I. Troy University Planning and Effectiveness Process
II. Reporting and Notification of Changes Concerning Academic Programs
III. Overview for Review of Programs
IV. Planning and Effectiveness Dashboard

Approval: John B. Dew 11/19/07

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TROY UNIVERSITY

PART I
TROY UNIVERSITY PLANNING AND EFFECTIVENESS PROCESS

Revised November 2007
Troy University Planning and Effectiveness Process

History and Evolution

In 1988, the Troy Committee on Institutional Effectiveness began its work. Thomas Souter, Dean of the Library, chaired the committee of twenty-five members, drawn from every division of the Institution. Recognizing the importance of institutional effectiveness, the Board of Trustees of Troy State University on March 17, 1989, issued two resolutions which established institutional effectiveness programs at Troy State University. By fall 1990, all faculty and staff had in hand the *Troy State University Institutional Effectiveness Plan 1990-91*. In August 1993 the *Manual for Developing Planning Documents* was completed to provide content, process, and procedural information in regard to developing the Six Points of Institutional Effectiveness (SPIE), the Self-Study, Planning Statements (short and long-range), and budgeting to implement the plan. In 1995, *Troy State University Challenge 2000: Strategic Plan to the Twenty-first Century* was completed and provided the Chancellor’s and other administrators’ visions, strategic directions, strategic goals, guiding principles, external and internal factors, and planning assumptions to direct and undergird the planning efforts of Troy State University to the year 2000. A new strategic plan to continue into the twenty-first century, *Over the Horizon: Strong Values-Clear Vision* was completed in 2001, and provided strategic guidance to 2005. In August 2005 the campuses of Troy State University in Dothan, Montgomery, and Troy merged to become one university, Troy University, and before fall 2006, a strategic plan for the newly merged Troy University was provided.

The institutional effectiveness system at Troy State University Dothan (TSUD) started in the 1980s with the initial establishment of the Title III funded Office of Planning, Management, and Evaluation (PME). The Office of PME maintained the annual planning and other evaluation functions and produced the University’s first model for institutional effectiveness which was later replaced by the Strategic Planning process in 1995. In Spring 1998, the Office of Institutional Research and Effectiveness (IRE) was created and functioned under the direct supervision of the Executive Vice President of the University. In Fall 1998, the annual planning and assessment process was formally initialized and was continuously implemented through 2005. The process was a systematic, ongoing process...
of planning, evaluation, and improvement; was directly related to the University’s Mission Statement, Goals, and Strategic Plan; and it involved wide participation throughout the University. The goal of the process was more effective educational programs and support services through a continuous quest for quality, and it also played a key role in ensuring institutional effectiveness and academic integrity through a variety of assessments and evaluations that measured the effectiveness of programs and services and that demonstrated the use of assessment results for improvement. This process was coordinated by the Coordinator of Institutional Research and Effectiveness (IRE).

The Troy State University Montgomery (TSUM) Institutional Effectiveness Program was officially initiated on September 1, 1987, and was based on a formal five-year implementation plan that was completed on August 31, 1992. The Institutional Effectiveness Manual designed to take the University through 2005 was revised in November 1998 and was further revised in 2002 to incorporate a new software package that allowed support unit leaders to update their Strategic Plan Objectives online. It also allowed support unit leaders to give a percentage completion for each objective and it allowed anyone to view the status of the objectives. In addition, a software management tool called “Dashboard” was implemented that allowed TSUM support unit leaders to view a screen that depicted the status of the Support Unit Strategic Plan Objectives in aggregate using bar, line and pie charts. Troy State University Montgomery’s Strategic Plan, Lighting the Way to a Brighter Future, guided TSUM through 2005.


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Scope of Troy University Planning and Effectiveness 2009

The Troy University 2007-2008 Institutional Planning and Effectiveness (IP&E) Handbook sets forth Troy University's procedures for institutional planning and effectiveness (IP & E). All citations of the Principles in this section are in reference to The Principles of Accreditation: Foundations for Quality Enhancement, Commission on Colleges, Southern Association of Colleges and Schools (SACS-COC), copyright 2004. The Troy University 2007-2008 Institutional Planning and Effectiveness (IP & E) Handbook relies upon the Troy University Mission (purpose) Statement, the Troy Board of Trustees Policies and By Laws, the Troy University Strategic Plan, and The Principles of Accreditation to shape and control all institutional programs and services. The Troy University 2007-2008 Institutional Planning and Effectiveness (IP & E) Handbook reports plans and procedures for engaging in “ongoing, integrated and institution-wide research-based planning and evaluation processes that incorporate a systematic review of programs and services that (a) results in continuing improvement and (b) demonstrates that the institution is effectively accomplishing its mission” (Core Requirement 2.5, The Principles of Accreditation, page 15). Furthermore, the document describes the IP & E process which requires that each responsible administrator “identifies expected outcomes for its (the institution’s) educational programs and its administrative and educational support services; assesses whether it achieves these outcomes; and provides evidence of improvement based on analysis of those results” (Comprehensive Standard 3.3.1, The Principles of Accreditation, page 22); “establishes and evaluates program and learning outcomes for each educational program for which academic credit is awarded (Comprehensive Standard 3.4.1, The Principles of Accreditation, page 22); “identifies college-level competencies within the general education core and provides evidence that graduates have attained those competencies (Comprehensive Standard 3.5.1, The Principles of Accreditation, page 24); and “When evaluating success with respect to student achievement in relation to the institution’s mission, ...includes, as appropriate, consideration of course completion, state licensing examinations, and job placement rates (Federal Requirements, The Principles of Accreditation, page 31).

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It should be clearly understood that the *Troy University 2007-2008 Institutional Planning and Effectiveness (IP & E) Handbook* does not infringe upon or negate the requirements of governmental agencies like the Alabama Commission on Higher Education (ACHE) or specialized accrediting bodies such as the National Council for the Accreditation of Teacher Education (NCATE) and the National League for Nursing Accrediting Commission (NLNAC). In fact, because it establishes an internal evaluation process, the *Troy University 2005-2006 Institutional Planning and Effectiveness (IP&E) Handbook* should enhance, strengthen, and improve areas normally evaluated by such agencies. The *Troy University 2007-2008 Institutional Planning and Effectiveness (IP & E) Handbook* utilizes the University’s organizational structure together with standing councils and committees including the Institutional Effectiveness Committee that oversees the planning and effectiveness efforts of Troy University.
<table>
<thead>
<tr>
<th>Definitions of Terms</th>
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<tbody>
<tr>
<td><strong>College</strong></td>
<td>A College is one of the five academic areas of Troy University: (1) the College of Arts and Sciences, (2) the College of Communication and Fine Arts, (3) the College of Education, (4) the College of Health and Human Services, and (5) the Sorrell College of Business.</td>
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<tr>
<td><strong>Division</strong></td>
<td>A Division is one of the four administrative areas headed by a Senior or Executive Vice Chancellor for Troy University: (1) the Division of Academics headed by the Executive Vice Chancellor and Provost, (2) the Division of Administration headed by the Senior Vice Chancellor for Administration, (3) the Division of Student Services headed by the Senior Vice Chancellor for Student Services, and (4) the Division of Advancement and External Relations headed by the Senior Vice Chancellor for Advancement and External Relations.</td>
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<tr>
<td><strong>Expected Outcomes</strong></td>
<td>Expected outcomes are the student learning and service outcomes established for academic programs and non-academic programs.</td>
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<tr>
<td><strong>Assessment Measures</strong></td>
<td>Measurable results from tests, surveys, focus groups, peer review teams/consultants, and other assessment tools that assess expected outcomes and, when possible, can be compared with established best practices, national benchmarks, or regional benchmarks.</td>
</tr>
<tr>
<td><strong>Benchmarks</strong></td>
<td>Benchmarks are reference points for measuring improvement of academic programs, services and non-academic services. Benchmarking allows universities to evaluate their achievements against the performance of comparable and aspiration peer groups. In this document, benchmarks will be used interchangeably at times with expected outcomes.</td>
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<td><strong>Program Effectiveness Report (PER)</strong></td>
<td>The Program Effectiveness Report (PER) is online documentation of the measurement of effectiveness of the University’s academic programs and non-academic programs (See definition of program below). For academic and non-academic programs, the PER includes: (1) the stated expected outcomes/student learning outcomes along with assessment measures for outcomes; (2) actual assessment results of data to measure outcomes along with improvements made based on assessment; (3) status of achievement of outcomes—Yes or No; (4) Plans for Improvement (PFI) to assist programs in accomplishing outcomes if outcomes are not met; and (5) cost estimates for implementing the PFI.</td>
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<td><strong>Plans for Improvement (PFI)</strong></td>
<td>For expected outcomes/student learning outcomes that are not met, Plans for Improvement (PFI) are created. Plans for Improvement (PFI) are objectives developed to assist programs in accomplishing outcomes. PFI become part of the Division Plan.</td>
</tr>
<tr>
<td><strong>Planning and Effectiveness Dashboard (PED)</strong></td>
<td>The Planning and Effectiveness Dashboard (PED) is a relational, web-based, database system that captures: Program Effectiveness Report (PER) information input by Institutional Effectiveness Coordinators; Division Plans (DP), TROY Annual Plans (TAP), and TROY Strategic Plans (TSP) with monthly progress updates by responsible administrators; and ongoing and annual reports that provide information generated from the PER, DP, TAP, and TSP and that constitute the Evidence of Improvement File.</td>
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</table>
| **Evidence of Improvement File** | The Evidence of Improvement File is the Reports section of the PED and provides online reports that include: (1) planning objectives (annual and
strategic) that are successfully achieved for Divisions and the University; and (2) expected outcomes/student learning outcomes achieved and documented in the Program Effectiveness Reports (PER).

| Program | For the purposes of this document, a program is defined as an academic major, a student service area, or an administrative service component of Troy University. |

TROY UNIVERSITY PLANNING AND EFFECTIVENESS PROCESS

The Troy University planning and effectiveness process includes five major components: (1) the Guiding Principles for Troy University, (2) the Troy University Mission Statement; (3) TROY Strategic Plans (TSP); (4) Annual Planning Process for Division and Troy University Plans, (5) Program Effectiveness Reports (PER); and (6) Annual Achievement reports for Colleges and Divisions, the TROY Strategic Plan Progress Report and program outcomes (expected outcomes and student learning outcomes) documented in the Evidence of Improvement File.

GUIDING PRINCIPLES FOR TROY UNIVERSITY

In the conduct of the affairs of our University, we are and will continue to be guided by the following principles:

- We will be fair, forthright, honest, and truthful in our dealings with students, past and present, and their parents; with our faculty, staff and administrators; with our colleagues at other institutions and agencies; with our external constituencies; and with the public at large. We will act in a manner likely to earn and maintain the respect and esteem of all concerned.

- We will conduct our educational, research, and public service programs in a manner that will enable us to take pride in our efforts and in our people—students, alumni, faculty, staff, and administrators.

- We will be exemplary in all that we do, and we will be a constructive part of the communities, which we serve throughout Alabama, the United States, and the world. We will remain aware of and responsive to the changing world in which we reside, institutionally and individually.

- We will constantly strive to enhance the quality and increase the value of all that we do. Moreover, we will continually seek to ensure that moral and spiritual values are inherent in the programs and activities of the institution.

- Striving to be efficient as well as effective in all that we do, we will practice good stewardship by using wisely and well the resources made available to us.

We regard as imperative the success, stability, and growth of our University in consonance with these principles.
Troy University Mission Statement

The mission statement of Troy University is reviewed periodically through a structural process that allows for input or involvement by the different constituencies of the University. This process results in a recommendation to the Chancellor who reviews the mission statement and makes a recommendation to the Board of Trustees. This body provides final approval of the university mission statement. The current Troy University Mission Statement follows:

Troy University is a public institution comprised of a network of campuses throughout Alabama and worldwide. 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.

TROY Strategic Plans

Every five years Troy University develops a strategic plan. Institutional strategic planning is led by a steering committee and augmented through various constituent group sub-committees. These committees are appointed by the Chancellor and represent the various constituencies of the University. Strategic planning takes an approach to planning different from annual planning. Strategic planning requires the University to research external and internal factors that impact on the University. Based upon this process, the University formulates assumptions, reviews its mission statement, and establishes a vision. From this information, strategic initiatives and strategic objectives that guide the ongoing, long-range development of the University are established. The elements of the strategic plan will be one of the major considerations in determining the objectives of the annual plan for colleges and divisions.

During June and July of each year, the Associate Vice Chancellor for Institutional Research, Planning and Effectiveness (IRPE) in coordination with the University’s strategic planning consultant, the IRPE staff, and the Institutional Effectiveness Committee will review the Program Effectiveness Reports, the Division Plans (DP), the TROY Strategic Plan (TSP), and Reports (Evidence of Improvements File) from the Planning and Effectiveness Dashboard (PED) to glean the necessary documentation to complete the Annual Strategic Plan Progress Report. This Report will be presented to the Chancellor and Cabinet each summer and will be updated as needed in January so that each Senior Vice Chancellor may brief the Chancellor on the overall progress of his/her Division. Based on
dialog and recommendations from the Chancellor’s Cabinet, the University Strategic Plan will be amended as necessary.

Annual Planning Process

To meet the institutional effectiveness requirements of Troy University and of SACS-COC and to ensure a process of continuous improvement for the University, the Troy University Annual Planning and Effectiveness Model shown on page 15 was developed. Implementing the Annual Planning and Effectiveness Model requires that the various colleges and divisions of the University follow a rigid calendar of planning and assessment activities. The timeline and requirements for these activities follow:

Step 1: May - June (of each year)

Using the online Division Plan (DP) format which looks like IE Form #1” (Attachment A), divisions develop their annual plans for the next academic year which begins August 1. The planning objectives that are developed by each division are the result of (1) the Program Effectiveness Reports* which provide Plans for Improvement for outcomes not achieved, (2) the previous year’s plans* with special attention given to objectives not achieved, (3) requirements of regional and specialized accrediting agencies that have not been met, (4) expectations of other affiliated agencies or partners, (5) input from internal constituencies, and (6) the institution’s strategic plan with specific attention to any long-term objectives that may require action on the part of a division.

Step 2: June (each year)

Fine tuning of division plans occurs during this time through discussions between department heads and deans, between deans and the executive vice chancellor, and between unit heads and senior vice chancellors. These discussions should lead to the integration and merging of ideas and objectives, elimination of duplication, and revision of the online Division Plan as needed.

Step 3: July (each year)

As a result of dialog, discussion, and review of plans at the University’s annual Leadership Retreat in May of each year and fine tuning of plans in June, division plans are finalized and entered into the online system (PED) in the
Division Plans (DP) section. The Division Plans become the TROY Annual Plan (TAP), and senior vice chancellors report on the progress toward meeting these objectives monthly at the Chancellor's Cabinet meetings.

Step 4: May – July (each year)

In May of each year the Vice Chancellor for Financial Affairs issues directions and guidance for the budgeting process. Based on the division annual plans and on the continuation of the current effective and essential programs, departments develop budget requests and make budgeting recommendations to deans, directors, vice chancellors, and senior vice chancellors. These budget requests and recommendations are made in accordance with the budget calendar outlined by the Vice Chancellor for Financial Affairs. Budget priorities for competing needs are determined at each level as the budget is developed.

Step 5: Late August or September (each year)

The Board of Trustees approves the annual operating budget based on the TROY Annual Plans [which are an accumulation of the Division Plans (DP)] and the recommendations of the Chancellor.

Step 6: August 2006 – May 2007 (and each academic year thereafter)

The TROY Annual Plans are implemented and progress reports are made monthly through the Planning, and Effectiveness Dashboard (PED)—a relational, web-based, database system. Training in using the PED is provided by the Institutional Research, Planning, and Effectiveness (IRPE) Office and other units and persons as warranted.

Step 7: May (each year, beginning in 2007)

Executive and Senior Vice Chancellors working with their direct reports evaluate the achievement of their Division Plan objectives and enter into the PED Yes, No, or Continue along with the completion percentages. Those objectives with Yes entries and with 100% completion become part of the Achievement reports (Annual Planning Objectives Achieved and Strategic Planning Objectives Achieved) in PED for each Division and the University. For those objectives not achieved, if administrators enter No, the objective will not be moved forward to the next year’s Division Plans (DP), and if administrators enter Continue, the objective will be moved forward to the next year’s Division Plans (DP). Objectives with No or Continue entries will be captured in the PED in Reports (Annual Planning Objectives Not Achieved and Strategic Planning Objectives Not Achieved) for each Division and for the University. The Reports in PED will constitute the Evidence of Improvement File and will document those objectives achieved.

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during the year as well as those objectives not achieved. At this same point in time (May of each year), the Program Effectiveness Reports (PER) in the PED will be updated with actual assessment results, Yes/No for Outcomes Achieved, Plans for Improvement (PFI) for outcomes not achieved, and Cost Projections for PFI so that PFI may be moved into the appropriate Division Plan (DP) for implementation in the next Academic Year (AY). (See Program Effectiveness Process below).

In May, University planners return to Step 1 in the annual planning process and the annual planning cycle begins again.

**Program Effectiveness Process**

Each program of the University (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. The Institutional Research, Planning, and Effectiveness (IRPE) Office, in coordination with the Executive Vice Chancellor and the Senior Vice Chancellors, determines a list of programs which are subject to annual evaluation.

Program directors, department chairs, and unit heads, in coordination with faculty and other appropriate professionals, establish expected outcomes/student learning outcomes with assessment measures to measure the effectiveness of each program—academic and non-academic. By May, the Institutional Effectiveness Coordinator (designated by the appropriate Dean or Vice Chancellor) enters the student learning outcomes or expected outcomes into column (1) of the online Program Effectiveness Report (PER) that is part of the Planning and Effectiveness Dashboard (PED) and that looks similar to IE Form #3" (Attachment C). Whenever possible, these outcomes should be benchmarked to national or regional standards, performance by peer institutions, specialized accreditation standards, or standards that can be documented as acceptable by peer professionals. Expected outcomes/student learning outcomes should measure program effectiveness and should represent desirable performance targets. Department chairs, directors, and unit managers should use multiple measures and/or indicators to measure progress toward the expected outcomes/student learning outcomes. Such measures include:

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Once expected outcomes/student learning outcomes are established for programs, the Institutional Effectiveness Coordinator—the person responsible for effectiveness information for each program—collects data on an ongoing basis to assess the outcomes. Assessment data may be entered into the Worklog or Actual Assessment Column (2) of the Program Effectiveness Report (PER) of the PED at any times during the Academic Year, but in May of each year, the Program Effectiveness Reports (PER) in the PED must be updated with actual assessment results, Yes/No for Outcomes Achieved, Plans for Improvement (PFI) for outcomes not achieved, and Cost Projections for PFI. Plans for Improvement are moved into the appropriate Division Plan (DP) for implementation in the next Academic Year (AY). After these assessment results are available in the PED, achieved expected outcomes/student learning outcomes and improvements based on assessment become part of the achievement reports in the PED, the Institutional Effectiveness Committee reviews at least one third of the programs, and recommendations and commendations provided to the appropriate administrators.

**Annual Achievement Reports for Colleges and Divisions and the TROY Strategic Plan Progress Report**

In June and July of each year, achievement reports for Colleges and Divisions will be derived from the Reports section of the PED (the Evidence of Improvement File). These Reports will be generated from entries in the online Division Plans and from entries in the Program Effectiveness Reports (PER). Achievement reports will include annual planning objectives achieved along with expected outcomes achieved and improvements based on assessment. In addition, the TROY Strategic Plan Progress Report will be derived from the Reports section of the PED. The Strategic Plan Progress Report will be generated from strategic objectives documented as being 100% achieved.
each year. Achieved objectives will be reported by Divisions and will show the progress of the annual plans and the strategic plans.

**IRPE Support**

To aid in implementing the annual institutional planning and effectiveness process, Institutional Research, Planning, and Effectiveness (IRPE) personnel provide oversight for all aspects of the institutional planning and effectiveness process. IRPE personnel will also provide an annual *Fact Book* and reports/results of surveys for annual *Graduating Student Surveys, New Student Surveys, International Student Surveys, Alumni Surveys, and Employer Surveys*—all of which will be available online. These documents are designed to assist in evaluating the effectiveness of programs and services and to aid in annual and strategic planning.
Review of New and Revised Programs

This Troy University 2007-2008 Institutional Planning and Effectiveness (IP & E) Handbook is designed to guide each academic and non-academic unit and division through the institutional planning and effectiveness processes. All programs must have approved expected outcomes/student learning outcomes; therefore, new or revised programs must submit proposed outcomes as a part of the University’s approval process. This process includes approval by the Institutional Effectiveness Committee along with appropriate approval bodies such as the Academic Undergraduate and Graduate Councils. The process guidelines and approval forms are developed by the Institutional Research, Planning, and Effectiveness (IRPE) Office and are provided in Part II of this Troy University 2007-2008 Institutional Planning and Effectiveness (IP & E) Handbook.
TROY UNIVERSITY
ANNUAL PLANNING & EFFECTIVENESS MODEL

The Previous Year Plans - Objectives Not Met

Regional and Special Accreditation Requirements

Expectations of External Agencies and Partners

Input from Internal Constituencies

Review of Strategic Plan - Specific Strategic Objectives that Impact on a College or Division

Step 1 & 2
May - June
College and Division Plans Are Finalized

Evidence of Improvement File

November
Annual College & Division Achievement reports and Strategic Plan Progress Report

Step 3
July
Annual Leadership Retreat - College and Division Plans are Finalized

Step 4
May-July
Budgets are Developed

Step 5
August-September
Board of Trustees Approves Budget

Step 6
August - July
Annual Plans Are Implemented

Step 7
May - July
Colleges & Divisions evaluate their success in meeting the past year's objectives. Programs are evaluated using the Program Effectiveness Report

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Division Plan – IE Form #1

College or Division Name: ___________________________ Person Submitting Plan: ___________________________ Title: ___________________________ Date: ___________________________

Brief Introductory Narrative: __________________________________________________________________________________________
________________________________________________________________________________________________________________________________

<table>
<thead>
<tr>
<th>(1) Objectives</th>
<th>(2) Strategic Initiative Number Supported (if Pertinent)</th>
<th>(3) Projected Completion Dates</th>
<th>(4) Additional Cost</th>
<th>(5) Individual/Position Responsible¹</th>
<th>(6) Objective Completed Yes/No</th>
<th>(7) Notes/Explanation regarding completion or continuation of the objectives</th>
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¹ If the objective crosses division or college lines of authority a lead individual should be designated followed by a coordinating individual (in parenthesis) from another college or division who will assist in directing the successful completion of the objective.
<table>
<thead>
<tr>
<th>Objectives</th>
<th>Supports Strategic Initiative # (if Pertinent)</th>
<th>Reporting</th>
<th>Notes</th>
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<tr>
<td>I. Academic Division</td>
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<td>Date</td>
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<td>II. Student Services Division</td>
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<td>IV. Administrative Division</td>
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Program Effectiveness Report (PER) – IE Form #3

<table>
<thead>
<tr>
<th>Program/Unit</th>
<th>Location</th>
<th>Date</th>
<th>Division</th>
<th>Person Completing Report</th>
<th>Title</th>
</tr>
</thead>
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Mission and Relation to University Mission: 
________________________________________________________________________________________________________________________________________________
________________________________________________________________________________________________________________________________________________

<table>
<thead>
<tr>
<th>(1) Expected Outcomes/Student Learning Outcomes with Assessment Measures</th>
<th>(2) Actual Assessment of Expected Outcomes/Student Learning Outcomes with Improvements Noted</th>
<th>(3) Outcome Achieved?</th>
<th>(4) If No, Plans for Improvement (PFI) Objectives (If outcomes were not met)</th>
<th>(5) Projected Cost to Implement PFI</th>
</tr>
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<tr>
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<td>Yes/No</td>
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TROY UNIVERSITY

PART II
Reporting and Notification of Changes Concerning Academic Programs
(Prepared for Academic Officers and the Institutional Effectiveness Committee)

Revised November 2007
Development of a New Academic Program

a) Proposals for offering a new academic program must be reviewed and approved by the Institutional Effectiveness Committee. This review and approval should occur prior to the review and approval by either the Graduate Council or the Undergraduate Academic Council.

b) Proposals shall be submitted using the Routing Slip for New Academic Programs form.

c) If a program will be offered in the State of Alabama, a proposal must be submitted for approval to ACHE.

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

Please refer to the Notification of Intent to Submit a Proposal, known as a NISP letter, on the ACHE site at www.ache.state.al.us/acadaffr/NewProg/FM-NISP.doc.

d) Information regarding all new programs offered outside of Alabama must be submitted to SACS as a proposal for Substantive Change, which must be approved by SACS-COC. This includes any program that is not in the approved inventory for a University College location. Working with the appropriate college, IRPE will propose a letter for the Chancellor to send to SACS expressing TROY’s intent to submit a Substantive Change Prospectus. This Letter of Intent must be submitted to SACS-COC at least six months prior to the implementation of the new program. The letter will be routed to the Chancellor through the Provost’s Office. Electronic versions of the Letter of Intent are sent to all organizations involved, and once the signed letter is ready to send, copies are sent to all.

Revised 11-15-2007
Guidelines for the Substantive Change Prospectus (SCP) are on page 28 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.

Notification will be sent to all concerned when ACHE or SACS-COC approves a new program.
Offering an Existing Program in a New Location (University College)

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

a) The Institutional Effectiveness Committee must review and approve all proposals to offer an existing program in a new location. 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. Programs can be reviewed by the IEC as 1) Informational Change, 2) Expedited Review, or 3) Full Reviews.

b) Existing programs at an already approved location.

   (1) IRPE will prepare a letter of notification for the Chancellor to send to SACS (routed through the Provost’s Office) informing SACS of TROY’s intent to offer an existing (approved) program for the first time at a location that has already been approved by SACS for University College programs.

   (2) Letters of notification shall be sent to SACS six months prior to the implementation of the existing approved program at the new (but previously approved for other programs) location.

   (3) Regional Directors are still required to prepare a SCP for review by the Graduate Council or Undergraduate Academic Council if the program is in a new region, but this does not go to SACS.

c) Existing programs at new locations that have not been previously approved by SACS for TROY.

   (1) SACS requires TROY to submit a Letter of Intent six months prior to the implementation and to submit a Substantive Change Prospectus within six months of the implementation of an existing program for the first time at a location that has not been previously approved by SACS for Troy.

   (2) The Regional Directors of University College 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 University College, IRPE will propose a Letter of Intent for the Chancellor to send to SACS 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 included. 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 informing them of our submission of the Substantive Change Prospectus and requesting SACS to acknowledge our plan. This letter will be routed through the Provost’s Office.
**Modifications to Existing Academic Programs**

a) 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.

b) Information for review by the IEC regarding modifications to existing academic programs is to be submitted using the **Routing Slip for Revised Academic Programs** form.

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

d) Notification (for information only) must be provided to ACHE on any modifications, including changing the name of a program, addition of concentration or track, or extending or altering a program.

  – Notification for approval must be given to ACHE for the 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.

e) 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.
Placing a Program on Inactive Status, Deleting a Program, or Closing a Site

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

b) If a decision is made to discontinue all programs at a site outside of Alabama, then IRPE must be notified so that a letter can be prepared for the Chancellor to notify SACS. The letter must state why the site is being closed and what programs will no longer be offered at the location, and the provisions for the Teach Out.

c) A report must be submitted to SACS at least six months prior to implementing a decision to close an academic program or initiating a Teach Out agreement.
Changes to Academic Colleges and Departments

a) 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.

b) IRPE will prepare a notification letter (for information only) that must be submitted to ACHE when major reorganizations, such as splitting an existing department into two departments or establishing new divisions within a college, occur. 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

a) 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.”

b) University College and the appropriate academic Dean will notify the IEC of the intent to develop an online version of an approved program.

c) 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.

d) TROY must notify SACS at least six months prior to the introduction of a new academic program online. This requires the submission of a Substantive Change Prospectus.
A Flow Chart for Change Management

**Academic Program Change**

- **Program**
  - **Already Approved Program in University College Inventory**
  - **New Program or Not in University College Inventory**
    - **Location**
      - **Not Yet Approved Site/Location**
        - **Letter of Intent and Substantive Change to SACS**
      - **In Alabama** - Must be approved by ACHE
    - **Outside Alabama** - Must have Letter of Intent and Substantive Change to SACS
  - **Already Approved Site/Location**
    - **Location**
      - **Letter of Notification to SACS**
Requirements for a Substantive Change Prospectus for SACS

a) Every Substantive Change Prospectus for SACS will include detailed information on:
   - The degree to be offered
   - Start Date
   - The location
   - Background information on the degree (history- other locations)
   - The faculty
   - Library and Learning Resources
   - Physical resources- classrooms, laboratories, computers
   - Financial support for the program
   - Methods for evaluation and assessment of the program
   - Appendixes
     (a) Roster of full-time and adjunct faculty
     (b) Current program PIE

b) It is the responsibility of the originating officer (generally a Regional Director) working with the Dean of the College, the University College Academic Dean, and Vice Chancellor of University College to insure that the Substantive Change Prospectus is prepared and is accurate, and to give the prospectus to IRPE for review by the Institutional Effectiveness Committee.

c) All Substantive Change Prospectuses must be submitted to SACS within the six months window between the Letter of Intent and the target date for implementation of the program.

d) Denial of approval of a Substantive Change by SACS may not be appealed. A revised request may be resubmitted.

e) The University College 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 currently expects to receive a Substantive Change Prospectus three months prior to the implementation date.
### Definitions Related to Reporting and Notification of Changes Concerning Academic Programs

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>ACHE</td>
<td>(Alabama Commission on Higher Education) appointed by the Governor and has oversight of Troy University.</td>
</tr>
<tr>
<td>IRPE</td>
<td>Office of Institutional Research, Planning, and Effectiveness</td>
</tr>
<tr>
<td>Letter of Intent</td>
<td>A letter from the Chancellor to the President of SACS that states our intent to implement a change which will require a Substantive Change Prospectus.</td>
</tr>
<tr>
<td>Letter of Notification</td>
<td>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 report.</td>
</tr>
<tr>
<td>Location</td>
<td>One of the four campuses in Alabama or one of the sites within a University College region.</td>
</tr>
<tr>
<td>Program</td>
<td>Any academic courses that can result in the awarding of a degree by Troy University.</td>
</tr>
<tr>
<td>SACS-COC</td>
<td>(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 to be authorized to provide federally funded student financial aid</td>
</tr>
<tr>
<td>Substantive Change Prospectus</td>
<td>Documentation required by SACS for review prior to offering a new degree program or starting to offer a program in a new physical location.</td>
</tr>
</tbody>
</table>
Forms

A. Routing slip for new academic programs.

B. Routing slip for revisions to academic programs.

C. Routing slip for approval of all UC academic program offerings.
College submitting request: ________________________________________________________________

Title of new program, degree, or concentration: _______________________________________________________________________________________

Initiator: __________________________________________ Name __________ Campus Address __________ Campus Phone __________

For conceptual approval, please provide the Executive Vice Chancellor/Provost with a summary that includes: 1) Degree Offered, Program, Location, Start date; 2) Information on the need this program will address; 3) New Faculty needs; 4) Library and Learning Resources; 5) Physical Resources; 6) Financial Support

1. **Conceptual Approval by Executive Vice Chancellor/Provost**
   (Signature/Date): __________________________________________________________________________
   Comments: ________________________________________________________________________________

2. **Conceptual Approval by Chancellor**
   (Signature/Date): __________________________________________________________________________

3. **Department Chair/School Director Approval**
   (Signature/Date): __________________________________________________________________________

4. **College Curriculum Committee Approval**
   (Signature/Date): __________________________________________________________________________

5. **Dean of the College's Approval**
   (Signature/Date): __________________________________________________________________________
   Please note if other accreditation is required: ____________________________________________________________________________________

6. **Institutional Effectiveness Committee Approval**
   (Signature/Date): __________________________________________________________________________

7. **Academic Undergraduate Council or Graduate Council Approval**
   (Signature/Date): __________________________________________________________________________

8. **Executive Vice Chancellor/Provost**
   (Signature/Date): __________________________________________________________________________

9. **Chancellor**
   (Signature/Date): __________________________________________________________________________

Return approved package to the office of the Associate Provost, which will be responsible for submitting the information to ACHE for approval, and will send a signed copy to the IRPE Office and to the appropriate Dean.

Revised 11-15-2007
IRPE
Attachment B
Routing Slip for Extensions and Alterations of Existing Academic Programs

College submitting request: __________________________________________________________

Title of program, degree, concentration, or courses being changed:
_________________________________________________________________________________

Initiator: ________________________________

Name                        Campus Address                        Campus Phone

1. Department Chair/School Director Approval
   (Signature/Date):__________________________________________________________

2. College Curriculum Committee Approval
   (Signature/Date):__________________________________________________________

3. Dean of the College’s Approval
   (Signature/Date):__________________________________________________________

4. General Studies Committee (for changes to the General Studies Program only)
   (Signature/Date):__________________________________________________________

5. Institutional Effectiveness Committee Approval
   (Signature/Date):__________________________________________________________

6. Academic Undergraduate Council or Graduate Council Approval
   (Signature/Date):__________________________________________________________

7. Executive Vice Chancellor/Provost
   (Signature/Date):__________________________________________________________

Return approved package to the office of the Associate Provost.
A signed copy will be sent to the IRPE Office and to the appropriate Dean.

Revised 11-15-2007
Attachment C
TROY UNIVERSITY
Routing Slip for Approval of all UC Academic Program Offerings

University College Site Submitting Request ___________________________ ___________________________
Degree Program Requested: ____________________________________________

Instructions: Please select (x) the situation below that is applicable for this request.

Requirements:
Letter of Intent - A full substantive change prospectus and a routing slip with items 1-12 completed is required in the following situations:
___ 1. When UC offers an unapproved (new) program at an approved site
___ 2. When UC offers an approved program (a program currently offered within the region and previously reviewed/approved by SACS) at an unapproved (new) site
___ 3. When UC offers an unapproved (new) program at an unapproved (new) site
___ 4. When UC offers an approved program for the first time in a new region
___ 5. When UC offers an approved program for the first time in a new country

Letter of Notification – An abbreviated substantive change prospectus and a routing slip with items 1-4 completed is required in the following situation:
___ 1. When UC offers an approved program (a program currently offered within the region and previously reviewed/approved by SACS) at an approved site.

Chancellor/Provost Pre-Approval/Date: ________________________________

1. The Regional Director requests that a Letter of Notification or Letter of Intent be prepared to send to SACS and provides a one to two page summary of the proposed program addition. Elements to be included in the two-page summary:
   1) Degree Offered, Program, Location, Start date; 2) Background Information; 3) Faculty; 4) Library and Learning Resources; 5) Physical Resources; 6) Financial Support; 7) Evaluation and Assessment; 8) Appendices – (a) Roster of full-time and adjunct faculty, (b) current program PIE

2. University College Academic Dean sends a Letter of Notification/Intent with accompanying program summary and routing slip to the appropriate college dean/chair for review, comment and/or approval (5 days).

3. Chair Approval/Date: ___________________________   Approve ☐   Disapprove ☐
   Dean Approval/Date: ___________________________   Approve ☐   Disapprove ☐

4. Upon receipt of item #3 approvals, the UC 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, UC Academic Dean, IRPE Office, Provost, and College Dean.

5. The Regional Director prepares and sends the Prospectus to the UC Academic Dean.

6. The UC 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.

7. The UC Academic Dean sends Prospectus with routing slip, Items #3 signed and approved, to the appropriate college dean for Committee review and approval.

8. College Dean/Date: ___________________________   Approve ☐   Disapprove ☐
   Approved with Conditions ☐ (Attach conditions and specify if conditions must be met prior to request going to the IE Committee for review.)

Revised 11-15-2007
9. The Substantive Change Prospectus with signed routing slip is submitted to the Institutional Effectiveness (IE) Committee for review and approval.

Signature of IE Chair/Date: ____________________ Approve ☐ Disapprove ☐ Approved with Conditions ☐

10. The Prospectus and signed routing slip is sent to the Academic or Graduate Council for review.

Signature of Chair/Date: ____________________ Approve ☐ Disapprove ☐

11. The Prospectus and signed routing slip is sent to the Provost for approval.

Provost/Date: ____________________ Approve ☐ Disapprove ☐

12. The Prospectus and signed routing slip is returned to UC Academic Dean for final changes and for production of multiple copies for SACS-COC. The UC Academic Dean forwards the appropriate number of copies 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 with copies of the letter emailed to the following: Regional Director, UC Academic Dean, IRPE Office, Provost, and College Dean.

Cc: Institutional Effectiveness (Original)
   University College
   Graduate Council
   Financial Aid
TROY UNIVERSITY

PART III
Overview for Review of Programs
(Prepared for Academic Officers and the Institutional Effectiveness Committee)

Revised November 2007
Part II – PROCEDURES FOR REVIEW OF EXISTING PROGRAMS  
(Prepared for Administrators and the Institutional Effectiveness Committee)

**Ongoing Institutional Effectiveness:** For all programs (Academic and Non-Academic) identified by the Senior Vice Chancellors to become part of the ongoing Planning and Effectiveness Dashboard (PED) process, the Program Effectiveness Report (PER) is submitted annually using data collected and maintained in an ongoing manner. Each academic and non-academic program of the University must be evaluated annually and must submit assessment data annually. The Institutional Effectiveness Committee and members of the IRPE staff will review the PER of selected programs each year to assess the extent to which the program is meeting its expected outcomes/student learning outcomes. The following table provides the schedule of review of the PER by the Institutional Effectiveness Committee (IEC):

<table>
<thead>
<tr>
<th>Review Years</th>
<th>Programs to Review</th>
</tr>
</thead>
<tbody>
<tr>
<td>2006, 2009, 2012, 2015, 2018</td>
<td>Programs in the College of Health and Human Services; Programs in the College of Communication and Fine Arts; Distance Learning Programs; and Programs in the Division of Student Services</td>
</tr>
<tr>
<td>2007, 2010, 2013, 2016, 2019</td>
<td>Programs in the College of Business; Programs in the College of Education; Honors Program; and Programs in the Division of Administration</td>
</tr>
<tr>
<td>2008, 2011, 2014, 2017, 2020</td>
<td>Programs in the College of Arts and Sciences; the General Studies Program; and the Programs in the Division of Advancement and External Relations.</td>
</tr>
</tbody>
</table>

The Checklist for Review of Existing Programs (See Attachment D) is used to evaluate the Program Effectiveness Report (PER). In addition, achievement reports, Division Plans, Troy University Plans, and the Strategic Plan are reviewed by the IRPE staff and the IEC, and feedback is provided to the appropriate administrators via the Institutional Effectiveness Committee Feedback Form (See Attachment E). The appropriate administrators act on the Institutional Effectiveness Committee’s (IEC) recommendations and provide documentation regarding actions taken or to be taken to the IEC.

Program directors, department chairs, and unit heads—in coordination with faculty and other appropriate professionals—establish expected outcomes/student learning outcomes for each program and enter them into the Program Effectiveness Report (PER) section of the Planning and Effectiveness Dashboard (PED). Whenever possible, these expected outcomes/student learning outcomes should be referenced to national or regional standards, performance by peer institutions, specialized accreditation standards, or to standards that can be documented as acceptable by peer professionals. Expected outcomes/student learning outcomes do not routinely change and stand constant as desirable performance targets. Once expected outcomes/student learning outcomes are established for programs, the programs are evaluated on an annual basis to determine the progress toward meeting the expected outcomes/student learning outcomes and to provide data and information to use in improving the programs. Institutional Effectiveness Coordinators working with department chairs, directors, and unit managers should use multiple measures and/or indicators to measure their expected outcomes/student learning outcomes. Such measures may include:

- Trend Data
- Survey Data
- Student Satisfaction Indices

Revised 11-15-2007
- National Norms on Student Learning Outcomes
- Major Field Test Scores
- Licensure/Certification Results
- Program Accreditation Results
- Program Peer Review Results
- Focus Group Findings
- Peer Review Teams/Consultants

For programs that are not meeting expected outcomes/student learning outcomes, Plans for Improvement (PFI) should be developed and entered into the Program Effectiveness Report (PER) of the Planning and Effectiveness Dashboard (PED). College deans and senior vice chancellors review the Plans for Improvement (PFI) which become planning objectives in the division plans. Expected outcomes/student learning outcomes that are achieved become part of the Reports section of the PED (the Evidence of Improvement File). Therefore, expected outcomes and PFI achieved will be part of the Achievement reports for the University.

In June, achievement reports will be captured from the online Evidence of Improvement file. Reports will be generated from entries made into the online Division Plans, the Troy University Plan, the TROY Strategic Plan, and the Program Effectiveness Reports (PER) by June. In addition, a TROY Strategic Plan Progress Report will be generated for strategic objectives that are 100% achieved each year. Achievement reports and the Strategic Plan Progress Report will be reviewed by the IRPE staff, the Institutional Effectiveness Committee, and the Cabinet, and recommendations and commendations will be made as needed to the appropriate program administrators.

To aid in implementing the institutional planning and effectiveness process, Institutional Research, Planning, and Effectiveness (IRPE) personnel provide oversight and coordination as well as an annual Fact Book and online publication of results of surveys. The information provided from the Fact Book and from the results of surveys can be used to measure the success of programs in meeting established expected outcomes/student learning outcomes.
**INSTITUTIONAL EFFECTIVENESS COMMITTEE CHECKLIST FOR THE REVIEW OF PED (PER, DP, TSP)**

Name of Program__________________________________________________________________________

Contact Person & Information (Name, Phone #, Site): Name: _______________________________________
Phone #:___________________________________Site:___________________________________________

<table>
<thead>
<tr>
<th>Questions</th>
<th>Yes/No/ Discuss or E, G, F, or P</th>
<th>Comments &amp; Recommendations</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. In the PER, is the program purpose clear, and related to the University Mission Statement?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Are expected outcomes/student learning outcomes measurable?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Are assessment instruments/tools/ methods /measures for measuring outcomes listed and appropriate to measure the program’s effectiveness?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. Are assessments of outcomes sufficient to determine if the outcomes are met or not met?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5. If outcomes are not met, are Plans For Improvement (PFI) appropriate and complete? (Note: When expected outcomes are not met, IE Coordinators are encouraged to research further to identify causes and hence appropriate corrective action plans for the PFI.)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>6. Did the appropriate person complete the PER?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7. Was there evidence of improvements for this program?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>8. Rate the PER as Excellent (E), Good (G), Fair (F), or Poor (P) and comment as needed.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>9. For Division Plans (DP), percentages were updated, progress reports were made regularly in the Work Log, and a reasonable number of objectives were achieved.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>10. Rate the Division Plans (DP) and progress as Excellent, Good, Fair, or Poor and comment as needed.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>11. For the TROY Strategic Plans (STP), percentages were updated, progress reports were made regularly in the Work Log, and a reasonable number of objectives were achieved.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>12. Rate the TROY Strategic Plans and progress as Excellent, Good, Fair, or Poor and comment as needed.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>13. Additional Comments:</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Signature of IEC Member ________________ Date ____________________

Revised 11-15-2007
Attachment E
Institutional Effectiveness Committee Feedback Form for Review of Program Effectiveness Reports (PER), Division Plans (DP), and TROY Strategic Plan (TSP)

Program/Location: ____________________________________________________________________

Person Responding: ________________________________________ Date: ____________________

Please provide feedback to the Institutional Effectiveness Committee (IEC) in regard to the recommendations you receive from the IEC by completing columns (2) and (3) in the form below and return the form to the IRPE Office with copies to appropriate administrators. If there are commendations or no recommendations, please sign and return the form.

<table>
<thead>
<tr>
<th>Recommendations/Commendations</th>
<th>Actions to be Taken</th>
<th>Completion Dates</th>
</tr>
</thead>
<tbody>
<tr>
<td>(IEC Recommendations/Commendations)</td>
<td>(Responses from Responsible Person)</td>
<td>(Response from Responsible Person)</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Dean/Dept. Chair Approval: ___________________________________________ Date: _____________

Return the completed form to the Institutional Research, Planning, & Effectiveness (IRPE) Office and copy the completed form to the following people: (Appropriate people are listed and may include the Provost, Vice Chancellor, Dean, Department Chair and others as needed.)

Revised 11-15-2007
## INSTITUTIONAL EFFECTIVENESS COMMITTEE CHECKLIST FOR THE REVIEW OF NEW AND REVISED PROGRAMS

<table>
<thead>
<tr>
<th>Questions</th>
<th>Yes/No/Discuss</th>
<th>Comments &amp; Recommendations:</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Is the Program Purpose clear and related to the University Mission Statement?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Are student learning outcomes measurable?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Are the assessment instruments/tools/methods/measures for outcomes of the program appropriate?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. Will the assessments proposed to measure student learning outcomes be sufficient to determine if outcomes are met?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5. Is the appropriate person designated to analyze assessments, formulate Plans for Improvement (PFI), implement PFI, and report on improvements resulting from assessment?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>6. Rate the “Justification” as Excellent, Good, Fair, or Poor in the Yes/No column, and comment as needed.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7. Additional Comments:</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Contact Person & Information:**

Name: ____________________________________________  
Phone #:__________________________________  
Site:________________________________________

---

Signature of IEC Member                  Date
TROY UNIVERSITY

PART IV
TROY UNIVERSITY
PLANNING & EFFECTIVENESS DASHBOARD
(PED)

Revised November 2007
Rev. 5
Introduction to the Troy University Planning and Effectiveness Dashboard (PED)

The following pages describe the Troy University Planning and Effectiveness Dashboard (PED) and processes. This part of the Handbook is a work in progress and is subject to change over time as the System is refined.

The PED is a tool that brings together revised practices of institutional outcomes assessment, including student learning outcomes, along with annual and strategic planning. The approach to Institutional Planning and Effectiveness is greatly enhanced because the system is totally web-based—an online reporting system. There are three major modules within the PED as can be seen below:

The Online Strategic Plan Module (TROY Strategic Plan—TSP) includes the strategic initiatives and objectives of the University for multiple years—usually five. In Troy University Vision: 2010 there are six (6) strategic initiatives and fifty-two (52) strategic objectives. Persons responsible, Senior Vice Chancellors and the Chancellor’s Cabinet monitor the dates for completion and ongoing assessment of progress for each multiyear objective on a monthly basis and review a strategic plan progress report generated through the Reports section of the PED annually.
The Program Effectiveness Report (PER) is the online Institutional Effectiveness Module and includes:
each program’s purpose and how that purpose relates to the University Mission; expected outcome/student
learning outcomes with measures to assess outcomes; actual outcome assessment results with
improvements noted; and Plans for Improvement (PFI) with cost estimates for outcomes not achieved.
Reports for program effectiveness can be generated through the Reports section of the Online Institutional
Planning and Effectiveness System (OIPES).

The Online Annual Plan Module (Division Plan—DP and TROY Annual Plan—TAP) contains the annual
plans for the units in each organizational division (Academics, Administration, Student Services and
Advancement and External Relations). The planning objectives in this Module include strategic plan
objectives, action objectives for the strategic plan, and annual objectives most of which support the
strategic plan as well as Plans for Improvement (PFI) that migrate from the Program Effectiveness Reports
(PER). Responsible administrators enter percentage completion and progress reports monthly for each
planning objective so that the Chancellor’s Cabinet and other administrators may monitor progress of the
Annual Plan on an ongoing basis. Reports regarding annual plans can be generated through the Reports
section of the OIPES.

Using documentation captured in the Planning and Effectiveness Dashboard (PED), the Chancellor can
review progress in all areas of the University at any time, and the PED can be used by administrators to
prepare for the “Chancellor’s Mid-Year Review.” Outcomes and objectives that are achieved can be
commended while those needing adjustment can be addressed and considered for the coming year.
Note: Column 3 in the following table presents step-by-step procedures for accessing the PED and for
operating within the appropriate section of the PED for designated tasks.
## Planning and Effectiveness Dashboard (PED) Process

### Annual Calendar of Activities

<table>
<thead>
<tr>
<th>Phase I: January-May Enter Outcomes with Assessment Measures in PER &amp; Update Outcomes as needed each year thereafter</th>
<th>Tasks to Be Accomplished</th>
<th>Online Process</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Expected Outcomes for non-academic programs and Student Learning Outcomes for academic programs along with assessment measures for outcomes, purpose of the program, and relationship of the program purpose to the Troy University Mission are entered into the Program Effectiveness Reports (PER) of the Planning and Effectiveness Dashboard (PED) so collection of data/information to assess Outcomes can begin.</td>
<td>To enter outcomes into the PED: 1. Access the PED website at <a href="https://10.10.0.99/">https://10.10.0.99/</a> (on Troy campus) and <a href="https://irpe.troy.edu">https://irpe.troy.edu</a> (off Troy campus). 2. Enter your email ID and password to access the OIPES Home Page. 3. Click on Program Effectiveness Report (PER) at the top of the screen. 4. Select the appropriate year span from the 1st pull-down menu. 5. Select your College or Division from the 2nd pull-down menu. 6. Select your program area from the 3rd pull-down menu. 7. For first-time entry, click on Add a PER. (Thereafter, click on Details to enter your PER to add information or edit.) 8. In the PER, enter the Location; Person Responsible for the Report; Title of person responsible for the report; Purpose (Mission) of the program; and Relationship of the program purpose to the University Mission. 9. For first-time entry, click on Create Program Effectiveness Report; (Thereafter, when you Detail into your PER, you will have edit capabilities to Edit PER Headings, Add Expected Outcomes, Edit existing outcomes, and create or edit a Worklog.) 10. Click on Add Expected Outcome, type in your expected outcome (student learning outcome for academic programs) with assessment measures in the dialog box, and click on Add this expected outcome to PER. (Repeat step 10 until all expected outcomes are entered in one single PER for one single program.)</td>
</tr>
</tbody>
</table>

| Phase II: May-July Plan & Budget | The Troy University Strategic Plan – 2006-2010 has been developed and was entered into the PED (March 2006). | To enter annual plans into the PED: 1. Access the PED website at [https://10.10.0.99/](https://10.10.0.99/) (on Troy campus) and [https://irpe.troy.edu](https://irpe.troy.edu) (off Troy campus). 2. Enter your ID and password to access IP & E Home Page. |
The Annual Plans are developed and entered into the online Division Plan section of the PED. Annual Plans include strategic planning objectives, action objectives to accomplish strategic plans, and additional objectives to be accomplished by a division.

(During this Phase II, Annual Plans are finalized at the annual Leadership Retreat, and planning objectives from Division Plans—DP—become the TROY Annual Plan. Budget requests based on annual plans and continuation of current effective programs are also developed and submitted. Final approval by the Board of Trustees generally occurs in late August or September.)

<table>
<thead>
<tr>
<th>Phase III: August 2006 through May Implementation</th>
<th>Plans are implemented and progress reports for the plans are made in the Division Plans section of the PED by the person responsible for a particular planning objective. Progress reports for annual planning objectives and strategic planning objectives should be made at least monthly.</th>
</tr>
</thead>
</table>

3. Click on Division Plans (DP) at the top of the screen.
4. Select the correct span of years for the plan from the 1st drop-down menu.
5. Select your Division from the 2nd drop-down menu.
6. For first-time entry, click on Add a Plan. (Thereafter, click on Details to enter your DP to add information or edit.)
7. Enter the Person Submitting Plan, Title, and Brief Introductory Narrative which may give a summary of the annual plan.
8. For first-time entry, click on Create Division Plan. (Thereafter, when you Detail into your DP, you will have edit capabilities to Edit Plan Headings, Add Plan Objectives, Edit existing objectives including adding progress reports, and create or edit a Worklog.)
9. Click on Add Plan Objective, and
   (1) Type the objective in column (1) of the screen
   (2) In column (2), Click on the Strategic Initiative Number supported by the objective
   (3) Enter Projected Completion Date in column (3)
   (4) Enter Additional Cost in column (4), and
   (5) In column (5), click on Individual/Position Responsible.
   Then click on Add this Objective to the Plan, and until all objectives are entered, continue entering objectives by repeating item 9, parts (1) through (5) (i.e. clicking on Add Plan Objective and adding each objective in Column 1 with supporting information in columns 2-5).

To enter progress reports for plans into the OIPES:
1. Access the OIPES website at https://10.10.0.99 (on Troy campus) and https://irpe.troy.edu (off Troy campus).
2. Enter your email ID and password to access OIPES Home Page.
3. Click on Division Plans (DP).
4. Be sure the correct span of years is showing in the 1st drop-down menu, then select your Division from the 2nd pull-down menu.
During this same academic year timeframe, data to assess student learning outcomes and expected outcomes are accumulated and entered into the PER of the PED into column (2) using Edit. For data collected over several terms, the data may be accumulated in the PER Worklog until all AY data are collected, summarized, and then entered into Column (2) of the PER.

5. Click on Details for your plan.
6. Click on Edit for the objective requiring a progress report and:
   - Click on No in column 6 if objective is not 100% complete and Yes if objective is 100% complete;
   - Click on the appropriate % Completed in column 7;
   - Click on Update near the bottom of the objective entry area to save your entries.
7. To provide progress-report comments,
   - Click on Worklog for the objective requiring comments;
   - Click on Edit Worklog and enter date, your initials, percentage complete, and comments in dialog box;
   - Click on Save Worklog at bottom of dialog box.
8. Clicking Back at the top of each screen for three times will return you to your planning objectives.
9. You should repeat items 6 through 8 until all progress reports for objectives are completed.
   (Note: In your plan, annual planning objectives have a beige background and strategic planning objectives have a light blue background)

Program Effectiveness Reports (PER) are evaluated by entering actual assessment results into Column (2) of the PER in the PED and, based on actual assessment, completing the PER for all programs annually. The Expected Outcomes and Student Learning Outcomes that are achieved [those with Yes in Column (3)] are captured in the Reports section of the PED, and the Plans for Improvement (PFI) in Column (4) for those Outcomes that are not achieved become part of the Annual Plan for the next year. The Institutional Effectiveness Committee reviews programs in the years designated below.

To evaluate the Expected Outcomes and Student Learning Outcomes in the PER:
1. Access the PED website at https://10.10.0.99/ (on Troy campus) and https://irpe.troy.edu (off Troy campus).
2. Enter your email ID and password to access PED Home Page.
3. Click on Program Effectiveness Report (PER) at the top of the screen.
4. Select the appropriate year span from the 1st pull-down menu.
5. Select your College or Division from the 2nd pull-down menu.
6. Select your program area from the 3rd pull-down menu.
7. Click on Detail to access the PER.
8. Click on Edit for each Expected Outcome and enter.
<table>
<thead>
<tr>
<th>Review Years</th>
<th>Programs to Review</th>
</tr>
</thead>
<tbody>
<tr>
<td>2009, 2012, 2015, 2018</td>
<td>Programs in the College of Health and Human Services; Programs in the College of Communication and Fine Arts; Distance Learning Programs; and Programs in the Division of Student Services</td>
</tr>
<tr>
<td>2010, 2013, 2016, 2019</td>
<td>Programs in the College of Business; Programs in the College of Education; Honors Program; and Programs in the Division of Administration</td>
</tr>
<tr>
<td>2011, 2014, 2017, 2020</td>
<td>Programs in the College of Arts and Sciences; the General Studies Program; and the Programs in the Division of Advancement and External Relations</td>
</tr>
</tbody>
</table>

The previous year’s plans (annual and strategic) are reviewed to determine that Columns (6) and (7) of Division Plans (DP) are accurately completed, and objectives that are verified to be 100% implemented are captured in the Reports section of the OIPES.

- In column (2), Actual assessment results and improvements based on assessment;
- In column (3), Achievement status Yes or No,
- In column (4), Plans For Improvement (PFI) objectives for Expected Outcomes or Student Learning Outcomes not achieved
- Cost estimates in column (5) Projected Cost to Implement PFI
- Then Click on Save Changes to Expected Outcomes

Continue step 8 until all columns 2-5 have been completed for each Expected Outcome or Student Learning Outcome.

Note: For data collected over several terms and accumulated in the PER Worklogs, summarize the accumulated data and then entered the summary information into Column (2) of the PER.

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**Phase V: June-July Report Achievements**

The PED documentation is captured (saved) and reviewed, and achievement reports are provided. Achievement reports are generated from the Reports section of the PED, and include achieved planning objectives from the Annual Plans and Strategic Plans as well as achieved Expected Outcomes from the Program Effectiveness Reports (PER). Any needed adjustments are made to the PED and its process in preparation for the next PED cycle.

All tasks outlined above are repeated each year. The IRPE staff members and Institutional Effectiveness Committee review Achievement reports, Division Plans (DP), TROY Strategic Plan, and Program Effectiveness Reports of the previous year for programs designated...
for review. Institutional Effectiveness Committee Feedback Forms with commendations and recommendations are provided to appropriate administrators who in turn provide feedback to the Institutional Effectiveness Committee in regard to recommendations. The PED process is evaluated annually, and reports of achievements and PED evaluation are provided to the Cabinet.