



# TROY UNIVERSITY

## **2010** Institutional Effectiveness Handbook

---

Office of Institutional Research, Planning & Effectiveness | Adams Administration Building | Suite 231

## **Institutional Effectiveness Handbook**

*Revised and Approved March 2010*

The Institutional Effectiveness Handbook is utilized by Troy University administration, faculty and staff to guide and to evaluate the operations of the University. This handbook is maintained and edited by the Office of Institutional Research, Planning and Effectiveness. The final draft of this handbook was approved by the Institutional Effectiveness Committee in their March 2010 meeting. Questions about the handbook should be directed to Dr. John R. Dew, Associate Vice Chancellor of Institutional Research, Planning and Effectiveness; (334) 670-3640, phone; [jrdew@troy.edu](mailto:jrdew@troy.edu), e-mail. Electronic copies of the handbook are available on a public web site, <http://intranet.troy.edu/irpe/effectiveness.html>.

# Table of Contents

|          |  |           |
|----------|--|-----------|
| <b>1</b> | <i>Introduction to Institutional Effectiveness</i>   | <b>1</b>  |
|          | Mission . . . . .  | 1         |
|          | Mission Statement . . . . .  | 1         |
|          | Strategic Planning . . . . .   | 1         |
|          | The Deming Cycle . . . . .   | 2         |
|          | Program Level Assessment . . . . .   | 2         |
|          | Assessment of Student Learning Outcomes . . . . .  | 3         |
|          | Continuous Improvement . . . . .   | 4         |
|          | Sources . . . . .  | 5         |
| <b>2</b> | <i>Troy University's Five-Year Strategic Planning Cycle and Annual Planning Cycle</i>                  | <b>6</b>  |
|          | Five-Year Strategic Planning Cycle . . . . .   | 6         |
|          | Annual Planning Cycle . . . . .  | 7         |
| <b>3</b> | <i>Change Management</i>   | <b>8</b>  |
|          | A Flow Chart for Change Management . . . . .   | 9         |
|          | Development of a New Academic Program . . . . .  | 10        |
|          | Expanding an Existing Program to a New Location . . . . .  | 11        |
|          | Modifications to Existing Academic Programs . . . . .  | 12        |
|          | Offering a Cohort . . . . .  | 12        |
|          | Offering a Certificate Program . . . . .   | 13        |
|          | Placing a Program on Inactive Status, Deleting a Program, or Closing a Site. . . . .                   | 13        |
|          | Changes to Academic Colleges and Departments . . . . .   | 13        |
|          | Offering an Existing Program Online . . . . .  | 13        |
|          | Requirements for a Substantive Change Prospectus for SACS-COC . . . . .                                | 14        |
|          | Requirements for a New Program Proposal to ACHE . . . . .  | 16        |
|          | Definitions Related to Reporting and Notification of Changes Concerning<br>Academic Programs . . . . . | 17        |
|          | Routing Slip for New Academic Programs . . . . .   | 18        |
|          | Routing Slip for Extensions and Alterations of Existing Academic Programs. . . . .                     | 20        |
|          | Routing Slip for Approval of all Global Campus Activities . . . . .                                    | 21        |
| <b>4</b> | <i>The Role of the Institutional Effectiveness Committee (IEC)</i>                                     | <b>23</b> |
|          | ADLI Rubric for Evaluating Institutional Effectiveness Practices . . . . .                             | 24        |
| <b>5</b> | <i>HOMER - Telling the Story of TROY</i>   | <b>25</b> |
| <b>6</b> | <i>Responsibilities in the Review Process for Proposals (for Routing Slips) and for HOMER</i>          | <b>26</b> |
| <b>7</b> | <i>Institutional Effectiveness for Research Activities</i>   | <b>28</b> |
| <b>8</b> | <i>2010 Staff in the Office of Institutional Research, Planning &amp; Effectiveness</i>                | <b>30</b> |

# 1 Introduction to Institutional Effectiveness

Troy University's emphasis on institutional effectiveness is guided by an Institutional Effectiveness Committee (IEC), with representatives from across the university, and supported by the Office of Institutional Research, Planning, and Effectiveness (IRPE). The IEC has adopted the Plan-Do-Study-Act model, derived from Dr. W. Edwards Deming, as the basis of institutional effectiveness. This model presents a continuous cycle of planning, implementation, study (assessment), and actions to improve processes. HOMER is Troy University's mechanism for reporting the results of the institutional effectiveness process.

## Mission

In 2005, Troy State University Dothan, Troy State University Montgomery and Troy State University (with University College and its branch campus in Phenix City), three separately accredited universities, were merged to become Troy University. At that time a subcommittee of administrators representing each campus worked to develop one common mission statement. Faculty, students, and alumni were solicited for comments before the mission statement draft was reviewed by the Chancellor's Cabinet. The Chancellor recommended the mission statement to the Board of Trustees, who approved it at the April 2004 meeting. The mission statement is published in the *Troy University Undergraduate Catalog*, the *Troy University Graduate Catalog*, *Faculty Handbook*, and is posted on the University web page. The mission statement is subject to review and modification by the Board of Trustees.

## Mission Statement

**Troy University is a public institution comprised of a network of campuses throughout Alabama and world-wide. International in scope, Troy University provides a variety of educational programs at the undergraduate and graduate levels for a diverse student body in traditional, nontraditional and emerging electronic formats. Academic programs are supported by a variety of student services which promote the welfare of the individual student. Troy University's dedicated faculty and staff promote discovery and exploration of knowledge and its application to life-long success through effective teaching, service, creative partnerships, scholarship and research.**

## Strategic Planning

Every five years, strategic planning is led by a steering committee augmented through various constituent groups. A comprehensive study of external and internal factors impacting the University is developed. Based upon the data collected, the University formulates assumptions, reviews its mission statement, and establishes a vision for the next five year strategic planning cycle. Troy University has been actively engaged in strategic planning for the past 20 years. The strategic planning process has been used to effectively implement the merger of three separately accredited universities into the current Troy University. In December 2004, Chancellor Jack Hawkins Jr. authorized the development of a strategic planning process that would cover the period 2005-2010. The planning for *Troy University: Vision 2010* was begun in January 2005 with the final plan approved by the Board of Trustees on March 10, 2006.

It is Troy University's culture to set bold strategic objectives. Partial completion of a bold goal often results in greater progress than full completion of modest goals.

*Vision 2010* identifies six strategic initiatives and 52 strategic objectives. Senior leaders are responsible for updating the status of strategic objectives or outcomes at designated progress points.

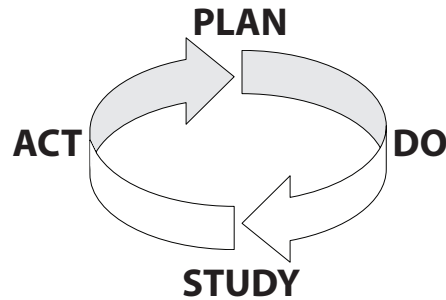
Systematic monitoring of the implementation of the strategic plan occurs throughout the year when senior vice chancellors brief the Chancellor's Cabinet on the status of their divisions' plans. There is an annual update at the Senior Leadership Conference and the Board of Trustees is apprised of the progress within the stated plan at each of its meetings. A mid-cycle TROY Strategic Plan Progress Report was conducted in early 2008 and reviewed with the Chancellor and the Board of Trustees.

In 2009, the University began the process of developing the 2010-2015 strategic plan by obtaining input from faculty, staff, and other stakeholders.

## The Deming Cycle

The Deming cycle, or PDSA cycle, is a continuous quality improvement model consisting of a logical sequence of four repetitive steps for continuous improvement and learning: Plan, Do, Study, and Act. This cycle is also known as the Deming Wheel or as the Continuous Improvement Spiral. It originated in the 1920s with the eminent statistics expert W. A. Shewart, who introduced the concept of PLAN, DO and SEE (Shewart). W. Edwards Deming modified the Shewart cycle as: PLAN, DO, STUDY, and ACT (Walton, 1986).

Along with the other well-known American quality guru, Joseph M. Juran, Deming went to Japan as a part of the occupation forces of the allies after World War II. Deming taught Quality Improvement methods to the Japanese, including the usage of statistics and the Plan-Do-Study-Act cycle (Walton, 1986).



The parts of the Deming cycle can be broken down and defined as follows:

- **PLAN** - plan ahead for change; analyze and predict the results.
- **DO** - execute the plan, taking small steps in controlled circumstances.
- **STUDY** - study the results.
- **ACT** - take action to standardize or improve the process.

Joseph M. Juran (1964) pointed out that quality improvement primarily occurs when people are organized to make it happen – project by project. The key to high quality is to rapidly and continuously engage all parts of the university in quality improvement projects using a systematic Plan-Do-Study-Act model (Juran, 1964).

## Program Level Assessment

Troy University routinely assesses its academic programs, administrative programs, education support programs, research activities, and community support activities. The University uses assessment information to promote organizational learning and to drive continuous improvement.

Expected outcomes in educational support programs, administrative areas, and community and public support activities include two types of expected outcomes. Most expected outcomes will relate to the extent a unit is meeting its key operational objectives. Other expected outcomes will be related to data from annual surveys conducted by the Office of Institutional Research, Planning, and Effectiveness (IRPE), and/or from surveys that the support organization or administrative unit administers on its own. These surveys provide a perspective as to how stakeholders or users of these processes perceive

the quality of performance. Overall results from these surveys are provided through the IRPE web site, such as the most recent annual Graduating Student Survey, Alumni Survey, and International Student Survey. While internally developed surveys provide a rich source of stakeholder information, the University also uses national surveys, including the National Survey of Student Engagement and the Noel-Levitz Student Priorities and Satisfaction Survey, to provide comparative data regarding stakeholder perceptions on a broad range of issues. This comparative data supports the University's efforts to be a role model in providing accountability and access to affordable quality education.

Program or unit effectiveness and reporting of assessment data is the responsibility of identified program coordinators who provide information in the HOMER system. The HOMER system is accessible through an open, public web site (<http://homer.troy.edu>).

Assessment results may identify an opportunity for improvement (OFI) in an academic or administrative program. The responsible manager may opt to wait for an additional round of data to be sure that the results are not due to special causes of variation. In some cases, the responsible manager may conclude that the expected outcomes were unrealistic and may make adjustments. In other cases, the responsible manager will prepare Plans for Further Improvement (PFI) which will be identified in the HOMER system.

Each year, the heads of each college, educational and administrative support group, research, and community service unit prepare Chancellor's Briefings that summarize accomplishments in terms of the University's strategic plan, internal operational plans, and institutional effectiveness information. The HOMER system includes a web site which makes program-level assessment results across all units of the University available; this allows institutional effectiveness and program effectiveness to be updated as needed.

## Assessment of Student Learning Outcomes

Writing in 1976, Paul Dressel noted that assessment of student learning in academic programs developed in the 1960s with early conversations regarding the needs and problems of evaluation in higher education (Dressel, 1976). By 1989, James Nichols was able to state that the assessment of student learning outcomes was "already a significant movement in higher education" (Nichols, 1989). This movement was stimulated by the work of leaders in quality improvement, such as W. Edwards Deming, who championed the concept of continuous quality improvement in all sectors (Harris, 1992). In 1989, the Higher Learning Commission of the North Central Association introduced a formal assessment initiative by issuing its first *Statement on Assessment and Student Academic Achievement*, noting that "assessing student achievement is a critical component of evaluating overall institutional effectiveness" (Lopez, 2004).

Contemporary writers have done much to define the assessment methodologies that are relevant to Troy University. The National Research Council has clearly established the need for the use of multiple measures to effectively assess student learning. It states:

"No single test score can be considered a definitive measure of a student's competence. Multiple measures enhance the validity and fairness of the inferences drawn by giving students various ways and opportunities to demonstrate their competence" (National Research Council, 2001).

Assessment experts in higher education, such as Barbara Walvoord, have likewise advised researchers to "build an array of assessment measures" in order to more fully understand student learning outcomes (Walvoord, 2004).

Writers on assessment of student learning typically divide assessment of student learning into two broad categories. *Formative* assessment studies "learning along the progression of students' studies," while *summative*

assessment studies the “progress toward and achievement of institution – and program-level learning” (Maki, 2004). Formative assessment, according to Thomas Angelo, often focuses more on *how* students are learning rather than *what* they have learned (Angelo, 1993).

Assessment methods are likewise divided into two categories. *Direct measures* are those that “prompt students to represent or demonstrate their learning or produce work so that observers can assess how well students’ texts or responses fit institutional or program-level expectations.” *Indirect measures* “capture students’ perceptions of their learning and the educational environment that supports that learning, such as access to and the quality of services, programs, or educational offerings that support their learning” (Maki, 2004).

Maki noted that “historically, standardized instruments, such as objective tests, have served as the primary direct method to assess student learning. Content or disciplinary experts identify the standard content, knowledge, and tasks that students should know and be able to perform” (Maki, 2004).

Walvoord observed that “a national standardized exam is a direct measure that places the goals, performance, criteria, and evaluation with an external source, not the instructor.” According to Walvoord, “the advantage is that you have a national standard against which to measure your own students” (Walvoord, 2004).

Troy University uses national standardized exams to assess the outcomes of its general studies program and to assess student learning in many education programs, including business, education, nursing, and criminal justice.

In addition to the national standardized exams, Troy University uses what Walvoord describes as “course-embedded assignments and tests” that individual faculty develop and implement in their specific courses as an additional approach to direct measurement of student learning (Walvoord, 2004).

Indirect measures, such as data from the National Survey

of Student Engagement (NSSE), are used to capture students’ perceptions regarding their learning activities.

The full time faculty in each college are responsible for the assessment of each academic program offered by their college and conduct these reviews through their Discipline Committees. Assessment results are posted on the HOMER system.

## Continuous Improvement

Most higher educational institutions improve due to peer review processes and new perspectives brought into the campus as administrators and faculty join institutions. Troy University focuses on: 1) being systematic in identifying opportunities for improvement, 2) being aggressive in implementation of improvements, and 3) constantly learning from its experiences. The University recognizes that the institution which rapidly identifies and implements the greatest number of improvements will excel in accomplishing its mission and delighting its stakeholders. Improvement is driven by internal assessment, competitive benchmarking, peer review processes, and a willingness to embrace new thinking and new technology.

Troy University embraces the peer review process led by the Southern Association of Colleges and Schools (SACS), as well as peer reviews from specialized accrediting bodies, to identify opportunities for improvement. The university is committed to the SACS model for a Quality Enhancement Plan (QEP) as another vehicle for continuous improvement. The QEP at Troy University focuses on Creating a Culture of Reading. It is centered around: 1) The Common Reading Initiative, 2) The College Reading Initiative, and 3) faculty development supported by the Quality Enhancement Institute (established in 2009 to promote faculty development in teaching).

The University also utilizes the evaluation process used in the Alabama Quality Award Program, a flow-down of the Malcolm Baldrige National Quality Award. Troy



University has received the Bronze Level Recognition from the Alabama Quality Award process and is using the feedback from this process to initiate further improvements. Evaluation with the Alabama Quality Award process enables the University to critically reflect on its leadership, strategic planning, stakeholder focus, use of measurement and assessment processes, workforce development, process improvement, as well as results.

Comparative analysis in ranking programs, such as *U.S. News and World Report* and *Forbes Magazine*, also provides useful comparative data. Troy University was ranked as the top public university in Alabama by *Forbes Magazine* in 2009.

---

## Sources

- Angelo, Thomas and Cross, Patricia. Classroom Assessment Techniques. Jossey-Bass, San Francisco: 1993.
- Deming, W. Edwards. Quality, Productivity, and Competitive Position. Massachusetts Institute of Technology, Cambridge, MA: 1982.
- Dressel, Paul L. Handbook of Academic Evaluation. Jossey-Bass, San Francisco: 1976.
- Harris, John W. Quality Quest in the Academic Process. Samford University, Birmingham, AL: 1992.
- Hernon, Peter. and Dugan, Robert E. Outcomes Assessment in Higher Education. Libraries Unlimited, Westport, Conn: 2004.
- Juran, Joseph M. Managerial Breakthrough. McGraw-Hill, New York: 1964.
- Kuh, George et. al. Student Success in College. Jossey-Bass, San Francisco: 2005.
- Maki, Peggy L. Assessing for Learning. Stylus Publishing, Sterling, VA: 2004.
- Middle States Commission on Higher Education. Student Learning Assessment. Philadelphia, PA: 2003.
- National Research Council. Knowing What Students Know. National Academy Press, Washington, D.C.: 2001.
- Nichols, James. A Practitioner's Handbook for Institutional Effectiveness and Student Outcomes Assessment Implementation. Agathon Press, New York: 1989.
- Shewart, W. A. Economic Control of Quality of Manufactured Product. Van Nostrand Co., New York: 1931.
- Walton, Mary. The Deming Management Method. (Forward by W. Edwards Deming.) The Berkley Publishing Group, New York: 1986.
- Walvoord, Barbara. Assessment Clear and Simple. Jossey-Bass, San Francisco: 2004.



# 2 Troy University's Five-Year Strategic Planning Cycle and Annual Planning Cycle

## Troy University's Five-Year Strategic Planning Cycle

### 2000 – 2005 ONE GREAT UNIVERSITY (OGU)

- Merged three separately accredited institutions and four separate strategic plans.
- Major planning retreat at Lake Eufaula.
- Dozens of committees and working groups.
- Substantive Change Review by SACS.

### 2005 – 2010 VISION 2010

- Developed in 2005, approved by the Board of Trustees in March 2006.
- Launched at Senior Leadership Conference – May 2006.
- Six Key Strategic Initiatives:
  1. *Student Centeredness*
  2. *Quality Academic Programs*
  3. *Internationalization*
  4. *Faculty and Staff Development*
  5. *Cost Effectiveness and Strengthening the Infrastructure*
  6. *Telling the Troy University Story*
- Mid-Plan Review in 2008
- Completion on July 31, 2010

### 2010 – 2015 TROY RISING (title being considered)

- Campus input – October/November 2009.
- SVC input – November, 2009.
- Draft Plan Review – January 2010.
- Joint Board Review – March 2010.
- Board Approval – May 2010.
- Implementation Planning at Senior Leadership Retreat – May/June 2010.
- Effective Date: July 1, 2010

# Troy University's Annual Planning and Assessment Cycle

Senior Vice Chancellors (SVC) meet throughout the year to review progress on the strategic plan. Strategic Planning may be reviewed at any Cabinet meeting.

**December:** Senior Vice Chancellors Retreat - formal review of progress on the strategic plan.

Preparation of Chancellor's Briefings by Colleges and all administrative units.

**January:** Chancellor's Briefings update progress on the strategic plan, operational performance and propose annual initiatives.

**March:** Joint Foundation and Trustees Board Retreat - reviews strategic and operational issues.

**June or July:** Senior Leadership Conference / Chancellor's Conference

*SLC is a large group meeting. Chancellor's Conference is a small group meeting. These alternate each year. Both are used to review planning and assessment information.*

Quality Assurance Audits conducted at international teaching locations.

**August/September:** College and Campus Level meetings to discuss progress on program-level performance.

College Curriculum Committees and administrative units assess program-level effectiveness outcomes.

**September/October:** Annual updates of HOMER program-level information.

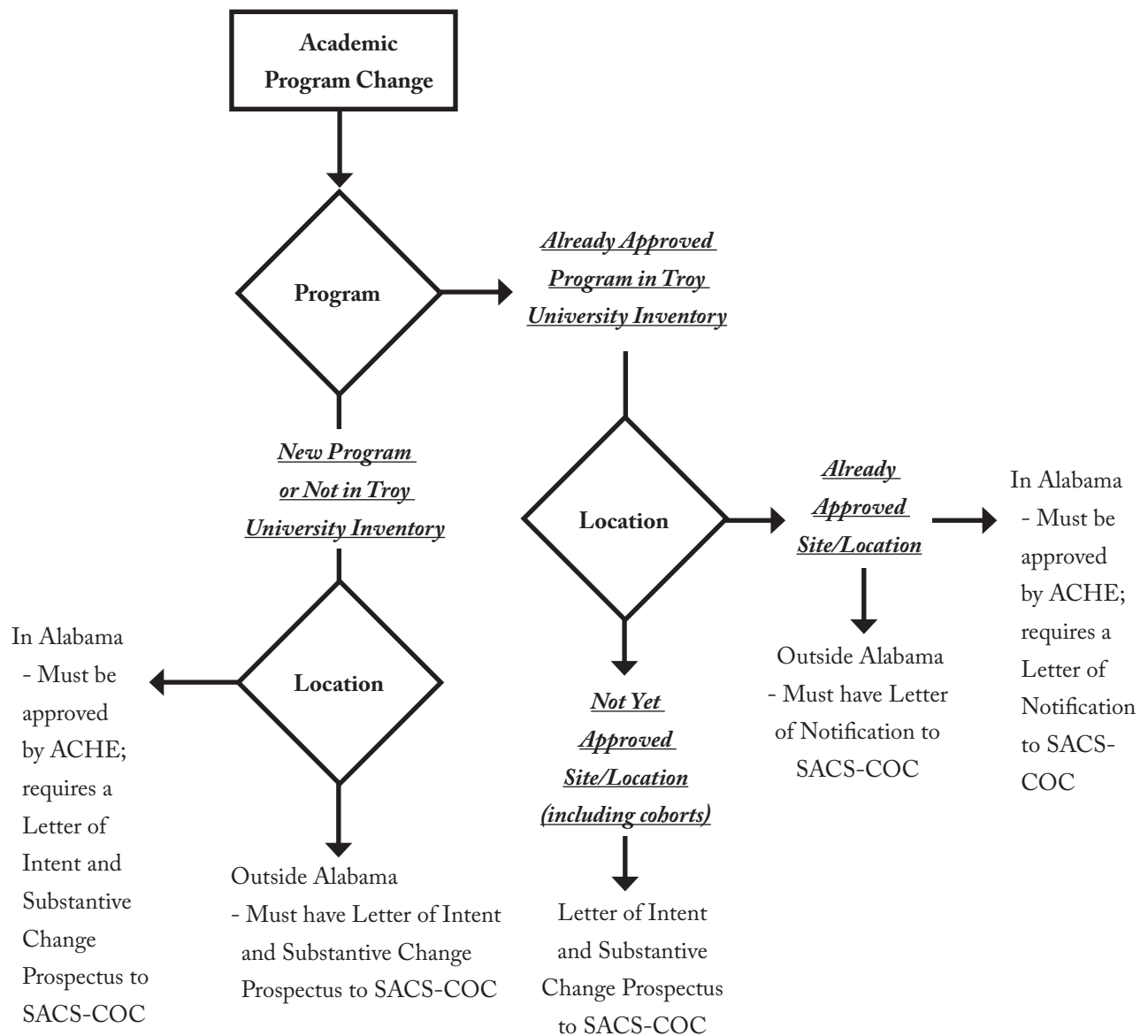
**November:** Assessment of the previous strategic planning year by the Senior Vice Chancellors.

# 3 Change Management

The Institutional Effectiveness Handbook provides guidance for a wide variety of changes to academic programs. It is essential for all Troy University personnel to abide by these change management guidelines in order to ensure the University's full compliance to the requirements of the Alabama Commission on Higher Education (ACHE) and the Southern Association of Colleges and Schools (SACS).

|  |    |
|--|----|
| <i>A Flow Chart for Change Management . . . . .</i>  | 9  |
| Development of a New Academic Program . . . . .  | 10 |
| Expanding an Existing Program to a New Location . . . . .  | 11 |
| Modifications to Existing Academic Programs . . . . .  | 12 |
| Offering a Cohort . . . . .  | 12 |
| Offering a Certificate Program . . . . .   | 13 |
| Placing a Program on Inactive Status,<br>Deleting a Program, or Closing a Site . . . . .               | 13 |
| Changes to Academic Colleges and Departments . . . . .   | 13 |
| Offering an Existing Program Online . . . . .  | 13 |
| Requirements for a Substantive Change<br>Prospectus for SACS-COC . . . . .                             | 14 |
| Guidelines for a New Program Proposal to ACHE . . . . .  | 16 |
| Definitions Related to Reporting and Notification of<br>Changes Concerning Academic Programs . . . . . | 17 |
| <i>Routing Slip for New Academic Programs . . . . .</i>  | 18 |
| <i>Routing Slip for Extensions and Alterations of<br/>        Existing Academic Programs . . . . .</i> | 20 |
| <i>Routing Slip for Approval of all Global Campus Activities . . . . .</i>                             | 21 |

## A Flow Chart for Change Management



## Development of a New Academic Program

Proposals for offering a new academic program must be reviewed and approved by the appropriate individuals and groups specified on the *Routing Slip for New Academic Programs*, page 18 of this document.

A new program *cannot* be implemented until approvals have been received from the Southern Association of Colleges and Schools Commission on Colleges (SACS-COC). Noncompliance with guidelines will result in loss of Title IV funding or requirement from the U.S. Department of Education to reimburse any money received by the institution for programs related to the unreported substantive change. In addition, the institution's case may be referred to SACS-COC for the imposition of a sanction or for removal from membership.

Notification will be sent to all concerned when the Alabama Commission on Higher Education (ACHE) and/or SACS-COC approves a new program.

### **Inside Alabama:**

If a program will be offered in the State of Alabama, a proposal must first be submitted for approval of ACHE. Guidelines for a new program proposal to ACHE are on page 16 of this document.

After ACHE has approved the program, the program must be implemented within 24 months. If the program is not implemented within this specified time frame, the approval will be null and void, and the program will be removed from ACHE's academic program inventory.

Once IRPE receives approval from ACHE for the new program, IRPE will provide electronic copies of the ACHE approval letter to all concerned as well as a proposed Letter of Intent for the Chancellor to send to SACS-COC. If concerns arise in connection to the proposed Letter of Intent to SACS-COC, IRPE must be notified within two days. This Letter of Intent expresses Troy University's intent to submit a Substantive Change Prospectus (SCP). The Letter of Intent must be submitted to SACS-COC at least six months prior to the implementation of the new program. The Letter of Intent is routed to the Chancellor through the Provost's Office. Electronic versions of the proposed Letter of Intent are sent to all organizations involved, and once the signed letter is ready to send, copies are again sent to all.

Upon receipt of ACHE approval, the initiator of the new program will prepare the SCP. Guidelines for the Substantive Change Prospectus are on page 14 of this document. An SCP for all new programs must be submitted to and approved by SACS-COC. This includes any program that is not in the approved inventory.

When the SCP is completed, three copies are to be sent to IRPE. The original routing slip will be re-routed for final approvals from the College Dean and the Dean of the Graduate School or of Undergraduate Studies.

IRPE will develop the cover letter for the Chancellor's signature via the Provost. Copies of the SCP are sent to SACS-COC with the cover letter. Electronic copies of the cover letter go to all involved, and after the letter is signed by the Chancellor, hard copies are sent to all involved.

### **Global Campus (outside Alabama):**

If a program will be offered outside the State of Alabama, information regarding all new programs must be

submitted to SACS-COC as a proposal for Substantive Change, which *must* be approved by SACS-COC. This includes any program that is not in the approved inventory. Working with the initiator and appropriate college, IRPE will propose a Letter of Intent for the Chancellor to send to SACS-COC expressing Troy University's intent to submit a Substantive Change Prospectus (SCP). The Letter of Intent must be submitted to SACS-COC at least six months prior to the implementation of the new program. The Letter of Intent is routed to the Chancellor through the Provost's Office. Electronic versions of the proposed Letter of Intent are sent to all organizations involved, and once the signed letter is ready to send, copies are again sent to all.

Guidelines for the Substantive Change Prospectus are on page 14 of this document. When the SCP is completed, three copies are to be sent to IRPE. IRPE will develop the cover letter for the Chancellor's signature via the Provost. Copies of the SCP are sent to SACS-COC with the cover letter. Electronic copies of the cover letter go to all involved, and after the letter is signed by the Chancellor, hard copies are sent to all involved.

## Expanding an Existing Program to a New Location

Attention must be given to whether a new location is a location where SACS has already given permission for other Troy University programs to be offered, or whether this will be the first time that a Troy University course has been offered at this location.

The Institutional Effectiveness Committee must review and approve all proposals to offer an existing program at a new location before being reviewed by the appropriate academic council. If the program is a Graduate Program, it must be reviewed and approved by the Graduate Council after review by the IEC. Undergraduate programs are reviewed by the Undergraduate Academic Council. Proposals to offer existing programs at new locations can be reviewed by the IEC as 1) Informational Change, 2) Expedited Review, or 3) Full Reviews.

### **Expanding an existing program to an already approved location.**

- (1) IRPE will prepare a Letter of Intent for the Chancellor to send to SACS-COC (routed through the Provost's Office) informing SACS-COC of Troy University's intent to offer an existing (approved) program for the first time at a location that has already been approved by SACS-COC for Global Campus programs.
- (2) A Letter of Intent shall be sent to SACS-COC six months prior to the implementation of the existing approved program at the already approved Troy University location.
- (3) Regional Directors are required to prepare a Substantive Change Prospectus (SCP) for review by the academic Dean, the Graduate Council or Undergraduate Academic Council if the existing program is being offered for the first time in Global Campus. However, the SCP does require SACS-COC review.
- (4) SACS-COC requires only a Letter of Notification to SACS-COC from the Chancellor for academic programs at approved locations providing 49% or less of the instruction in the classroom setting (over 51% through eCampus).
- (5) SACS-COC does not require a Letter of Notification when 24% or less of an academic program is offered at an approved teaching location (over 75% through eCampus).

### **Existing programs at new locations that have not been previously approved by SACS-COC for Troy University.**

- (1) SACS-COC requires Troy University to submit a Letter of Intent six months prior to the implementation and to submit a Substantive Change Prospectus within three months of the implementation of an existing program for

the first time at a location that has not been previously approved by SACS-COC for Troy University.

- (2) The Regional Directors of Global Campus and the Dean of the college that is proposing to offer the program in the new location will be responsible for the preparation of the Substantive Change Prospectus.
- (3) Working with Global Campus, IRPE will propose a Letter of Intent for the Chancellor to send to SACS-COC expressing TROY's plan to submit a Substantive Change Prospectus. The letter will be routed to the Chancellor through the Provost's Office. Electronic versions of the letter are sent to all involved. Once the Chancellor signs the letter, copies are sent to all concerned.
- (4) IRPE will prepare a letter for the Chancellor to send to SACS-COC informing them of our submission of the Substantive Change Prospectus and requesting SACS-COC to acknowledge and approve our plan. This letter will be routed through the Provost's Office.

## Modifications to Existing Academic Programs

Changes to programs, including changing course prefixes, changing track names, addition of courses, changing of course requirements for a program, must be provided as information items and approved by the Institutional Effectiveness Committee.

Information for review by the IEC regarding modifications to existing academic programs is to be submitted using the *Routing Slip for Extensions and Alterations of Existing Academic Programs, Concentrations, Majors, Minors, and Certificate Programs*, page 20 of this document.

Documents for modifications need to be submitted to IRPE no less than one week prior to the scheduled meeting of the IEC.

**ACHE:** Notification (for information only) must be provided to ACHE on modifications, such as changing the name of a program, addition of concentration or track, or extending or altering a program. This notification shall include the date the modification will be implemented.

Notification for approval must be given to ACHE for the significant addition or extension of the content of an existing concentration or program. Further information on ACHE requirements for reporting modifications to existing academic programs can be found at [www.ache.state.al.us](http://www.ache.state.al.us).

IRPE will prepare a letter from the Chancellor to the ACHE Executive Director regarding these changes. This letter will be routed to the Chancellor through the Provost's office.

**SACS:** SACS-COC requires an SCP to be submitted six months prior to change the length of a program.

## Offering a Cohort

SACS-COC requires a Substantive Change Prospectus (SCP) to be submitted six months prior to implementation of an academic program at any new location. This requirement includes offering a cohort program for one time at any non-approved teaching location, such as a school, hotel, hospital, or government building.

The University must submit a Letter of Notification and Substantive Change Prospectus (SCP) to SACS-COC for prior approval for any cohort where 50% or more of the program is being taught in a classroom (face-to-face) setting. If



over 25% but less than 50% of the program offered to a cohort is being taught face-to-face, only a Letter of Notification must be submitted to SACS-COC.

## **Offering a Certificate Program**

The documentation required for offering a certificate program is almost the same as that required for a new academic program. The exception in offering a certificate program is that only an Abbreviated Prospectus is required rather than a complete Substantive Change Prospectus (SCP). The Abbreviated Prospectus should include a faculty roster, course descriptions, facilities and learning resources.

## **Placing a Program on Inactive Status, Deleting a Program, or Closing a Site**

If a decision is reached to place an academic program in Alabama on inactive status, or to delete an academic program in Alabama, then Troy University must notify ACHE. These programs cannot be reinstated without an ACHE program review and approval.

If a decision is made to discontinue all programs at a location outside of Alabama, then IRPE must be notified so that a letter may be prepared for the Chancellor to notify SACS-COC in advance of implementation. The letter must state why the location is being closed and what programs will no longer be offered at the location, and the provisions for the Teach Out. Typically, a Prospectus is not required, although supporting documentation may be requested.

## **Changes to Academic Colleges and Departments**

Organizational changes to academic units are to be reported to the Institutional Effectiveness Committee (IEC) through the office of Institutional Research, Planning & Effectiveness (IRPE), but do not require the approval of the IEC.

Upon approval of the Academic Dean and Executive Vice Chancellor/Provost, IRPE will prepare a notification letter (for information only) that must be submitted to ACHE when major reorganizations occur, such as splitting an existing department into two departments or establishing new divisions within a college. This letter will be from the Chancellor to the ACHE Executive Director and will be routed to the Chancellor through the Provost's Office.

## **Offering an Existing Program Online**

The Alabama Commission on Higher Education's Distance Education Policy states that "institutions preparing to offer existing programs as distance education offerings must report this intent to the Commission prior to implementation."

eCampus and the appropriate academic Dean will notify IRPE of the intent to develop an online version of an approved program.

IRPE will prepare a Letter of Intent for the Chancellor to send to ACHE. This letter will be routed to the Chancellor through the Provost's Office.

Troy University must submit a Letter of Notification to SACS-COC at least six months prior to the introduction of any academic program online.

# Requirements for a Substantive Change Prospectus for SACS

The most up-to-date information can be found online at the Southern Association of Colleges and Schools Commission on Colleges web site, <http://www.sacscoc.org/SubstantiveChange.asp>.

Every Substantive Change Prospectus for SACS-COC will include detailed information on each of the following generic guidelines (each prospectus should be tailored to focus on the specific change being proposed):

The cover sheet for Substantive Change Prospectus is to include name, phone number, and e-mail address of person to be contacted with questions regarding the prospectus. Also, list degrees that the institution is authorized to grant. As a subset of each degree, list majors available (photocopy from catalog is acceptable). List certificate, diploma and degree programs which are related to the proposed program(s). List institutional strengths that facilitate the offering of the proposed program(s).

1. **ABSTRACT** (limit to one page or less) – *Describe the proposed change; list the initial date of implementation; projected number of students, if applicable; description of primary target audience; projected life of the program (single cohort or ongoing); instructional delivery methods and, if the change involves the initiation of an off-campus site, its complete physical address,*
2. **BACKGROUND INFORMATION** – *Provide a clear statement of the nature and purpose of the change in the context of the institution's mission and goals; evidence of the legal authority for the change (if authorization is required by the governing board of the state); and whether the proposed degree program or similar program is offered on the main campus or at other **approved** off-campus sites.*
3. **ASSESSMENT OF NEED AND PROGRAM PLANNING/APPROVAL** – *Briefly discuss the rationale for the change, including an assessment of need; evidence of inclusion of the change in the institution's ongoing planning and evaluation processes; and documentation that faculty and other groups were involved in the review and approval of the new site or program.*
4. **DESCRIPTION OF THE CHANGE** – *Provide a description of the proposed change, including the specific outcomes and learning objectives of the program, a schedule of proposed course offerings. In the case of a change involving the initiation of a branch campus, an off-site program, indicate the educational program(s) to be offered. Describe any differences in admission, curriculum, or graduation requirements for students enrolled at the new site(s), or any special arrangements for grading, transcripts, or transfer policies. Describe administrative oversight to ensure the quality of the program or services to be offered.*
5. **FACULTY** – *Provide a complete roster (complete Faculty Roster Instructions can be found online at <http://www.sacscoc.org>) of those faculty employed to teach in the program(s), including a description of those faculty members' academic qualifications and other experiences relevant to the courses to be taught in the program in question, course load in the new program, and course work taught in other programs currently offered. Provide a narrative with supporting evidence that the number of full-time faculty members is adequate to support the program; and describe the impact of the new initiative on faculty workload. For distance learning programs, describe processes in place to ensure that students have structured access to faculty. For graduate programs, document scholarship and research capability of faculty; for doctoral programs, document faculty experience in directing student research.*
6. **LIBRARY AND LEARNING RESOURCES** – *Describe library and information resources – general as well as specific to the program – and staffing and services that are in place to support the initiative. If reliant upon other libraries, describe those collections and their relevance to the proposed program(s) and include a copy of formal agreements in the appendix. Relative to electronic resources, describe how students and faculty will access information, training for faculty and students in the use of online resources, and staffing and services available to students and faculty. If you are citing electronic databases accessed through consortial or statewide groups, please describe the discipline-specific suites of resources and not just the name of the consortium (such as Viva, Tex-Share, Galileo, Louis, etc.). For doctoral programs, document **discipline-specific refereed journals and primary source materials.***
7. **PHYSICAL RESOURCES** – *Provide a description of physical facilities and equipment to support this initiative. Assess the impact that the proposed change will have on existing programs and services.*

**8. FINANCIAL SUPPORT** - Provide a business plan that includes **all** of the following:

- a description of financial resources to support the change, including a budget for the first year (a three-year budget is requested for a new branch campus)
- projected revenues and expenditures and cash flow
- the amount of resources going to institutions or organizations for contractual or support services
- the operational, management, and physical resources available for the change.

*Provide contingency plans in case required resources do not materialize.*

***For consolidations/mergers, and for institutions currently on sanction with the Board of Trustees for financial reasons, provide a copy of the most recent audit (audits from all institutions involved in consolidations/mergers).***

**9. EVALUATION AND ASSESSMENT** - *Describe how the institution assesses overall institutional effectiveness as well as the means used to monitor and ensure the quality of the degree program(s), off-campus site(s), or other changes. Summarize procedures for systematic evaluation of instructional results, including the process for monitoring and evaluating programs at the new site, as well as using the results of evaluation to improve institutional programs, services and operations. For compressed time frames describe the methodology for determining that levels of knowledge and competencies comparable to those required in traditional formats have been achieved.*

**10. APPENDICES** - *Appendices may include items such as copies of library and other cooperative or contractual agreements, the actual Faculty Roster document, course descriptions, and other items of documentation to support the narrative.*

It is the responsibility of the originating officer (generally a Regional Director) working with the Dean of the College, the Global Campus Academic Dean, and Vice Chancellor of Global Campus to insure that the Substantive Change Prospectus (SCP) is prepared, is accurate, and submitted to IRPE.

- c) All Substantive Change Prospectuses (SCP) must be submitted to SACS-COC within the six months window (and at least three months prior to implementation) between the Letter of Intent and the target date for implementation of the program.
- d) Denial of approval of a Substantive Change by SACS-COC may not be appealed. A revised request may be resubmitted.
- e) The Global Campus Academic Dean, working with the originating officer and the Dean of the appropriate college, will be responsible for following up on any needs identified by SACS-COC regarding the Substantive Change Prospectus.

*Note: SACS-COC currently expects to receive a Substantive Change Prospectus three months prior to the implementation date.*

## Requirements for a New Program Proposal to ACHE

If a program will be offered in the State of Alabama, a proposal must be submitted for approval to ACHE by IRPE, with the initiator's and the Associate Provost's collaboration. The most up-to-date guidelines for a new program proposal can be found online at the Alabama Commission on Higher Education web site, <http://www.ache.alabama.gov/Acadaffr/Index.htm>. These guidelines, adopted in October 2001, are in PDF form (<http://www.ache.alabama.gov/Acadaffr/NewProg/ProgImpl.PDF>).

Proposals to ACHE will include:

- Explanation of how the program fits into the role of Troy University
- Objectives of the new program
- How the program will be administered
- Provisions for providing peer reviews
- Accreditations of the program
- Curriculum
- Program Completion Requirements
- Any collaborations with other Alabama schools
- Use of Distance Education
- Admissions Requirements
- Evidence of the Need for the Program
- Faculty Resources and Qualifications
- Support Staff
- Equipment
- Facilities
- Library
- Student Resources
- Program Budget
- Methods and procedures to review program effectiveness

Please also refer to the Notification of Intent to Submit a Proposal, known as a NISP letter, on the ACHE web site at [www.ache.state.al.us/acadaffr/NewProg/FM-NISP.doc](http://www.ache.state.al.us/acadaffr/NewProg/FM-NISP.doc).

## Definitions Related to Reporting and Notification of Changes Concerning Academic Programs

|                                     |   |
|-------------------------------------|---|
| ACHE                                | Alabama Commission on Higher Education. Members appointed by the Governor and others. Has oversight of Troy University program offerings.   |
| Certificate                         | A formal academic award certifying the satisfactory completion of a prescribed program of study. The certificate is less than a degree, and its curriculum in many instances is related to the student's employment or professional advancement.  |
| Degree                              | An academic award conferred by a college, university or other higher/postsecondary education institution as official recognition for the successful completion of a prescribed program of studies.  |
| Inactive Status                     | Inactive means a program is not currently being offered and is being considered for deletion from University inventory. This term does not apply to suspended cohort programs waiting for a population to rebuild, nor does this term apply to a program waiting to hire faculty to support the program before admitting students.  |
| IRPE                                | Office of Institutional Research, Planning, and Effectiveness   |
| Letter of Intent                    | A letter from the Chancellor to the President of SACS that states Troy University's intent to implement a change which will require a Substantive Change Prospectus.  |
| Letter of Notification              | A letter from the Chancellor to the President of SACS that notifies SACS of a change that does not require a review by SACS, but for which SACS requires a notification.  |
| Location                            | One of the four campuses in Alabama or one of the sites within a Global Campus region.  |
| Academic Program                    | Academic courses that work specific to the awarding of a degree by Troy University.   |
| SACS-COC                            | Southern Association of Colleges and Schools-Commission on Colleges. Provides regional accreditation to Troy University. The U.S. Department of Education requires regional accreditation for Troy University to be authorized to provide federally funded student financial aid.   |
| Substantive Change                  | A significant modification or expansion of the nature and scope of an accredited institution as defined by SACS-COC.  |
| Substantive Change Prospectus (SCP) | <p>Documentation required by SACS for review prior to offering a new degree program or starting to offer a program in a new physical location.</p> <ul style="list-style-type: none"> <li>An <i>Abbreviated Prospectus</i>, needed to implement a certificate program, only includes a faculty roster, course descriptions, and facilities and learning resources.</li> <li>A <i>Modified Prospectus</i> can be submitted for an approved program being offered at the fourth and subsequent sites offering the same program. That is, after a program has been approved for three teaching locations, only the following items are required: faculty roster, description of discipline-specific library resources, description of student support services, description of physical resources, and list of courses to be offered at the site.</li> </ul> |

# Routing Slip for New Academic Programs

(New Programs, Concentrations, Majors, Minors, and Certificate Programs)



College Submitting Request: \_\_\_\_\_ Date: \_\_\_\_\_

Title of new program, degree, concentration, or certificate: \_\_\_\_\_

Location(s) of New Program: \_\_\_\_\_

Proposed Effective Term/Year: \_\_\_\_\_

Initiator: \_\_\_\_\_  
Name Campus Address Campus Phone

**For conceptual approval of any extensions or alterations that require external approval, please provide the Executive Vice Chancellor/Provost with a brief description of the proposed change.**

Conceptual Approval by College Dean: \_\_\_\_\_ Date: \_\_\_\_\_

Conceptual Approval by Executive Vice Chancellor/Provost: \_\_\_\_\_ Date: \_\_\_\_\_

Comments: \_\_\_\_\_

**Instructions:** Please select the situation below that is applicable for this request.

## Internal Approval

- ☐ Development of a new minor
- ☐ Development of a new concentration
- ☐ Development of a new certificate program using existing approved courses

## Internal and External Approval

- ☐ Development of a new major
- ☐ Initiating coursework or programs at a more advanced level than currently approved (*requires application for level change*)
- ☐ Development of a new academic program that is a significant departure from existing programs \*
- ☐ Development of a new certificate program that is a significant departure from existing programs \*

*\*A significant departure in program is one in which the proposed new program has no closely related counterpart among the previously approved programs in the curriculum. To determine if a new program is a "significant departure," it is helpful to ask if the new program requires numbers of new faculty, many new courses, new library or other learning resources, new equipment or facilities, or a new resource base.*

## **APPROVALS (Internal Only or ACHE Proposal):**

**Department Chair/School Director:** \_\_\_\_\_ Date: \_\_\_\_\_

Comments: \_\_\_\_\_

**College Curriculum Committee:** \_\_\_\_\_ Date: \_\_\_\_\_

Comments: \_\_\_\_\_

**College Dean:** \_\_\_\_\_ Date: \_\_\_\_\_

Comments: \_\_\_\_\_

**Institutional Effectiveness Committee Chair:** \_\_\_\_\_ Date: \_\_\_\_\_

Comments: \_\_\_\_\_

**Undergraduate or Graduate Council Chair:** \_\_\_\_\_ Date: \_\_\_\_\_

Comments: \_\_\_\_\_

Return approved package to IRPE with a memo requesting the proposal be sent to ACHE. IRPE will be responsible for submitting the information to ACHE for approval, and will send a signed copy to:

- ☐ Department(s) ☐ Associate Provost
- ☐ College Dean ☐ Undergraduate or Graduate Academic Council

**APPROVALS (with SCP for SACS):**

**Department Chair/School Director:** \_\_\_\_\_ Date: \_\_\_\_\_

Comments: \_\_\_\_\_

**College Curriculum Committee:** \_\_\_\_\_ Date: \_\_\_\_\_

Comments: \_\_\_\_\_

**College Dean:** \_\_\_\_\_ Date: \_\_\_\_\_

Comments: \_\_\_\_\_

**Institutional Effectiveness Committee Chair:** \_\_\_\_\_ Date: \_\_\_\_\_

Comments: \_\_\_\_\_

**Undergraduate or Graduate Council Chair:** \_\_\_\_\_ Date: \_\_\_\_\_

Comments: \_\_\_\_\_

Return approved package to IRPE with a memo to send the SCP to SACS-COC. IRPE will be responsible for submitting the information to SACS-COC for approval, and will send a signed copy to:

\_\_\_ Department(s)

\_\_\_ Associate Provost

\_\_\_ College Dean

\_\_\_ Undergraduate or Graduate Academic Council



# Routing Slip for Extensions and Alterations of Existing Academic Programs, Concentrations, Majors, Minors, and Certificate Programs



College Submitting Request: \_\_\_\_\_ Date: \_\_\_\_\_

Proposed Change: \_\_\_\_\_

Location(s) the proposed change will affect: \_\_\_\_\_

Proposed Effective Term/Year: \_\_\_\_\_

Initiator: \_\_\_\_\_  
Name Campus Address Campus Phone

**For conceptual approval of any extensions or alterations that require external approval, please provide the Executive Vice Chancellor/Provost with a brief description of the proposed change.**

Conceptual Approval by College Dean: \_\_\_\_\_ Date: \_\_\_\_\_

**Conceptual Approval by Executive Vice Chancellor/Provost:** \_\_\_\_\_ Date: \_\_\_\_\_

Comments: \_\_\_\_\_

**Instructions:** Please select the situation below that is applicable for this request.

## Internal Approval

- ☐ Modifications to existing academic programs (*includes changing course prefix, changing track names, addition of courses, and changing of course requirements for a program*)
- ☐ Modifications to existing concentrations
- ☐ Modifications to existing majors
- ☐ Modifications to existing minors
- ☐ Modifications to existing certificate programs
- ☐ Placing a program/major/concentration/minor/certificate program on inactive status

## Internal and External Approval (ACHE and SACS Action Required)

- ☐ Initiating coursework or programs at a more advanced level than currently approved
- ☐ Altering significantly the length of a program (*A significant change in program length is one with noticeable impact on the program's completion time, e.g., increasing a baccalaureate degree from 124 hours to 150 hours.*)
- ☐ Moving an existing program in ACHE inventory to another Alabama campus
- ☐ Deleting a program/major/concentration

## **APPROVALS**

**Department Chair/School Director:** \_\_\_\_\_ Date: \_\_\_\_\_

Comments: \_\_\_\_\_

**College Curriculum Committee:** \_\_\_\_\_ Date: \_\_\_\_\_

Comments: \_\_\_\_\_

**College Dean:** \_\_\_\_\_ Date: \_\_\_\_\_

Comments: \_\_\_\_\_

**General Studies Committee:** (*changes to General Studies Program only*) \_\_\_\_\_ Date: \_\_\_\_\_

Comments: \_\_\_\_\_

**Institutional Effectiveness Committee Chair:** \_\_\_\_\_ Date: \_\_\_\_\_

Comments: \_\_\_\_\_

**Undergraduate or Graduate Council Chair:** \_\_\_\_\_ Date: \_\_\_\_\_

Comments: \_\_\_\_\_

Return approved package to IRPE. Changes requiring external approval will be forwarded to the appropriate commission for approval. A signed copy of the approved package will be sent to:

- |  |   |  |
|--|---|--|
| <input type="checkbox"/> Department(s) | <input type="checkbox"/> Global Campus (if applicable)              | <input type="checkbox"/> Associate Provost |
| <input type="checkbox"/> College Dean  | <input type="checkbox"/> Undergraduate or Graduate Academic Council |  |

# Routing Slip for Approval of all Global Campus Activities

Global Campus Site Submitting Request: \_\_\_\_\_ Date: \_\_\_\_\_

Proposed Change: \_\_\_\_\_

Location(s) the proposed change will affect: \_\_\_\_\_

Proposed Effective Term/Year: \_\_\_\_\_

Initiator: \_\_\_\_\_  
Name Campus Address Campus Phone

Vice Chancellor of Global Campus Approval: \_\_\_\_\_

College Dean's Approval: \_\_\_\_\_

**Instructions:** Please select the situation below that is applicable for this request.

**Internal Approval** *(complete items 1-2)*

- \_\_\_ Small modifications to existing academic programs at an approved teaching location or through eCampus *(includes changing course prefix, changing track names, addition of courses, and changing of course requirements for a program)*
- \_\_\_ Developing an eCampus Support Center or developing a new off-campus teaching location (Site-based/classroom group instruction including Cohorts) where students can obtain 24% or less of an educational program *(provide a list of approved courses to be offered)*
- \_\_\_ Offering 24% or less of a program online through eCampus *(provide a list of approved courses to be offered)*
- \_\_\_ Offering a certificate program using existing approved courses at a previously approved off-campus teaching location or through eCampus

**Internal and External Approval**

**Letter of Notification Only:** *(complete items 1-3)*

- \_\_\_ Offering an approved program (a program currently offered within Global Campus and previously reviewed/approved by SACS) at an approved teaching location or through eCampus
- \_\_\_ Offering 25-49% or more of a program online through eCampus
- \_\_\_ Developing a new off-campus teaching location (Site-based/classroom group instruction including Cohorts) where students can obtain 25-49% of an educational program *(provide a list of approved courses to be offered)*
- \_\_\_ Placing a program on inactive status or deleting a program *(provide teachout for students enrolled)*
- \_\_\_ Initiating programs or courses offered through contractual agreement or consortium
- \_\_\_ Relocated an approved off-campus teaching location
- \_\_\_ Converting a teaching location to an eCampus Support Center *(provide teachout for students enrolled)*
- \_\_\_ Adding an additional classroom space to an existing teaching location
- \_\_\_ Closing a site, including a teaching location or an eCampus Support Center

**Letter of Notification and Substantive Change Prospectus:** *(complete items 1-10)*

- \_\_\_ Initiating coursework or programs at a more advanced level than currently approved (requires application for level change)
- \_\_\_ Development of a new academic program (significant departure from current programs) at an approved teaching location or through eCampus\*
- \_\_\_ Altering significantly the length of a program (A significant change in program length is one with noticeable impact on the program's completion time, e.g., increasing a baccalaureate degree from 124 hours to 150 hours.)
- \_\_\_ Offering an unapproved (new) program at an unapproved (new) teaching location
- \_\_\_ Developing a new off-campus teaching location (Site-based/classroom group instruction including Cohorts) where students can obtain 50% or more credits toward an approved educational program currently offered within Global Campus and previously reviewed/approved by SACS
- \_\_\_ Converting an eCampus Support Center to a teaching location
- \_\_\_ Offering an approved certificate program at a new off-campus teaching location or through eCampus
- \_\_\_ Offering a new certificate program that is a significant departure from existing programs (typically for workforce development)\*
- \_\_\_ Initiating a joint degree with another institution
- \_\_\_ Offering 50% or more of a program online through eCampus

*\*A significant departure in program is one in which the proposed new program has no closely related counterpart among the previously approved programs in the curriculum. To determine if a new program is a "significant departure," it is helpful to ask if the new program requires numbers of new faculty, many new courses, new library or other learning resources, new equipment or facilities, or a new resource base.*

**For conceptual approval, please provide the Executive Vice Chancellor/Provost with a summary that includes:** 1) Degree Offered, Program; 2) Location; 3) Date of implementation; 4) Background Information; 5) Information on the need this program will address; 6) Library and Learning Resources; 7) Physical Resources; 8) Financial Support; 9) Evaluation and Assessment.

**Conceptual Approval by Executive Vice Chancellor/Provost:** \_\_\_\_\_ Date: \_\_\_\_\_

Comments: \_\_\_\_\_

## APPROVALS

**1. Department Chair/School Director:** \_\_\_\_\_ Date: \_\_\_\_\_

Comments: \_\_\_\_\_

**2. College Curriculum Committee:** \_\_\_\_\_ Date: \_\_\_\_\_

Comments: \_\_\_\_\_

**3.** Upon receipt of item #2 approvals, the Global Campus Academic Dean prepares a request to the IRPE Office. The IRPE Office prepares a formal letter for the Chancellor's signature, logs information, and mails the signed letter of intent or notification to SACS with copies being sent to the following: Regional Director, Global Campus Academic Dean, IRPE Office, Provost, College Dean, and Department Chair.

**4.** The Regional Director prepares and sends the Prospectus to the Global Campus Academic Dean.

**5.** The Global Campus Academic Dean reviews the Prospectus, works with Instructional Support Services to edit the Prospectus, and sends the edited Prospectus to the Regional Director for corrections as needed.

**6.** The Global Campus Academic Dean sends the Prospectus with routing slip, items #1-3 signed and approved, to the appropriate college dean for Committee review and approval.

**College Dean:** \_\_\_\_\_ Date: \_\_\_\_\_

Comments: \_\_\_\_\_

**7.** The Substantive Change Prospectus with signed routing slip is submitted to the Institutional Effectiveness Committee (IEC) for review and approval.

**Institutional Effectiveness Committee Chair:** \_\_\_\_\_ Date: \_\_\_\_\_

Comments: \_\_\_\_\_

**8.** The Prospectus and signed routing slip are sent to the Academic Undergraduate Council or Academic Graduate Council for review and approval.

**Undergraduate or Graduate Council Chair:** \_\_\_\_\_ Date: \_\_\_\_\_

Comments: \_\_\_\_\_

**9.** The Prospectus and signed routing slip are sent to the Executive Vice Chancellor/Provost for review and approval.

**Executive Vice Chancellor/Provost:** \_\_\_\_\_ Date: \_\_\_\_\_

Comments: \_\_\_\_\_

**10.** The Prospectus and signed routing slip are returned to the Global Campus Academic Dean for final changes and for production of multiple copies for SACS-COC. The Global Campus Academic Dean forwards the appropriate number of copies along with the original routing slip to the IRPE Office who prepares a formal cover letter for the Chancellor's signature, logs information, and mails the Prospectus with the Chancellor's cover letter to SACS-COC.

**Distribution:** After approval is received from the Provost, distribution will be to:

|                   |                   |             |  |
|-------------------|-------------------|-------------|--|
| ___ Department(s) | ___ Global Campus | ___ IRPE    | ___ Regional Directors                         |
| ___ College       | ___ Financial Aid | ___ Provost | ___ Undergraduate or Graduate Academic Council |

# 4

## The Role of the Institutional Effectiveness Committee (IEC)

The Institutional Effectiveness Committee is responsible for designing, reviewing, and improving the University's institutional effectiveness systems, with the support of the IRPE department.

The IEC consists of faculty representatives from each college, one dean, a representative from the Graduate School, Global Campus, eCampus, Financial Affairs, and Advancement. IRPE staff members are also members of the IEC. This committee is chaired by the Associate Vice-Chancellor for IRPE.

Specific functions of the IEC include:

- overall design of institutional effectiveness systems for the University.
- review of college and unit assessment processes on a three-year rotational schedule.
- review of evaluations and critiques of the institutional effectiveness systems by SACS or other entities.
- identification of best practices that can be used to improve the University's institutional effectiveness processes.
- review of proposed changes in academic programs to ensure that appropriate assessment methods are designed into changes.

The committee meets monthly and documents meetings with minutes, which are published on a public web site: <http://intranet.troy.edu/standingcommittees/iec.html>

Each year the IEC reviews one-third of the academic programs, educational support programs, and administrative support programs at the University. Programs are evaluated in terms of their approach, their actual deployment, how well institutional learning is being achieved within the program, and the effectiveness of Plans for Further Improvement. Each institutional effectiveness criteria in a program is evaluated using the ADLI rubric in terms of program maturity ranging from “No Systematic Approach” to a “Mature” approach.

**ADLI Rubric for Evaluating  
Institutional Effectiveness Practices**

| Level of Maturity  | Approach  | Deployment  | Learning   | Integration  |
|--|---|---|--|--|
| <b>MATURE</b><br>Fully deployed, thorough approaches that result in learning and plans for further improvement | Program Outcomes / SLOs are in place and have been improved over time                       | Over two years of assessment and evaluation have been completed for all locations       | Over two years of documented meetings for evaluating assessment information  | Plans for Further Improvement have been implemented and assessed; new Plans for Further Improvement are developed annually |
| <b>ADVANCED</b><br>Aligned approaches, deployment, and learning  | Program Outcomes / SLOs are in place for all programs / activities                          | Two cycles of assessment have been completed for all expected outcomes at all locations | Documented meetings for at least two years to show evaluation                | Some Plans for Further Improvement are implemented, and new Plans for Further Improvement are developed annually           |
| <b>BASIC</b><br>Early systematic approach  | Program Outcomes / SLOs are in place for most programs                                      | Assessment data is being collected but may not be fully in place at all locations       | An official committee / meeting is identified for evaluating assessment data | Plans for Further Improvement are identified and being implemented   |
| <b>NO SYSTEMATIC APPROACH</b>  | Reacts to problems; no systematic approach to assessing program / student learning outcomes | No systematic collection of assessment data   | No clearly defined committee / meeting to evaluate assessment data           | No Plans for Further Improvement   |

# 5

## HOMER - Telling the Story of TROY

The HOMER system is Troy University's web-based reporting system that documents the effectiveness of program-level activities at the University.

Since the merger of the three separately accredited institutions in 2005, Troy University has explored new ways to communicate its planning, assessment, and improvement activities.

The HOMER system is organized in two ways: according to SACS Comprehensive Standard 3.3.1 assessment areas and by location.

Much of the information in the HOMER system is organized by the institutional assessment areas defined in SACS Comprehensive Standard 3.3.1, under the headings of academic departments, administrative activities, educational support programs, research, and community service.

The HOMER system also includes a section organized by locations that provides key planning, assessment and continuous improvement information related to each of the university's teaching locations.

Troy University is a complex organization; it should be expected that new information will be frequently added to the HOMER system. All areas will be updated each fall for the previous academic year, allowing the institution to make the fullest use of survey data and faculty assessment of student learning outcomes. The fall update will be used to develop the annual Chancellor's Briefings held in January.

Each academic, administrative, educational support,

research, or community service unit is expected to provide the following in the HOMER system:

- A statement of the program's or unit's purpose.
- Program-level expected outcomes (including summative and formative student-learning outcomes for academic programs).
- A summary of improvements that have been made in the recent past as part of the Plan-Do-Study-Act cycle.
- Assessment data and results.
- Plans for Further Improvement based on assessment data.

As part of the continuous improvement process, HOMER reports will be updated in 2010 to provide more explicit information and documentation about who reviews assessment information and makes Plans for Further Improvement as well as when this has occurred.

HOMER reports in 2010 for graduate programs will be enhanced to provide expectations and assessment of research activities.

The public web address for the HOMER system is <http://homer.troy.edu/>



# 6

## Responsibilities in the Review Process for Proposals (for Routing Slips) and for HOMER

### Review Process for Proposals (for Routing Slips)

#### Site Directors:

- Reports anticipated site changes to the Regional Directors for approval.
- Reports anticipated program/major/concentration/minor/certificate program to the Department Chair/Program Director.
- Prepares proposal summary and routing slip.
- Submits proposal summary and routing slip to Regional Director.

#### Regional Directors:

- Request for changes in their region.
- Reviews proposal summary.
- Checks for compliance within all areas and meets all requirements.
- Reports all changes within their region to Global Campus personnel (includes routing slip and proposal summary).
- Reviews full SCP if needed for SACS-COC.

#### Global Campus Vice Chancellor of Global Campus/GC Academic Dean/GC Personnel:

- Reviews and approves all proposals related to Global Campus.
- Presents the proposal to the appropriate College Dean.
- Manages the status of the routing process.

#### College Deans:

- Presents concepts for new programs and revisions

within their Colleges.

- Reviews proposals for sufficiency and full compliance with academic guidelines and with SACS-COC and ACHE requirements.
- Reviews proposals from other Colleges for which they are co-sponsor, which affect them, or in which their courses are included.
- Reviews faculty roster for proposals.
- Reviews proposals for the creation, modification, and deletion of degree programs, tracks, specializations, concentrations, minors, and certificate programs.
- Presents supplemental proposal to the Provost for conceptual approval.

#### Department Chairs/Program Directors:

- Initiates the creation, modification, and deletion of degree programs, tracks, specializations, concentrations, minors, and certificate programs.
- Communicates with Dean for conceptual approval.

#### College Curriculum Committees:

- Reviews proposals for the creation, modification, and deletion of degree programs, tracks, specializations, concentrations, minors, and certificate programs.

#### General Studies Committee:

- Reviews changes to General Studies Program only.

#### Institutional Effectiveness Committee (IEC):

- Reviews all changes to academic programs and courses to ensure compliance with SACS-COC and ACHE requirements and adequacy of assessment.

#### The Academic Undergraduate Council:

- Review and approval of all proposals for the creation,



modification, and deletion of degree programs, tracks, specializations, concentrations, minors, and certificate programs for all undergraduate degree programs.

**The Academic Graduate Council:**

- Review and approval of all proposals for the creation, modification, and deletion of degree programs, tracks, specializations, concentrations, minors, and certificate programs for all graduate degree programs.

## HOMER Responsibilities

Each program of the University at every location (academic programs/majors and non-academic programs such as financial aid, student financial services, etc.) must be evaluated annually to assess the extent to which it is effective.

**Discipline Committees:**

- Establish/analyze/verify/modify expected student learning and program outcomes.
- Establish/verify/modify appropriate assessment tools for each expected outcome.
- Define how assessment data will be collected and designate persons of responsibility at each program/unit location.
- Analyze assessment data.
- Integrate assessment data with other sources of information to propose a plan for further improvement as needed.
- Evaluate and document effectiveness of implemented plans for evidence of improved outcomes based upon assessment.
- Record the review of assessment data, and reactions in meeting minutes.
- Submit assessment outcomes, achievements, and plans to Department Chair/Program Director.

**Department Chairs/Program Directors:**

- Ensures collection of assessment information and development of Plans for Further Improvement.
- Provides information in HOMER for their department and ensures faculty assess their programs.

**College Deans:**

- Designates full-time faculty within their college to prepare PowerPoint slides for every program by location and to update the information each fall for the previous academic year.
- Reviews the information in HOMER for their college.
- Submits HOMER information to IRPE.
- Uses the information from HOMER to prepare for Chancellor's Briefings every January.

**Regional Directors:**

- Provide and review the information in HOMER for each site within their region.

**Site Directors:**

- Establish expected outcomes with assessment measures to measure the effectiveness of their site.
- Prepares a PowerPoint for HOMER that describes the purpose of that site (a brief overview and history of that site), its relationship to the mission, recent improvements, expected outcomes, assessment data, and plans for further improvement.
- Updates the information each fall for the previous academic year.

**Managers for Educational Support Programs:**

- Establish expected outcomes with assessment measures to measure the effectiveness of each area.
- Prepares a PowerPoint for HOMER that describes the purpose of that area, its relationship to the mission, recent improvements, expected outcomes, assessment data, and plans for further improvement.
- Updates the information each fall for the previous academic year.
- Uses the information in HOMER to develop the annual Chancellor's Briefings held in January.

**Managers for Administrative Support Programs:**

- Establish expected outcomes with assessment measures to measure the effectiveness of each area.
- Prepares a PowerPoint for HOMER that describes the purpose of that area, its relationship to the

mission, recent improvements, expected outcomes, assessment data, and plans for further improvement.

- Updates the information each fall for the previous academic year.
- Uses the information in HOMER to develop the annual Chancellor's Briefings held in January.

**Managers of Community Support and Outreach:**

- Establish expected outcomes with assessment measures to measure the effectiveness of each area.
- Prepares a PowerPoint for HOMER that describes the purpose of that area, its relationship to the mission, recent improvements, expected outcomes, assessment data, and plans for further improvement.
- Updates the information each fall for the previous academic year.
- Uses the information in HOMER to develop the annual Chancellor's Briefings held in January.

# 7

## Institutional Effectiveness for Research Activities

The following roles and responsibilities are assigned to ensure effectiveness of the University's research activities.

### **College Deans:**

- Appoint and hold elections for faculty representation on the Research Council.
- Submit Report on Internally Hosted Conference or Workshops to Associate Provost by established deadline.
- Submit Report on Journals/ publications Published with University funds to Associate Provost by established deadline.
- Submit Annual Faculty Research/Scholarly Achievement Reports to Associate Provost by established deadline.
- Submit Report on Student Opportunities for Research to Associate Provost by established deadline
- Submit Achievement Report on College program's Research related SLOs by established deadline.

### **Director of Sponsored Programs:**

- Submit Report on Externally-funded Competitive Research Grants to Associate Provost Office by established deadline.
- Submit OSP Report on Sponsored Workshops and Development Activities to Associate Provost Office by established deadline.
- Submit Report on Student Research Grants to the Associate Provost Office by established deadline.
- Submit Report on Number of Student Research Assistants funded by external grants by established deadline.

### **Chair of Faculty Development Committee:**

- Submit Faculty Development Committee Report to Associate Provost Office by established deadline.

### **Chair of Institutional Review Board:**

- Submit IRB Report to Associate Provost by established deadline.

### **Directors of University Centers & Institutes with a Research Mission:**

- Establishes expected outcomes for each location.
- Identify assessment instrument for unit effectiveness at each location.
- Establish procedures/ timeline/ and personnel involved in the collection of data at each location.
- Collect and organize assessment outcomes, achievements, and plans from each location.
- Prepare HOMER report for the unit.
- Submit HOMER report to Associate Provost.
- Submit HOMER report to IRPE for posting on web site.

### **Research Council:**

- Review, organize and archive research assessment data collected by Associate Provost.
- Analyze and integrate research assessment outcomes with input of stakeholders to propose plans for further improvements.
- Evaluate and document effectiveness of implemented plans as evidence of improved outcomes based upon assessment.
- Recommend new or refine University research objectives / assessment instruments as necessary.
- Prepare an Annual Assessment Report on Research

Outcomes for Chancellor and distribution to Research units.

- Post Research Council minutes to Standing Committee web page.
- Prepare HOMER report on Research.
- Submit HOMER report to Associate Provost/Dean of Graduate School/ Dean of Undergraduate Studies.
- Submit HOMER report to IRPE for posting on web site.

**Associate Provosts / Dean of Graduate School / Dean of Undergraduate Studies:**

- Query each September the number of sections and headcounts in Research courses for previous academic year.
- Query each September the number of sections and number of completed Theses for the previous academic year.
- Collect reports submitted from Deans, Office of Sponsored Programs, Faculty Development Committee, Institutional Review Board.
- Provide collected research reports to Research Council.
- Use HOMER report prepared by Research Council in preparation in Chancellor's Briefings.



## 2010 Staff in the Office of Institutional Research, Planning & Effectiveness

**John Dew, Ed.D.**

*Associate Vice Chancellor, IRPE*

231 Adams Administration Building  
Troy University  
Troy, Alabama 36082  
Phone: (334) 670-3640  
Fax: (334) 670-3815  
jrdew@troy.edu

**Mac Adkins, Ed.D.**

*Survey Coordinator*

PO Box 601025  
Prattville, Alabama 36068  
Phone: (334) 543-4026  
Fax: (334) 543-4026  
Cell: (334) 300-6824  
mac@troy.edu

**Kang Bai, Ed.D.**

*IRPE Director of Educational and Administrative  
Support Programs*

123 Library/Technology Building  
Troy University  
500 University Avenue  
Dothan, Alabama 36303  
Phone: (334) 983-6556 x. 218  
Fax: (334) 983-6322  
bkang@troy.edu

**Emily Brewer**

*Coordinator of Compliance Records*

231 Adams Administration Building  
Troy University  
Troy, Alabama 36082  
Phone: (334) 670-3314  
Fax: (334) 670-3815  
ebrewer@troy.edu

**Kimberly Brinkley-Jones**

*Director of Research*

231 Adams Administration Building  
Troy University  
Troy, Alabama 36082  
Phone: (334) 670-3113  
Fax: (334) 670-3815  
kbrink@troy.edu

**Wendy Broyles**

*Administrative Secretary*

231 Adams Administration Building  
Troy University  
Troy, Alabama 36082  
Phone: (334) 808-6351  
Fax: (334) 670-3815  
whuckabee@troy.edu

**Marian Dotson**

*Montgomery Campus Assistant Coordinator*

*Troy University Coordinator of Non-Governmental  
Surveys and Data Integrity*

Phone: (757) 357-0537

mbdotson@troy.edu

**Somer M. Givens**

*Director of IRPE for Global Campus*

301 Adams Administration Building

Troy University

Troy, Alabama 36082

Phone: (334) 670-5916

Fax: (334) 670-3770

smgivens@troy.edu

**Donna C. Sanders**

*Effectiveness Coordinator*

231 Adams Administration Building

Troy University

Troy, Alabama 36082

Phone: (334) 670-3873

Fax: (334) 670-3815

dcsander@troy.edu

**Dan Tennimon**

*Montgomery Campus Coordinator*

Phone: (334) 241-9536

Fax: (334) 241-8619

dtennimon@troy.edu

**Ashanta Young**

*Montgomery Campus Statistical Clerk*

Phone: (334) 241-9791

Fax: (334) 241-8619

anyoung@troy.edu

<http://intranet.troy.edu/irpe/staff.html>

