisfied
- ❖ Very Satisfied
- ❖ Have not used/not available⁶⁰

The academic program assessment asks students several demographic questions and then probes student satisfaction with things like the availability of courses for their degree, their work status, their future career/academic plans, whether they would recommend the university to others, their professors' level of preparation, and how much their skills in particular areas such as oral communications have improved since enrolling at FVSU.⁶¹ Meanwhile, the General Education Skills Survey asks students how the General Education program has improved their skills and understanding in specific areas, such as reading, generating new ideas, making education decisions, working with technology, and understanding global issues.⁶²

FVSU also uses a Planning, Performance, Impact (PPI) assessment tool that may be of particular interest to XYZ. The Administrative Council at FVSU uses the PPI system to rate progress towards strategic goals. Unlike some of the other instruments used at FVSU, this one is more focused upon institutional goals and objectives rather than departmental ones.⁶³ We reproduce a brief example below – it has been altered to enhance clarity.

⁶⁰ "Fort Valley State University Student Satisfaction Inventory." Fort Valley State University. June 2009. www.fvsu.edu/files/mainfiles//Fort%20Valley%20Overall%20Student%20Satisfaction%20Report.pdf

⁶¹ "Fort Valley State University Student Academic Program Assessment." Fort Valley State University. fvsu.edu/files/mainfiles/Student%20Academic%20Program%20Assessment%20Composite%20Questionnaire%20Fall%202008.pdf

⁶² "General Education Skills Survey: Fall 2009." Fort Valley State University. fvsu.edu/files/mainfiles/General%20Education%20Skills%20Survey%20Fall%202009.PDF

⁶³ "Comprehensive Assessment and Planning Guide: For Academic Year 2009-2010." Fort Valley State University. pp. 9-10, 52. fvsu.edu/files/mainfiles/Comprehensive%20Planning%20Guide-2009-2010.pdf

<u>PLANNING, PERFORMANCE & IMPACT EVALUATION FORM</u>				
<u>PLANNING</u>	Needs Improvement	Meets Benchmark	Exceeds Benchmark	Highest Performance
• Implementation Plan	—	—	—	—
• Institutional Support	—	—	—	—
• Leadership of Effort	—	—	—	—
• Effective and Integrated Program Components	—	—	—	—
• Engagement with Appropriate User Communities	—	—	—	—
• Supporting documentation for items 1&2	—	—	—	—

Source: Fort Valley State University “Comprehensive Assessment and Planning Guide: For Academic Year 2009-2010” See Appendix E for further detail.

The PPI assessment process is executed in late summer as the university completes its other unit and strategic assessments. FVSU’s PPI tool is fairly simple, and focuses upon 3 key areas:

❖ Planning

- Implementation Plan
- Institutional Support
- Leadership Effort
- Effective and Integrated Program Components
- Engagement with Appropriate User Communities
- Supporting documentation

❖ Performance

- Engagement with Appropriate User Communities
- Success in Achieving Planned Program Outcomes
- Supporting documentation used to measure success

❖ Impact

- Contributions to Student Learning
- Contributions to Education, Community Services or Extension
- Impact on Society, the Economy, and the Environment
- Success in Achieving Planned Objectives⁶⁴

⁶⁴ Ibid.

Each area evaluated under this brief assessment receives one of the following ratings:⁶⁵

- ❖ Needs improvement
- ❖ Meets benchmark
- ❖ Exceeds benchmark
- ❖ Highest performance

To highlight this assessment technique further, a sample PPI template is included in its original form in Appendix E.

⁶⁵ Ibid.

Appendix A: Gantt Chart Example

Sample Gantt Chart-Northern New Mexico College (p. 1 of 6)

NNMC Strategic Plan Gantt Chart 2008/2009														
ID	Priority & ID#	SWOT Topic	Objective	Responsibility	Target Date	%	Duration	Start	Finish	2009	2010	2011	2012	2013
1	1	Non-conformity with Guiding Principles	The College will annually review the fidelity of its practices with respect to the following guiding principles in its annual survey of Students, Faculty and Staff	Carmelia Sanchez - Director Effective Resource Utilization Department	2009	0%	239 days	Mon 2/2/09	Thu 12/31/09		0%			
2	2	Low Recruitment Rate	Increase enrolment by 9% by 2011	Frank Orona - Recruitment Retention & Placement PIT, Julia Abeyta - American Indian Recruitment PIT, Tom Alvarez - Public Relations PIT	2011	0%	760 days	Mon 2/2/09	Fri 12/30/11		0%			
3	3	Faculty/staff salary	Increase salaries to achieve 4th quartile for Master's Institutions by 2011	Jose Griego - President, Michael Branch - Board of Regents	2011	0%	760 days	Mon 2/2/09	Fri 12/30/11		0%			
4	4	Low Retention Rate	Increase retention rate by 25%	Frank Orona - Recruitment Retention & Placement PIT, Julia Abeyta - American Indian Recruitment PIT	2011	0%	760 days	Mon 2/2/09	Fri 12/30/11		0%			
5	5	Lack of shared governance across the university: students, faculty and staff	Clearly define shared governance by 2009	Jose Griego - President's Council, Meredith Garcia-Mason - Faculty Senate, Patrick Archuleta - Student Senate	2009	0%	239 days	Mon 2/2/09	Thu 12/31/09		0%			
6	6	Establish Faculty and Staff Professional Development	Provide ongoing professional development for faculty and staff	Jose Griego - President's Council, Meredith Garcia-Mason - Faculty Senate	2011	0%	760 days	Mon 2/2/09	Fri 12/30/11		0%			
7	7	Improve Student Services	Create and Improve Student Services	Alfredo Montoya - Student Services PIT	2011	0%	760 days	Mon 2/2/09	Fri 12/30/11		0%			
8	8	Improved advisement	All students will receive advising	Alfredo Montoya - Advisement PIT, Faculty, Tony Sena - Provost	2009	0%	159.33 days	Mon 2/2/09	Fri 9/11/09		0%			
9	9	Student needs based scheduling	Schedule classes to meet the needs of students	Tony Sena - Chairs and Deans	2010	0%	500 days	Mon 2/2/09	Fri 12/31/10		0%			
10	10	Potentials for Resources/People/\$ allocation/alignment to goals	Align resources with goals	Loretto Garcia - Effective Resources Utilization Committee	2011	0%	760 days	Mon 2/2/09	Fri 12/30/11		0%			

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Northern New Mexico College Website. www.nnmc.edu/aqip/strategic_plan/documents/StrategicPlanGanttChart2008-2009.pdf

Sample Gantt Chart-Northern New Mexico College (p. 2 of 6)

NNMC Strategic Plan Gantt Chart 2008/2009														
ID	Priority & ID#	SWOT Topic	Objective	Responsibility	Target Date	%	Duration	Start	Finish					
										2009	2010	2011	2012	2013
11	11	Target and Expand Recruitment Opportunities for Underepresented Populations	Increase Native American enrollment to 14% of the college	Julia Abeysa - American Indian Recruitment PIT	2011	0%	760 days	Mon 2/2/09	Fri 12/30/11					
12	12	Lack of Faculty and Staff	Increase faculty and staff in areas of need	Nancy O'Rourke - Human Resources, Jose Griego - President's Council, Loretto Garcia - Effective Resources Utilization Committee	2011	0%	506.67 days	Mon 2/2/09	Tue 1/11/11					
13	13	Inadequate Resources: Inadequate # of personnel and training to support existing and growth of programs	By 2009, establish a mechanism for evaluation of administrative and programmatic needs that matches available resources with institutional priorities.	Loretto Garcia - Effective Resources Utilization Committee	2009	0%	250 days	Mon 2/2/09	Fri 1/15/10					
14	14	Establish Needed Programs	By 2012, establish baccalaureate programs in Criminal Justice, Psychology, and Secondary Education, and an associate's degree in hospitality management.	Tony Sena - Chairs and Deans	2012	0%	1021 days	Mon 2/2/09	Mon 12/31/12					
15	15	Eliminate or Improve Existing Programs	By 2010, information gathered during program review will be evaluated and used to make informed decisions on elimination or improvement of programs.	Tony Sena - Provost, Meredith Garcia-Mason - Faculty Senate	2010	0%	500 days	Mon 2/2/09	Fri 12/31/10					
16	16	Develop a mindset of professionalism and excellence	By 2011, educate administrators, faculty, staff and students on the need for consistent expression of professional excellence.	Jose Griego - President, Meredith Garcia-Mason - Faculty Senate, Patrick Archuleta - Student Senate	2011	0%	760 days	Mon 2/2/09	Fri 12/30/11					
17	17	Identify and Pursue New Resources	By 2012, secure a 100% increase in extramural funding through grants, contracts and donations.	Patrick Archuleta - Student Senate	2012	0%	1021 days	Mon 2/2/09	Mon 12/31/12					
18	18	Lack of continuity between preparedness, retention, and completion of students	By Fall 2009, establish a system to track individual student achievement and progress, and provide each student with a faculty advisor from the onset of their academic career.	Alfredo Montoya - Advisement PIT, Faculty, Tony Sena - Provost	2009	0%	79.67 days	Mon 2/2/09	Fri 5/22/09					
19	19	Improve Course Offerings to Accommodate Students	By Spring, 2009, conduct a student needs assessment for implementation in 2010-2011 academic year.	Carmelia Sanchez - Director Effective Resource Utilization Department, Tony Sena - Chairs and Deans	2009	0%	239 days	Mon 2/2/09	Thu 12/31/09					
20	20	Green practices and programs/ virtual community	By Fall, 2009, establish a campus-wide recycling program.	Anne Quinn - Facilities PIT	2009	0%	239 days	Mon 2/2/09	Thu 12/31/09					

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Source: Northern New Mexico College Website. www.nnmc.edu/aqip/strategic_plan/documents/StrategicPlanGanttChart2008-2009.pdf

Sample Gantt Chart-Northern New Mexico College (p. 3 of 6)

NNMC Strategic Plan Gantt Chart 2008/2009														
ID	Priority & ID#	SWOT Topic	Objective	Responsibility	Target Date	%	Duration	Start	Finish	2009	2010	2011	2012	2013
21	21	Expand Dual Credit Enrollment Opportunities	By 2009, establish an office of dual credit programs at NNMC.	Jose Griego - President	2009	0%	239 days	Mon 2/2/09	Thu 12/31/09		0%			
22	22	Lack of Clarity /Understand Organizational Process and Decision Making	By 2009, establish a policy of shared governance at all levels of the Institution, and publicize the policy among all constituent groups.	Jose Griego - President,Michael Branch - Board of Regents,Meredith Garcia-Mason - Faculty Senate,Fabrick Archuleta - Student Senate	2009	0%	239 days	Mon 2/2/09	Thu 12/31/09		0%			
23	23	Lack of Organizational Plan for Funding	By 2010, establish an institution-wide plan for coordination of funding strategies.	Jose Griego - President,Loretto Garcia - Effective Resources Utilization Committee	2010	0%	250 days	Mon 2/2/09	Fri 1/15/10					
24	24	Inadequate resources to sustain existing programs, let alone further expansion	By 2010, restrict growth of new programs until established programs are either determined to be self-sustaining or are eliminated.	Jose Griego - President,Tony Sena - Program Review Committee	2010	0%	250 days	Mon 2/2/09	Fri 1/15/10					
25	25	Lack of unified & professional campus culture: misinformed perceptions	By 2009, establish a single, comprehensive method for inter-campus communication, including all students, faculty and staff.	Nancy O'Rourke - Human Resources,Loretto Garcia - Director of MIS,Alfredo Montoya - Student Services PIT	2009	0%	159.33 days	Mon 2/2/09	Fri 9/11/09		0%			
26	26	Better utilize El Rito campus	By 2009, gather data on current utilization of El Rito facilities, and based on these data, formulate a master plan to better utilize these facilities.	Carlos Martinez - El Rito PIT	2009	0%	239 days	Mon 2/2/09	Thu 12/31/09		0%			
27	27	Improve Results Driven Internal Effectiveness (i.e. Banner, WEB, Distance, . .)	Automate Business Forms	Loretto Garcia - Information Technology PIT	2009	0%	239 days	Mon 2/2/09	Thu 12/31/09		0%			
28	28	Prioritize and Develop Curriculum Needs	Apply Research and Polling Community Data	Tony Sena - Provost	2010	0%	450 days	Mon 2/2/09	Fri 10/22/10					
29	29	Improve Faculty/Staff/Student Interaction	Imitate Student Outreach Activities	Patrick Archuleta - Student Senate	2009	0%	239 days	Mon 2/2/09	Thu 12/31/09		0%			
30	30	Create a Plan for the Academic Division	Update an Academic Division Plan	Tony Sena - Provost	2010	0%	500 days	Mon 2/2/09	Fri 12/31/10					

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Source: Northern New Mexico College Website. www.nnmc.edu/aqip/strategic_plan/documents/StrategicPlanGanttChart2008-2009.pdf

Sample Gantt Chart-Northern New Mexico College (p. 4 of 6)

NNMC Strategic Plan Gantt Chart 2008/2009														
ID	Priority & ID#	SWOT Topic	Objective	Responsibility	Target Date	%	Duration	Start	Finish	2009	2010	2011	2012	2013
31	31	Improve campus communication	Develop Comprehensive/Multi-Modal Campus Communication Plan	Nancy O'Rourke - Human Resources PIT	2009	0%	140 days	Mon 2/2/09	Fri 8/14/09					
32	32	Integrate student projects into Improvement of campus needs	Develop Comprehensive Service Learning Agenda	Lori Franklin - Community Service Learning PIT	2010	0%	500 days	Mon 2/2/09	Fri 12/31/10					
33	33	IT/ Distance Education	Increase Budget and Staff	Jose Griego - President,Loretto Garcia - Effective Resources Utilization Committee	2009	0%	119.5 days	Mon 2/2/09	Fri 7/17/09					
34	34	Enhancement and development El Rito Campus	Prioritize El Rito Campus Needs	Jose Griego - President's Council,Michael Branch - Board of Regents	2010	0%	500 days	Mon 2/2/09	Fri 12/31/10					
35	35	Improve Internal/External Customer Service	Develop Customer Service Manual	Loretto Garcia - VP Finance,Alfredo Montoya - Student Services PIT	2009	0%	119.5 days	Mon 2/2/09	Fri 7/17/09					
36	36	Expanding baccalaureate and graduate programs	Increase Budget and Student Recruitment	Jose Griego - President's Council	2012	0%	1021 days	Mon 2/2/09	Mon 12/31/12					
37	37	Improve our image in the community by increasing communication of our strengths	Develop Policy and Procedures Manual on Public Relations	Tom Alvarez - Public Relations PIT	2009	0%	230 days	Mon 2/2/09	Fri 12/18/09					
38	38	Realize the potential of our existing programs before adding others	All programs will be reviewed and analyzed; results shared with BOR and the college community. Analysis should include recommendations for expansion or removal.	Tony Sena - Program Review Committee	2011	0%	760 days	Mon 2/2/09	Fri 12/30/11					
39	39	Deficient physical facilities, including Internet access	80% of all constituencies will be satisfied with quality of physical facilities & Internet access.	Anne Quinn - Facilities PIT,Loretto Garcia - Chief Information Officer	2011	0%	760 days	Mon 2/2/09	Fri 12/30/11					
40	40	Increased grant funding opportunities	Annual grant funding will increase by 65% from 2008 baseline	David Trujillo - Sponsored Programs Council	2011	0%	760 days	Mon 2/2/09	Fri 12/30/11					

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Source: Northern New Mexico College Website. www.nnmc.edu/aqip/strategic_plan/documents/StrategicPlanGanttChart2008-2009.pdf

Sample Gantt Chart-Northern New Mexico College (p. 5 of 6)

NNMC Strategic Plan Gantt Chart 2008/2009														
ID	Priority & ID#	SWOT Topic	Objective	Responsibility	Target Date	%	Duration	Start	Finish					
										2009	2010	2011	2012	2013
41	41	Replace the boiler system at the El Rito campus	Boiler system will be replaced	Anne Quinn - Facilities PIT, Carlos Martinez - El Rito PIT	2011	0%	760 days	Mon 2/2/09	Fri 12/30/11					
42	42	Integrate the community into College activities and economic development	Increase continuing education offerings by 50% by 2010	Mateo Pumphrey - Continuing Education Department	2010	0%	500 days	Mon 2/2/09	Fri 12/31/10					
43	43	Offer and improve Accessible and Affordable Education	Data on accessibility & affordability will be gathered, evaluated, analyzed & disseminated for purpose of creating an action plan.	Lori Franklin - Community Service Learning PIT, Carmella Sanchez - Director Effective Resource Utilization Department	2011	0%	760 days	Mon 2/2/09	Fri 12/30/11					
44	44	Reorganization for efficiency and cost savings	Organization will make sense & save money.	Jose Griego - President's Council, Loreto Garcia - Effective Resources Utilization Committee	2009	0%	125 days	Mon 2/2/09	Fri 7/24/09					
45	45	Increase recognition of adjunct faculty in the life of the college	Make accessible to adjunct faculty the same kinds of professional development opportunities, shared governance responsibilities and recognition afforded to full time faculty	Loreto Garcia - Effective Resources Utilization Committee	2010	0%	500 days	Mon 2/2/09	Fri 12/31/10					
46	46	Lack of Security	We will analyze current security issues	Anne Quinn - Facilities PIT	2009	0%	250 days	Mon 2/2/09	Fri 1/15/10					
47	47	Decrease the Number of Students with Undeclared Majors	By Spring 2010 a policy will be implemented that specifies a timeline for degree declaration	Mike Costello - Registrar, Meredith Garcia-Mason - Faculty Senate, Tony Sena - Provost	2010	0%	500 days	Mon 2/2/09	Fri 12/31/10					
48	48	Branding	Develop a strategy for uniform and consistent branding	Tom Alvarez - Public Relations PIT	2009	0%	239 days	Mon 2/2/09	Thu 12/31/09					
49	49	Establish Common Learning Goals	College common learning goals are in place. Publish and distribute to student, faculty and staff	Tony Sena - Provost	2009	0%	239 days	Mon 2/2/09	Thu 12/31/09					
50	50	Improve Webpage	An experienced web master will be in place	Debra Trujillo - Web Site PIT, Jose Griego - President's Council	2009	0%	239 days	Mon 2/2/09	Thu 12/31/09					

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Source: Northern New Mexico College Website. www.nnmc.edu/aqip/strategic_plan/documents/StrategicPlanGanttChart2008-2009.pdf

Sample Gantt Chart-Northern New Mexico College (p. 6 of 6)

NNMC Strategic Plan Gantt Chart 2008/2009														
ID	Priority & ID#	SWOT Topic	Objective	Responsibility	Target Date	%	Duration	Start	Finish	2009	2010	2011	2012	2013
51	51	Improve transportation between the Espanola and El Rito campuses	Increase van service between Espanola and El Rito Campus by 50%	Carios Martinez - El Rito PIT	2009	0%	239 days	Mon 2/2/09	Thu 12/31/09		0%			
52	52	Transparent Budgeting Process	The budgeting process is open and understandable by internal and external stakeholders	Loretto Garcia - Effective Resources Utilization Committee	2009	0%	239 days	Mon 2/2/09	Thu 12/31/09		0%			
53	53	Community needs based curriculum	Align program development with data from community needs assessment	Jose Griego - President's Council, Tony Sena - Provost	ASAP	0%	16.5 days	Mon 2/2/09	Tue 2/24/09		0%			
54	54	Socioeconomic Issues	An experienced counselor will be in place to address non academic issues that affect student success	Nancy O'Rourke - Human Resources, Alfredo Montoya - Student Services PIT	2009	0%	119.5 days	Mon 2/2/09	Fri 7/17/09		0%			
55	55	Improve Program Evaluation Process	Review existing Program Review process	Tony Sena - Chairs and Deans	2009	0%	239 days	Mon 2/2/09	Thu 12/31/09		0%			
56	56	Establish a Centralized Location for Sharing Resources	Create a general fund to purchase media equipment for shared use	Loretto Garcia - Effective Resources Utilization Committee	2012	0%	1021 days	Mon 2/2/09	Mon 12/31/12		0%			
57	57	Reduce Course Load	Reduce course teaching load for full-time faculty to 24 credit hours per academic year (9 month contracts)	Tony Sena - Provost, Jose Griego - President's Council, Loretto Garcia - Effective Resources Utilization Committee	2010	0%	333.33 days	Mon 2/2/09	Thu 5/13/10		0%			
58	58	Increase student engagement	1) Student Senate will create and implement a plan to increase student involvement in campus activities; 2) Hire a Director of Student Life	Patrick Archuleta - Student Senate, Nancy O'Rourke - Human Resources, Alfredo Montoya - Student Services PIT	2009	0%	239 days	Mon 2/2/09	Thu 12/31/09		0%			
59	59	Improved food services/healthy options	By fall 2009 the cafeteria and bookstore will offer a variety of healthy, affordable food options	Chef Ron - Meals, Jody Gritman - Bookstore	2009	0%	239 days	Mon 2/2/09	Thu 12/31/09		0%			

Project: Strategic Plan Gantt Chart 2008/2009
Date: Thu 1/8/09

Task Progress Summary External Tasks Deadline

Split Milestone Project Summary External Milestone

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Source: Northern New Mexico College Website. www.nnmc.edu/aqip/strategic_plan/documents/StrategicPlanGanttChart2008-2009.pdf

Appendix B: Malcolm Baldrige 2009-2010 Education Criteria for Performance Excellence Worksheet⁶⁶

SELF-ANALYSIS WORKSHEET (OPTIONAL)

(not to be submitted with your Baldrige application)

While insights gained from external Examiners or reviewers are always helpful, you know your organization better than they will. You are currently in an excellent position to identify your organization’s key strengths and key opportunities for improvement (OFIs). Having just completed your responses to the Baldrige Criteria questions, you can accelerate your improvement journey by doing a self-analysis of your responses to all seven Criteria Categories using this worksheet.

Start by identifying one or two strengths and one or two OFIs for each Criteria category. For those of high importance, establish a goal and a plan of action.

Criteria Category	Importance High, Medium, Low	For High-Importance Areas			
		Stretch (Strength) or Improvement (OFI) Goal	What Action Is Planned?	By When?	Who Is Responsible?
Category 1—Leadership					
<i>Strength</i>					
1.					
2.					
<i>OFI</i>					
1.					
2.					
Category 2—Strategic Planning					
<i>Strength</i>					

⁶⁶ “Malcolm Baldrige Optional Self Analysis Worksheet.” National Institute for Standards, Baldrige National Quality Program. 2010. www.baldrige.nist.gov/Word_files/2009_2010_Optional_Worksheet_ED.doc

Criteria Category	Importance High, Medium, Low	For High-Importance Areas			
		Stretch (Strength) or Improvement (OFI) Goal	What Action Is Planned?	By When?	Who Is Responsible?
1.					
2.					
<i>OFI</i>					
1.					
2.					
Category 3—Customer Focus					
<i>Strength</i>					
1.					
2.					
<i>OFI</i>					
1.					
2.					
Category 4—Measurement, Analysis, and Knowledge Management					
<i>Strength</i>					
1.					
2.					
<i>OFI</i>					
1.					
2.					
Category 5—Workforce Focus					
<i>Strength</i>					
1.					
2.					

Criteria Category	Importance High, Medium, Low	For High-Importance Areas			
		Stretch (Strength) or Improvement (OFI) Goal	What Action Is Planned?	By When?	Who Is Responsible?
<i>OFI</i>					
1.					
2.					
Category 6—Process Management					
<i>Strength</i>					
1.					
2.					
<i>OFI</i>					
1.					
2.					
Category 7—Results					
<i>Strength</i>					
1.					
2.					
<i>OFI</i>					
1.					
2.					

Appendix C: Sample Assessment Rubric from South Texas College⁶⁷

Division of Finance & Administrative Services Sample CQI Report 2005-2008						
Department	Performance Indicator #	2005-2008 Performance Indicator	Action Plan	Data Source	Actual Outcomes	Improvements and Linkages to 2008-2009
Finance and Administrative Services	2.3.1.	Auditing standards will be met by implementing the recommendations of the fraud and detection study.	The departments will be pro-active in meeting auditing standards by implementing the recommendations from the fraud and theft detection study performed by consultant.	Departmental Records	Consultant was contracted, Fraud and Theft Detection Study was completed; implemented fraud hotline in 2005; completed SAS 99 Action Plan, fraud surveys, ethics training online, developed and distributed guidelines to all employees through Employee Handbook. Have had only 18 calls to the fraud hotline since its inception in 2005. All calls were investigated and appropriate disciplinary action was taken as necessary.	Continue to provide training for all STC employees on ethics and deal with issues as they arise (2008-09 FAS IE Plan Outcome #5 addresses this issue.)

⁶⁷ "Office of the Vice President for Finance and Administrative Services: Sample CQI Report." South Texas College Department of Institutional Effectiveness and Assessment, 2005-2008. isp.southtexascollege.edu/iea/ie_reports/finance/pdf/05_08/Sample%20CQI%20Report-FAS-2005-08.pdf

Division of Finance & Administrative Services Sample CQI Report 2005-2008						
Department	Performance Indicator #	2005-2008 Performance Indicator	Action Plan	Data Source	Actual Outcomes	Improvements and Linkages to 2008-2009
Finance and Administrative Services	4.2.4	The College will continue its commitment to provide competitive faculty salaries to attract and retain quality faculty by appointing a task force in Fall 2005 to review and develop recommendations for the faculty salary plan to be implemented in FY 2006-2007	Work with the taskforce to develop recommendations for the faculty salary plan and identify resources necessary and work with the President and taskforce to develop the recommendations and identify and appropriate the necessary resources.	Employee Salary/Pay Plan, Board minutes	A taskforce was created and a 3-year Faculty Pay Plan was developed. The Board of Trustees approved Years 1, 2, and 3 of the pay plan. Implementation for Year 3 began August 2008.	Begin the process of identifying faculty salary increase for fiscal year 2010 and beyond. (This is addressed by 2008-09 FAS IE Plan Outcome #1: Attract and retain qualified faculty by providing competitive salaries addresses this issue.)
Business Office	2.3.4	The Business Office will model excellence by submitting the Comprehensive Annual Financial Report to the GFOA and earning the Certificate of Excellence in Financial Reporting.	Continue preparing the annual financial report in the format required by GFOA, submit the CAFR to the GFOA, and implement all recommendations received from the GFOA.	Certificate of Excellence	The Business Office has earned its fifth consecutive Certificate of Excellence in Financial Reporting for Comprehensive Annual Financial Report from the GFOA.	The Business Office will continue to submit the CAFR to acquire the Certificate of Excellence in Finance Reporting. (This is addressed by 2008-09 BUSINESS OFFICE IE Plan Outcome #1: Demonstrate excellence in fiscal responsibility and accountability.)

Division of Finance & Administrative Services Sample CQI Report 2005-2008						
Department	Performance Indicator #	2005-2008 Performance Indicator	Action Plan	Data Source	Actual Outcomes	Improvements and Linkages to 2008-2009
Business Office	2.3.4b	The Business Office will model excellence by submitting the Annual Budget to the GFOA for the excellence certificate.	Submit the Annual Budget to the GFOA.		The Business Office will continue working and preparing the Annual Budget to acquire the GFOA excellence certificate.	The Business Office will continue working, preparing and implementing the necessary changes required to apply for the GFOA-Annual Budget excellence certificate. (This is addressed by 2008-09 BUSINESS OFFICE IE Plan Outcome #3: The Business Office will model excellence by submitting the Annual Budget to the GFOA for the excellence certificate.)
Purchasing	1.3.4	Purchasing and General Services will provide services by ordering and delivering all materials and equipment on a timely basis for faculty and staff.	The Purchasing Department will process a requisition within 3 to 5 working days, the General Services department will continue to deliver merchandise to the end user within 1-2 working days, and the Mail Services department will have mail available and deliver to satellite locations daily.	Departmental Records and counts	The Banner system will assist in monitoring performance through reports.	Purchasing and General Services departments will continuously run reports and monitor performance to improve services. (This is addressed by 2008-09 PURCHASING IE Plan Outcome #1: Provide prompt delivery of materials received.)

Division of Finance & Administrative Services Sample CQI Report 2005-2008						
Department	Performance Indicator #	2005-2008 Performance Indicator	Action Plan	Data Source	Actual Outcomes	Improvements and Linkages to 2008-2009
Purchasing	2.3.5a	Purchasing and General Services will be responsible by securing assets through proper inventory control college wide and by ensuring fixed assets are secure in the warehouse through implementation of security procedures.	Accurate physical inventory reports will be maintained. Assets and inventory are monitored by a security camera system. An inventory log has been implemented for delivered and stored inventory.	Inventory control records	The Purchasing and General Services departments properly tag all assets, complete an annual physical inventory and conduct inventory spot checks throughout the district. The warehouse security procedures are in place and are continuously reviewed.	The Purchasing and General Services departments will continue to conduct the annual physical inventory verification, conduct inventory spot checks and review all security measures at the warehouse. (This is addressed by 2008-09 PURCHASING IE Plan Outcome #4: Verify property and equipment by annually conducting at least 8 spotchecks and physical inventories.)
Human Resources	2.35b	Human Resources will be fiscally responsible by implementing a time clock system for non-exempt employees college wide.	Human Resources staff will work with Business Office in implementing a timekeeping system which will ensure accurate reporting of time for non-exempt employees. and Human Resources staff will review TIMEFORCE capability for leave reporting of exempt employees.	Employee Time Cards and Reports	Collaboration with Business Office to ensure accurate reporting of leave and hours worked.	Review system utilization to allow more efficient reporting of leave and/or payroll processing. (This is addressed by 2008-09 HUMAN RESOURCES IE Plan Outcome #5: Non-exempt employees will utilize a time clock system for reporting of working hours and leave used.)

Division of Finance & Administrative Services Sample CQI Report 2005-2008						
Department	Performance Indicator #	2005-2008 Performance Indicator	Action Plan	Data Source	Actual Outcomes	Improvements and Linkages to 2008-2009
Human Resources	4.2.5	Human Resources will initiate a feasibility study to incorporate incentives in salary plans for staff completing higher degrees, licenses, and certifications to be implemented by FY 06-07.	Survey other community colleges to review their processes, analyze process for possible implementation, form a committee and develop recommendations, and compose another general compensation study for administrators, professional support, and classified staff.		Plan has not been completed. HR Director is getting information from other Texas community colleges.	Need to finalize a proposal to present to Cabinet (This is addressed by 2008-09 HUMAN RESOURCES IE Plan Outcome #2: Implement staff salary increases.)
Facilities Operations and Maintenance	1.5.2c	To meet expectations and standards, the Operations and Maintenance department will provide a healthy, safe, and secure environment for all members of the campus community.	Have four Safety Meetings annually, modify and disseminate the Safety Quick Reference Guide and phone labels, and revise and approve the Safety Emergency Plan.	Departmental records	The Safety Committee met four times within the past fiscal year and the Safety Plan was updated with several additional sub plans.	The Safety Committee will continue to meet and discuss any and all safety concerns that may effect the College's community. (This is addressed by 2008-09 SECURITY IE Plan Outcome #4: Provide a safe and secure work environment).

Division of Finance & Administrative Services Sample CQI Report 2005-2008						
Department	Performance Indicator #	2005-2008 Performance Indicator	Action Plan	Data Source	Actual Outcomes	Improvements and Linkages to 2008-2009
Facilities Operations and Maintenance	3.2.6	The Operations and Maintenance will implement the activities listed in the Comprehensive Maintenance Plan to ensure improved satisfaction by students, faculty, and staff with custodial and maintenance services.	Identify the activities listed in the Plan and personnel responsible, develop procedures if necessary, implement the procedures and monitor for implementation.	Work Order Summary Reports Survey Data	The Operations and Maintenance Department has implemented the activities in the Comprehensive Maintenance Plan for all facilities.	Will continue to follow the Comprehensive Maintenance Plan to ensure improved satisfaction college wide. (This is addressed by 2008-09 FACILITIES OPERATIONS AND MAINTENANCE IE plan Outcome #2: The Operations Department will ensure all corrective and preventive work orders are completed and performed in a timely manner.)
Facilities Operations and Maintenance	4.4.4	Results from the faculty/staff surveys will indicate improved satisfaction with Operations & Maintenance services and/or indicate areas that need improvement and will be included in the planning for the next biennium.	Identify the areas listed in the results that need improvement, develop procedures to improve, implement these procedures, evaluate the procedures, and modify the procedures.	Surveys	94.6% were very satisfied/satisfied with the overall services provided district wide.	Have developed departmental guidelines, checklists, and plans for improvements college wide. (This is addressed by 2008-09 FACILITIES OPERATIONS AND MAINTENANCE IE Plan Outcome #1: Maintain cleanliness and functionality of campus communities, addresses this issue.)

Division of Finance & Administrative Services Sample CQI Report 2005-2008						
Department	Performance Indicator #	2005-2008 Performance Indicator	Action Plan	Data Source	Actual Outcomes	Improvements and Linkages to 2008-2009
Facilities Planning and Construction	1.5.2	To meet standards and expectations the Facilities Planning & Construction will provide adequate classrooms, labs and gathering areas.	Successful completion of Phase II of Bond Construction Programs, execute plan for construction projects as budgeted for FY 07-08 and update facility construction standards and design guidelines.	Departmental records	Capital Improvement Proposals were received and budgeted each fiscal year. Various projects were completed to provide adequate classrooms, labs and gathering areas.	Continue with the Capital Improvement Proposal process to provide adequate space. (This is addressed by 2008-09 FACILITIES PLANNING AND CONSTRUCTION IE Plan Outcome #1 Pleasant and Functional Learning Spaces. Planning & Construction Department will assist in the development of a typical learning studio as part of the pilot program. Five classrooms will be converted into learning studios and monitor for impact on student learning. Results may be included in the Master Planning process.)

Division of Finance & Administrative Services Sample CQI Report 2005-2008						
Department	Performance Indicator #	2005-2008 Performance Indicator	Action Plan	Data Source	Actual Outcomes	Improvements and Linkages to 2008-2009
Facilities Planning and Construction	2.3.5b	Facilities Planning and Construction will be fiscally responsible by maintaining floor plan data with inventory of all facilities, fixtures and equipment.	Acquire electronic floor plans from architects, modify floor plans to indicate space types in all buildings, add furniture and equipment to floor plans and update square footage database to include additional space.	CAAD Drawings, Facility Max Software Reports	FPC successfully implemented the use of a new facilities management software called FacilityMax for collecting, maintaining and reporting facility data.	FPC will maintain and update facility data and will collaborate with other departments to develop inventory databases for furniture and equipment as needed. (This is addressed by 2008-09 FACILITIES PLANNING AND CONSTRUCTION IE Plan Outcome #5 Provide facility data through use of Dashboard. Facilities Planning & Construction will provide Information Services & Planning with facility data for Dashboard.)

Albany State University Nursing Department Assessment (continued)

Expanded Statement of Institutional Purpose:

Institutional Mission Reference:

The primary mission of Albany State University is to educate students to become outstanding contributors to society. Offering Bachelor's, Masters, and Education Specialist degrees, and a variety of non-degree educational programs, the University emphasizes the liberal arts as the foundation for all learning by exposing students to the humanities, fine arts, social sciences and the natural sciences. Global learning is fostered through a broad-based curriculum, diverse University activities, and the expanding use of technology.

Unit Mission:

The College of Sciences and Health Professions is committed to the overall mission of Albany State University. In addition to graduating a diverse student body in nursing, we are proud to offer the professional degree in nursing. The BSN degree provides the foundation for advanced and graduate study in nursing. The goal of our Programs in general are to increase the number of nursing graduates who are adequately prepared to enter the healthcare workforce and provide holistic, culturally-competent care, thereby decreasing the shortage that the nation in general, and the South, in particular, currently face.

Goal:

At the completion of the program, the MSN graduate will be able to integrate synthesized knowledge of behavioral and natural sciences, humanities, technology and nursing science to perform advanced practice nursing roles

Intended Educational (Student), Research or Public Service Outcomes or Departmental administrative Objectives:

Objective 1

The student will use knowledge synthesized from behavioral and natural sciences and humanities to perform advanced practice nursing roles.

Objective 2

The student will use knowledge synthesized from technology to perform advanced practice nursing roles.

Objective 3

The Student will use knowledge synthesized from nursing science to perform advanced practice nursing roles.

Albany State University Nursing Department Assessment (continued)

Intended Educational (Student), Research or Public Service Outcomes or Departmental**Administrative Objective 1:**

The graduate student will use knowledge synthesized from behavioral and natural sciences and humanities to perform advanced practice nursing roles.

First Means of Assessment for Objective Identified Above:**a. Means of Assessment & Criteria for Success:**

90% of the FNP students will submit an acceptable "Clinical Experience Portfolio" as part of their practicum course.

a. Assessment Results:

100% (n = 10) of FNP students submitted an acceptable "Clinical Experience Portfolio" as part of their Practicum course

a. Use of Results:

The "Clinical Experience Portfolio" was used to document and track students' clinical encounters, and to project clinical placements for future students. Students have also used the portfolio as part of their resume when seeking employment as an FNP. Faculty identified the use of the portfolio as a positive assessment tool for student work, pulling the information into a comprehensive format.

a. Comments/Needs:

Continue to monitor FNP students' Clinical Experience Portfolios.

Second Means of Assessment for Objective Identified Above:**b. Means of Assessment & Criteria for Success:**

100% of the Nurse Educator students will receive an "satisfactory" or above rating on their teaching evaluation as part of their practicum course.

b. Assessment Results:

None of the Nurse Educator students currently in the concentration was enrolled in the practicum course during 2005-2006.

b. Use of Results

N/A

b. Comments/Needs:

Continue to monitor student teaching evaluations by faculty.

Third Means of Assessment for Objective Identified Above:**c. Means of Assessment & Criteria for Success:**

90% of the graduate nursing students will pass their comprehensive exam on their first attempt.

c. Assessment Results:

100% (n = 10) of FNP students satisfactorily completed the comprehensive exam on their first attempt. In addition, 100% of FNP graduates successfully passed the national certification exam within 6 months of graduation. The comprehensive exam reinforced faculty beliefs that the program content was comprehensive and relevant.

c. Use of Results

Results reinforced the high quality academic preparation currently received by the students, and no changes are being considered at this time.

c. Comments/Needs:

Continue to monitor comprehensive exam results.

Albany State University Nursing Department Assessment (continued)

Intended Educational (Student), Research or Public Service Outcomes or Departmental Administrative Objective 2:

The graduate student will use knowledge synthesized from technology to perform advanced practice nursing roles.

First Means of Assessment for Objective Identified Above:

a. Means of Assessment & Criteria for Success:

100% of the FNP students will demonstrate technical clinical expertise through data reports and entries in their Practicum course.

a. Assessment Results:

100% of the FNP students (n = 10) utilized a clinical data tracking system (Typhon) to record quantitative data about their clinical encounters

a. Use of Results:

The quantitative data were used to provide evidence of clinical strengths and limitations, and thus guided future clinical placements for these students.

a. Comments/Needs:

Continue to monitor electronic technical submissions of students.

Second Means of Assessment for Objective Identified Above:

b. Means of Assessment & Criteria for Success:

100% of the Nurse Educator students will demonstrate effective and appropriate instructional variety and technology in their Practicum course.

b. Assessment Results:

None of the Nurse Educator students currently in the concentration was enrolled in the practicum course during 2005-2006.

b. Use of Results

N/A

b. Comments/Needs:

Continue to monitor electronic technical submissions of students.

Third Means of Assessment for Objective Identified Above:

c. Means of Assessment & Criteria for Success:

100% of graduate nursing students will demonstrate appropriate electronic communication through the use of online course submissions.

c. Assessment Results:

100% of the FNP students (n = 10) utilized the computer learning environment WebCT as a means of electronic communication and submission of required course assignments. An online and in-person orientation to the WebCT electronic communication tools is provided to all incoming graduate nursing students.

c. Use of Results

Per student evaluations, communication and feedback are enhanced through the utilization of WebCT electronic communication tools. Program/software upgrades and new features will be applied and evaluated as they become available.

c. Comments/Needs:

Continue to monitor electronic technical submissions of students..

Albany State University Nursing Department Assessment (continued)

Intended Educational (Student), Research or Public Service Outcomes or Departmental**Administrative Objective 3:**

The graduate student will use knowledge synthesized from nursing science to perform advanced practice nursing roles.

First Means of Assessment for Objective Identified Above:**a. Means of Assessment & Criteria for Success:**

90% of the FNP students will submit an acceptable "Clinical Nursing Experience Portfolio" as part of their practicum course.

a. Assessment Results:

100% (n = 10) of FNP students submitted an acceptable "Clinical Experience Portfolio" as part of their Practicum course

a. Use of Results:

The "Clinical Experience Portfolio" has been used to document and track students' clinical encounters, and to project clinical placements for future students. Students have also used the portfolio as part of their resume when seeking employment as an FNP. Faculty identified the use of the portfolio as a positive assessment tool for student work, pulling the information into a comprehensive format.

a. Comments/Needs:

Continue to monitor FNP students' Clinical Nursing Experience Portfolios.

Second Means of Assessment for Objective Identified Above:**b. Means of Assessment & Criteria for Success:**

100% of the Nurse Educator students will receive an "satisfactory" or above rating on their teaching evaluation as part of their practicum course.

b. Assessment Results:

None of the Nurse Educator students currently in the concentration was enrolled in the practicum course during 2005-2006.

b. Use of Results

N/A

b. Comments/Needs:

Continue to monitor student teaching evaluations by faculty.

Third Means of Assessment for Objective Identified Above:**c. Means of Assessment & Criteria for Success:**

90% of the graduate nursing students will pass their comprehensive exam on their first attempt.

c. Assessment Results:

100% (n = 10) of FNP students satisfactorily completed the comprehensive exam on their first attempt. In addition, 100% of FNP graduates successfully passed the national certification exam within 6 months of graduation. The comprehensive exam reinforced faculty beliefs that the program content was comprehensive and relevant.

c. Use of Results

Data were shared with faculty and faculty will consider revising this means of assessment at a future curriculum committee meeting.

c. Comments/Needs:

Continue to monitor comprehensive exam results.

Appendix E: Models from Fort Valley State University Assessments and Rubrics

FVSU Strategic Planning Calendar (Administrative and Educational Support Unit Involvement)⁶⁹

Programmatic Involvement	Activity Date	Activity	Distribution/Use	Completed		In-Progress
				2007-2008	2008-2009	2009-2010
Board of Regents'/President/Senior Administrators/ Institutional		Purpose/Strategic Directions Statement Developed	College Community			
Cycle Starts						
Academic Degree Programs	Aug.	Dev/Review unit mission to ensure that it supports institutional purpose	Office of Inst. Research/College Deans/Degree Program Unit Leaders -Strategic/Oper. Planning	Aug. 2007	Aug. 2008	Ten. Date Aug. 2010
Administrative/Educational Support/Community Service/ Research/ Public Service Units and Academic Degree Programs	Aug.	Dev/Review unit mission to ensure that it supports institutional purpose	Office of Inst. Research/ Programmatic Staff/Unit leaders/Degree Program unit leaders - Strategic/ Oper. Planning	Aug. 2007	Aug. 2008	Ten. Date Aug. 2010
Academic Degree Programs	Sept.	Dev/ Review student learning outcomes to ensure they support unit missions.	Office of Inst. Research/ College Deans/Degree Program Unit leaders.- Program/Unit Evaluation	Sept. 2007	Aug. 2008	Ten. Date Sept. 2010
Administrative/Educational Support/Community Service/ Research/ Public Service Units and Academic Degree Programs	Sept.	Dev Review unit outcomes to ensure that they support unit mission	Office of Inst. Research/ Programmatic Staff/Unit leaders.- Program/Unit Evaluation	Sept. 2007	Sept. 2008	Ten. Date Sept. 2010
Academic Degree Programs (Student Learning Outcomes)	May	Annual Reviews	Office of Inst. Research/College Deans/Degree Program Unit Leaders- Compares actual performance with	May-08	May-09	Ten. Date May 2010

⁶⁹ "Strategic Planning Calendar." Fort Valley State University Institutional Research, Planning & Effectiveness. www.fvsu.edu/files/mainfiles/Strategic%20Planning%20Calendar.pdf

Programmatic Involvement	Activity Date	Activity	Distribution/Use	Completed		In-Progress
				2007-2008	2008-2009	2009-2010
			planned performance/program adjustment.			
Administrative/Educational Support/Community Service/Research/ Public Service Units and Academic Degree Programs	May	Annual Reviews	Office of Inst. Research/Programmatic Staff/Unit leaders-Compares actual performance with planned performance/program adjustment.	May-08	May-09	Ten. Date May 2010
Institutional Effectiveness Committee	May	Reviews Annual Assessments	Administrative/Educational Support/Community Service/Research/ Public Service Units/Academic Degree Programs and Senior Administrators – Recommends strategies for evaluation improvement and the use of assessment data.	May-08	May-09	Ten Date May 2010
President's Cabinet	June	Reviews Annual Assessments	Administrative/Educational Support/Community Service/Research/ Public Service Units and Academic Degree Programs – Ensures programmatic change based on annual assessments and that results are incorporated into planning.	May-08	Jun-09	Ten Date May 2010
President's Cabinet	June	Annual Planning Retreat	College Community-Annual Assessments and performance data used as input to determine institutional priorities for the next academic year.	Jun-08	Jun-09	Ten. Date June 2010
Institutional Research	June/July	Conducts Review of Strategic Progress	College Community-Used to assess progress toward meeting the objectives of the institutional purpose.	Jun-08	Jun-09	Jun-10

Programmatic Involvement	Activity Date	Activity	Distribution/Use	Completed		In-Progress
				2007-2008	2008-2009	2009-2010
Administrative Council	August	Conducts Review of Strategic Progress	College Community-Conduct review of unit progress in regards to strategic progress.	Aug. 2008	Aug. 2009	Aug. 2010
External Consultant	August	Conducts Review of Strategic Progress	College Community-Conduct review of unit progress in regards to strategic progress.	Aug. 2008	Aug. 2008	Aug. 2010
President	August	Conduct Review of Strategic Progress/ Revises Unit Objectives	College Community-Conduct review of unit progress in regards to strategic progress. Implements programmatic enhancements	Aug. 2008	Aug. 2009	Aug. 2010
Cycle Starts Again	Aug.	Cycle Starts Again	Cycle Starts Again	August	August	August

FVSU Marketing Unit Assessment Sheet 2007-2008⁷⁰

<p>Institutional Mission Statement (Excerpt): The mission of The Fort Valley State University is to advance the cause of education with emphasis upon fulfilling commitments that our community members have undertaken collectively. As an institution of the University System of Georgia, Fort Valley State University naturally embraces the principles articulated by the Core Mission Statement for State Universities as approved by the Board of Regents of the University System of Georgia. The University's primary commitments include, among others, enhancement of teacher training programs grounded upon a liberal arts foundation, as reflective of over 110 years of experience and tradition. . .</p>			
<p>Program Mission: The Office of Marketing seeks to positively promote, market, and advance the institution at all times by proactively developing and disseminating news stories, messages and creative features across the state, nation and world.</p>			
<i>Programmatic Goals</i>	<i>Assessment Criteria</i>	<i>Assessment Results</i>	<i>Use of Results</i>
1. Promote awareness of Fort Valley State University.	1a. Release an average of twenty articles and news updates each month. 1b. Create and promote speaker's bureau to highlight the vocal expertise of faculty.	1a. The department released an average of two articles and news updates each day or sixty each month. 1b. Plans launched to create speakers bureau however at the writing of this report it has not been completed. Much of the reason for this delay stemmed from vacant staff positions.	1a. As a result of these efforts many of our stories have been picked up by A.P. The department has developed plans to expand this effort to post at least one article each day or selected on-line blogs and web pages. 1b. Hired new staff reporter which will allow the unit leader to complete development plans for speaker's bureau.
2. Enhance relations between Fort Valley State University and the greater Peach County Houston County Communities.	2a. Develop Marketing plan for the Communiversity initiative. 2b. Publicize and promote Athletic department initiatives, such as homecoming and rivalry games.	2a. Marketing plan developed. 2b. Sent out promotional flyers to listing of community leaders about homecoming and Albany State football games. As a result of this effort, there has been a 50% increase in calls generated from surrounding communities.	2a. To enhance relations the department has continued current process. In addition, the department has distributed copies of the plan to all major units of the university. 2b. To improve this process, the department has developed plans to mail information about Athletics as well as social events at the University. The department started this process in May.
3. Support admissions recruitment efforts.	3a. In conjunction with the office of Enrollment Management, create Marketing Committee to enhance graduate and undergraduate recruitment.	3a. Committee established. Enrolled 650 new freshmen.	3a. The department has expanded efforts by sending updates of committee's work to campus community. This will allow committee to expand its reach.

⁷⁰ "Marketing Unit Assessment 2007-2008." Fort Valley State University Institutional Research, Planning & Effectiveness. www.fvsu.edu/files/mainfiles/Marketing%202007-2008_6.pdf

FVSU Cooperative Extension Academic Assessment Rubric 2008-2009⁷¹

<p>Institutional Mission Statement (Excerpt): The mission of The Fort Valley State University is to advance the cause of education with emphasis upon fulfilling commitments that our community members have undertaken collectively. As an institution of the University System of Georgia, Fort Valley State University naturally embraces the principles articulated by the Core Mission Statement for State Universities as approved by the Board of Regents of the University System of Georgia. The university's primary commitments include, among others, enhancement of teacher training programs grounded upon a liberal arts foundation, as reflective of over 110 years of experience and tradition. . .</p>			
<p>Program Purpose: The mission of the Cooperative Extension Program is to provide practical non-formal education opportunities, training, and technical assistance to off-campus learners to enable them to make better decisions and wiser choices. Subject matter areas focus mainly on agriculture, aquaculture, 4-H and youth development, nutrition and food safety, housing, family life and well-being.</p>			
Programmatic Goals	Assessment Criteria	Assessment Results	Use of Results
1. Improve relations between the University and the town of Fort Valley.	1a. Hold at least four Community Health and Nutrition Fairs during 2008-2009. During these fairs the average attendance will be 70 people per event. 1b. Establish at least four new 4-H and youth programs in targeted counties.	1a. Held seven Community Health and Nutrition fairs, however, many of the fairs. Attendance improved over last year as more than 60 people attended each event. 1b. Established six new 4-H and Youth Programs	1a. To improve attendance the Cooperative Extension program has identified event coordinators at local schools and at five churches. Each coordinator is challenged with securing at least fifteen people to attend fairs. 1b. See 1a.
2. Increase Technical assistance to area forms.	2a. Host at least three animal wellness and meat preparation workshops during 2007-2008.	2a. The Department held five meat preparation workshops. Most events attracted over 30 people.	2a. Since programmatic goal was accomplished the program has decided no change was needed.
3. Rejuvenate Consumer Science Programs.	3a. Recruit at least eight consumer science volunteer advocates.	3a. Recruited 11 consumer science volunteer advocates.	3a. To fully utilize new volunteers the program has made plans to start a volunteer training program.

⁷¹ "Cooperative Extension 2008-2009." Fort Valley State University Institutional Research, Planning & Effectiveness Website, accessed January 2010. http://www.fvsu.edu/files/mainfiles/Cooperative%20Extension%202008-2009_0.pdf

Sample PPI Assessment from FVSU⁷²

<u>PLANNING, PERFORMANCE & IMPACT EVALUATION FORM</u>																																									
<p><u>PLANNING</u></p> <ul style="list-style-type: none"> • Implementation Plan • Institutional Support • Leadership of Effort • Effective and Integrated Program Components • Engagement with Appropriate User Communities • Supporting documentation for items 1&2 	<table style="margin-left: auto; margin-right: auto;"> <tr> <td style="writing-mode: vertical-rl; transform: rotate(180deg);">Needs</td> <td>—</td> <td>—</td> <td>—</td> <td>—</td> </tr> <tr> <td style="writing-mode: vertical-rl; transform: rotate(180deg);">Improvement</td> <td>—</td> <td>—</td> <td>—</td> <td>—</td> </tr> <tr> <td style="writing-mode: vertical-rl; transform: rotate(180deg);">Meets</td> <td>—</td> <td>—</td> <td>—</td> <td>—</td> </tr> <tr> <td style="writing-mode: vertical-rl; transform: rotate(180deg);">Benchmark</td> <td>—</td> <td>—</td> <td>—</td> <td>—</td> </tr> <tr> <td style="writing-mode: vertical-rl; transform: rotate(180deg);">Exceeds</td> <td>—</td> <td>—</td> <td>—</td> <td>—</td> </tr> <tr> <td style="writing-mode: vertical-rl; transform: rotate(180deg);">Benchmark</td> <td>—</td> <td>—</td> <td>—</td> <td>—</td> </tr> <tr> <td style="writing-mode: vertical-rl; transform: rotate(180deg);">Highest</td> <td>—</td> <td>—</td> <td>—</td> <td>—</td> </tr> <tr> <td style="writing-mode: vertical-rl; transform: rotate(180deg);">Performance</td> <td>—</td> <td>—</td> <td>—</td> <td>—</td> </tr> </table>	Needs	—	—	—	—	Improvement	—	—	—	—	Meets	—	—	—	—	Benchmark	—	—	—	—	Exceeds	—	—	—	—	Benchmark	—	—	—	—	Highest	—	—	—	—	Performance	—	—	—	—
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<p><u>PERFORMANCE</u></p> <ul style="list-style-type: none"> • Engagement with Appropriate User Communities • Success in Achieving Planned Program Outcomes • Supporting documentation used to measure success 	<table style="margin-left: auto; margin-right: auto;"> <tr> <td style="writing-mode: vertical-rl; transform: rotate(180deg);">Needs</td> <td>—</td> <td>—</td> <td>—</td> <td>—</td> </tr> <tr> <td style="writing-mode: vertical-rl; transform: rotate(180deg);">Improvement</td> <td>—</td> <td>—</td> <td>—</td> <td>—</td> </tr> <tr> <td style="writing-mode: vertical-rl; transform: rotate(180deg);">Meets</td> <td>—</td> <td>—</td> <td>—</td> <td>—</td> </tr> <tr> <td style="writing-mode: vertical-rl; transform: rotate(180deg);">Benchmark</td> <td>—</td> <td>—</td> <td>—</td> <td>—</td> </tr> <tr> <td style="writing-mode: vertical-rl; transform: rotate(180deg);">Exceeds</td> <td>—</td> <td>—</td> <td>—</td> <td>—</td> </tr> <tr> <td style="writing-mode: vertical-rl; transform: rotate(180deg);">Benchmark</td> <td>—</td> <td>—</td> <td>—</td> <td>—</td> </tr> <tr> <td style="writing-mode: vertical-rl; transform: rotate(180deg);">Highest</td> <td>—</td> <td>—</td> <td>—</td> <td>—</td> </tr> <tr> <td style="writing-mode: vertical-rl; transform: rotate(180deg);">Performance</td> <td>—</td> <td>—</td> <td>—</td> <td>—</td> </tr> </table>	Needs	—	—	—	—	Improvement	—	—	—	—	Meets	—	—	—	—	Benchmark	—	—	—	—	Exceeds	—	—	—	—	Benchmark	—	—	—	—	Highest	—	—	—	—	Performance	—	—	—	—
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<p><u>IMPACT</u></p> <ul style="list-style-type: none"> • Contributions to Student learning • Contributions to Education, Community Services or Extension • Impact on Society, the Economy, and the Environment • Success in Achieving Planned Objectives 	<table style="margin-left: auto; margin-right: auto;"> <tr> <td style="writing-mode: vertical-rl; transform: rotate(180deg);">Needs</td> <td>—</td> <td>—</td> <td>—</td> <td>—</td> </tr> <tr> <td style="writing-mode: vertical-rl; transform: rotate(180deg);">Improvement</td> <td>—</td> <td>—</td> <td>—</td> <td>—</td> </tr> <tr> <td style="writing-mode: vertical-rl; transform: rotate(180deg);">Meets</td> <td>—</td> <td>—</td> <td>—</td> <td>—</td> </tr> <tr> <td style="writing-mode: vertical-rl; transform: rotate(180deg);">Benchmark</td> <td>—</td> <td>—</td> <td>—</td> <td>—</td> </tr> <tr> <td style="writing-mode: vertical-rl; transform: rotate(180deg);">Exceeds</td> <td>—</td> <td>—</td> <td>—</td> <td>—</td> </tr> <tr> <td style="writing-mode: vertical-rl; transform: rotate(180deg);">Benchmark</td> <td>—</td> <td>—</td> <td>—</td> <td>—</td> </tr> <tr> <td style="writing-mode: vertical-rl; transform: rotate(180deg);">Highest</td> <td>—</td> <td>—</td> <td>—</td> <td>—</td> </tr> <tr> <td style="writing-mode: vertical-rl; transform: rotate(180deg);">Performance</td> <td>—</td> <td>—</td> <td>—</td> <td>—</td> </tr> </table>	Needs	—	—	—	—	Improvement	—	—	—	—	Meets	—	—	—	—	Benchmark	—	—	—	—	Exceeds	—	—	—	—	Benchmark	—	—	—	—	Highest	—	—	—	—	Performance	—	—	—	—
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⁷² “Comprehensive Assessment and Planning Guide: For Academic Year 2009-2010.” Fort Valley State University. p. 52. fvsu.edu/files/mainfiles/Comprehensive%20Planning%20Guide-2009-2010.pdf

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