



# *Innovative Integration of Strategic Planning, Benchmarking, and Assessment*

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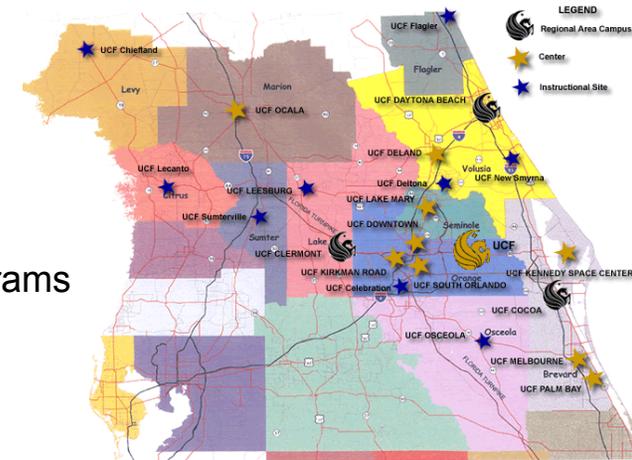


# Overview of Presentation

- concepts of integration
- models of university management
- unifying theme
- strategic planning concepts
- assessment concepts
- benchmarking concepts
- integration
- discussion

# The University of Central Florida

- established in 1963 in Orlando Florida (first classes in 1968), Metropolitan Research University
  - 34,600 undergraduates and 7,400 graduates
  - 21 instructional sites in regional campus system
- doctoral intensive
  - 76 Bachelors, 62 Masters, 3 Specialist, and 20 PhD programs
- second largest undergraduate enrollment in state
  - projected largest undergraduate enrollment in 2005
- approximately 1,100+ faculty and 2,800 staff
- six colleges and two schools
  - Arts and Sciences, Business Administration, Education, Engineering and Computer Science, Health and Public Affairs, Honors, Optics, and Hospitality Management



# What is Integration?

- **integrate** v. 1. To make into a whole by bringing all parts together; unify. 2. a. To join with something else; unite. b. To make part of a larger unit. (American Heritage Dictionary, 1996)
- what is the purpose of integration?
- what happens when the parts come together?
- why should strategic planning, benchmarking, and assessment be integrated?
- does the organization of a university affect the objectives or practice of integration of \_\_\_\_\_?

# Management Models

- university model
  - centralized
    - planning, programs, facilities, budgeting
  - works well for smaller institutions
- strong college model
  - decentralized
    - planning, programs, budgeting
  - works well for larger institutions



# Organization Implications

- university model
  - tighter controls on activities
  - focused accountability
  - explicit relationships
  - strong linkage to budget
- strong college model
  - flexibility in activities
  - ambiguous accountability
  - implicit relationships
  - budget connections are less direct



# Challenges to Integrating \_\_\_\_\_

- university model
  - requires comprehensive examination of institution as a system
  - requires explicit understanding of interactions among activities
  - requires method for prescribing actions
- strong college model
  - requires clear understanding of vision
  - requires strong leadership at lower levels
  - requires clear understanding of purpose—unifying theme
  - may require multiple methods

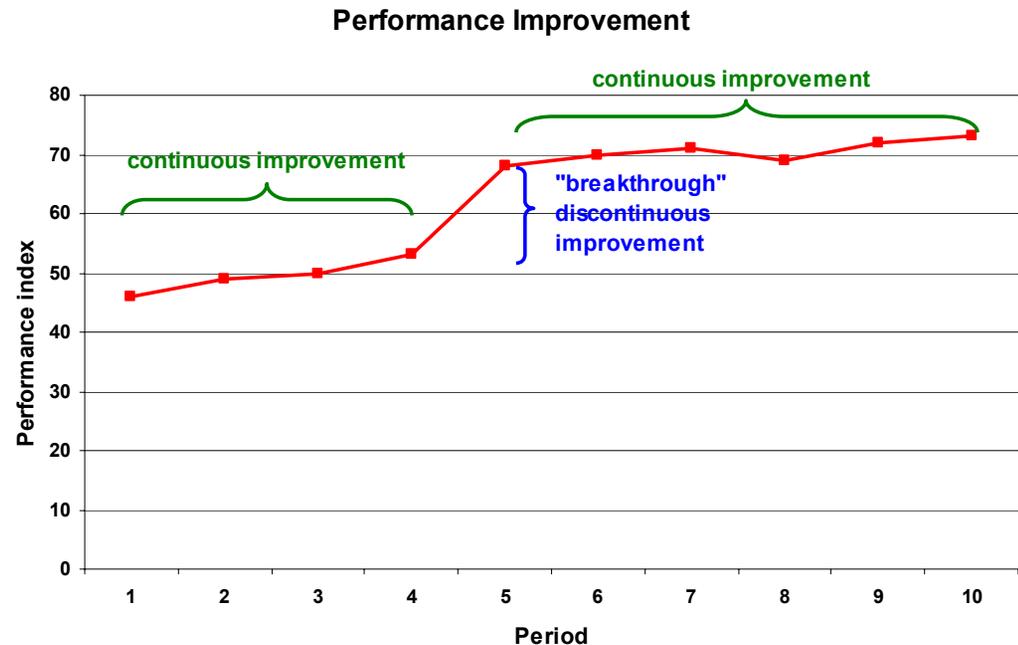


# Unifying Theme—Improvement

- strategic vision—where we want to be
  - assumption: destination is “better” than current place
  - IMPROVEMENT is required
- types of improvement
  - continuous—incremental
  - discontinuous—breakthrough

# Opportunities for Improvement

- strategic planning
  - define vision
  - define breakthrough initiatives
- program assessment
  - ongoing review
  - focus on continuous improvement
- benchmarking
  - asymmetrical review
  - focus on breakthrough opportunities



**embed integrative approaches**



# Creating the Vision

- driven by strategic planning

# What is “Strategic?”

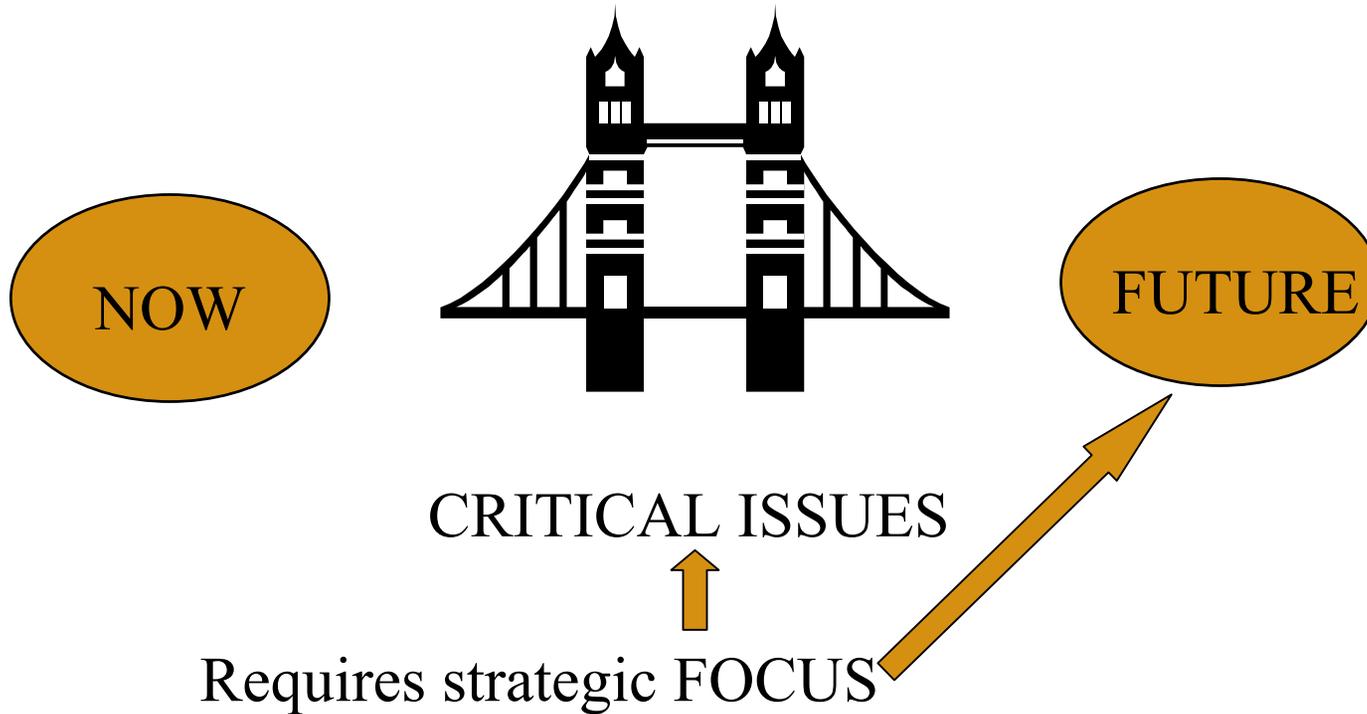
- type of thinking to shape and clarify the desired future profile of the university
  - expressed in the **vision** and **goals**
- elements of strategic thinking
  - evaluating strategic contribution of programs and units
  - identifying new strategic opportunities
  - determining areas to target for strategic emphasis



# What is Strategic Planning?

- disciplined effort to produce fundamental decisions and actions that shape and guide
  - what the university is,
  - what the university does,
  - why the university does it, and
  - what the university must do to realize its vision
- strategy
  - means by which a university intends to accomplish a goal or objective
  - summarizes a pattern **across** policies, programs, projects, actions, decisions, and resource allocations
- active effort conducted periodically

# Strategic Thinking



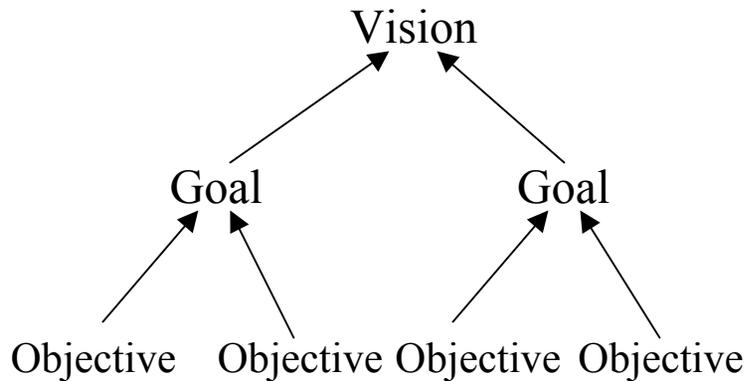


# Common Terms

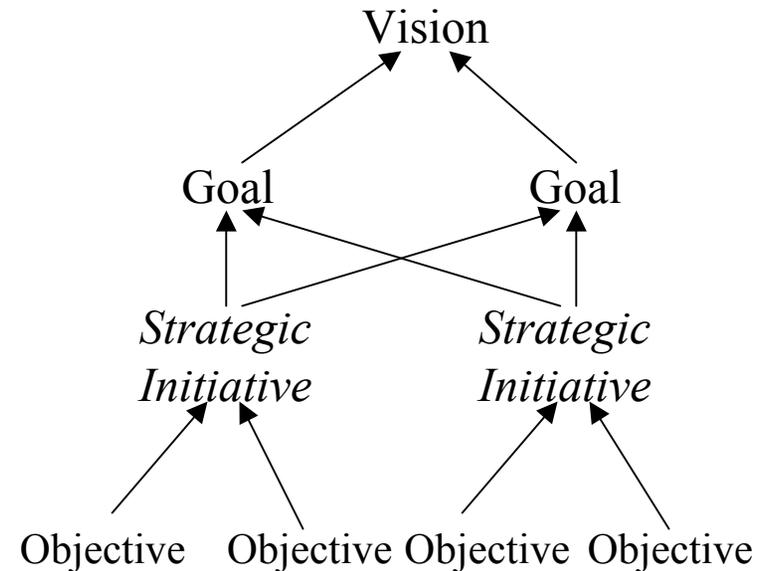
- mission
  - statement of organizational purpose--typically short
- vision
  - description of what the university will look like if it succeeds in implementing its strategies and achieves its full potential--*vision of success--inspirational*
- values
  - description of the code of behavior to which the university adheres or aspires
- goal
  - long-term target or direction of development. Provides basis for priorities and resource allocation. Meeting your strategic goals means that you have achieved your vision.

# Traditional vs. Integrative Approach

## Traditional (stovepipe)



## Integrative Approach (facilitative)





# Integrative Terms

- needed for synthesis to avoid stovepipe approach
- strategic Initiative
  - area of focus of effort that will make major contributions to achieving one or more goals
  - strategic initiatives are supported by objectives with measurable targets (amount and time)
- objective
  - measurable target met on the way to achieving a strategic initiative
- action
  - specific measurable activity that supports an objective



# Keeping a *Strategic* Focus

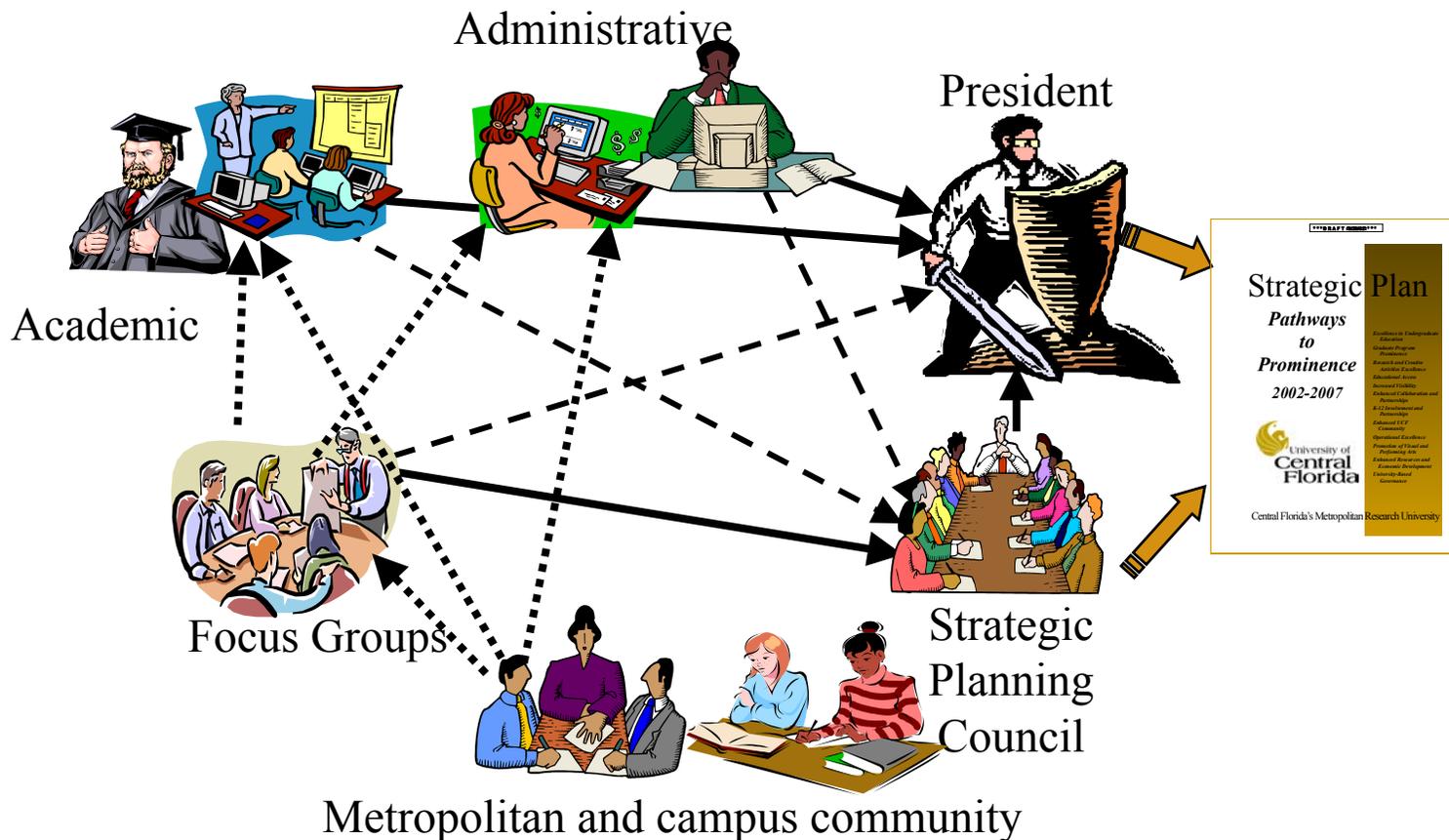
- Why do it?
  - proactive orientation to controlling own destiny
  - identify key strategies to **breakthrough** improvement
    - assessment focuses on *continuous* improvement
  - provide driver for short term plans and resource allocation
- challenges: keeping a long term focus
  - may be seen as substitute for management review
    - evaluate operation and programs
  - everyone wants to be in the strategic plan
    - not the place for routine (but important) elements
- How to do it? –PROCESS and STRUCTURE are key



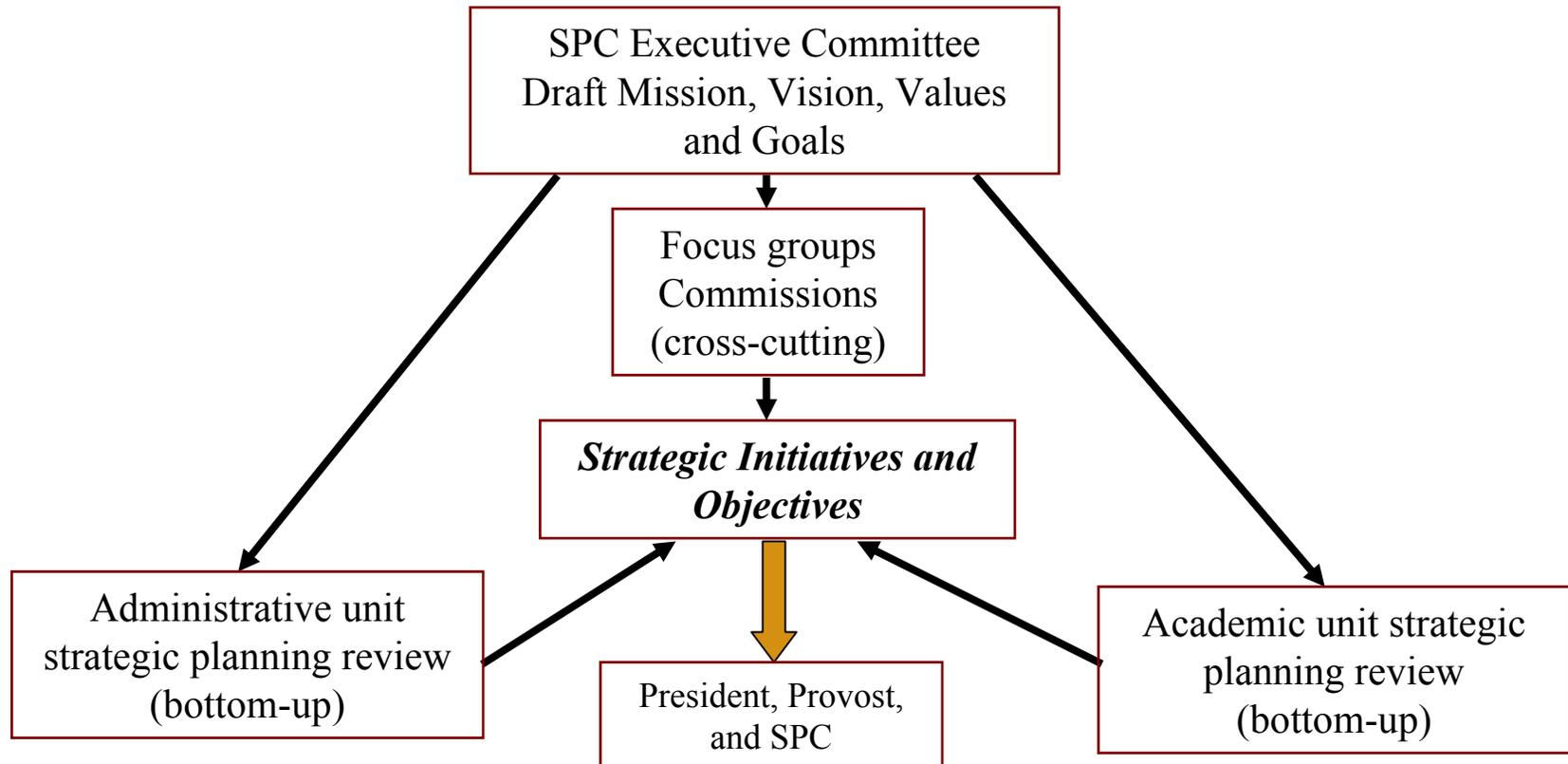
# Integrative Strategic Planning Process

- use existing plan as baseline
- high level coordinating council—provide leadership
  - university committee (faculty senate)
  - revise mission, values, vision
- complete using a dual approach (broad-based input)
  - unit strategic planning reviews—bottom up
  - focus groups—cross-cutting (initiated top down)
- identify ***strategic initiatives***
- key question: is it strategic?
  - Will this help the university take the big step forward to becoming the (object of the vision)?

# Strategic Planning Process



# Strategic Plan Development Process



Note: President, Provost, and SPC leadership feedback provided at interim steps

# Focus Groups

- identify key issues, problems, and opportunities associated with designated area
- representative focus group areas:
  - quality of undergraduate education
  - quality of graduate education
  - research
  - international
  - partnerships and external influences
  - diversity
  - operational excellence
  - interdisciplinary
  - technology
  - creative activities



# Integrative Strategic Planning Reviews

- focus on *STRATEGIC—vision and goals*
  - evaluate strategic contribution of programs and units
  - identify new strategic opportunities
  - determine areas to target for strategic emphasis
- process
  - involve both academic and administrative units
  - based on evaluations of unit self-studies
  - primarily use existing data and documents
  - college or division review of departments and units—integrative
- template
  - unit description
  - strategic review (SWOT)
  - strategic initiative recommendations



# Synthesis—Finding Strategic Initiatives

- coordinating council and key administrators
- identify “strategic” initiatives
  - directions (pathways) to vision
- keep “strategic” focus
- key question: is it strategic?
  - Will this help the university take the big step forward to becoming the (object of the vision)?



# Synthesis—Implementation

- coordinating council and key administrators
- create *objectives*
  - support particular strategic initiative
  - focus group content
  - academic and administrative strategic review content
  - guard against tendency to create operational vs. strategic objectives
- objectives should be measurable
- objectives supported by *actions*
- *How do strategic actions relate to operational improvement?*



# Integration

- implicit through broad-based development of objectives and actions
- foundation for unit actions



# Continuous Improvement

- driven by program assessment



# What is “Assessment” in Higher Education?

- **assess** student learning
- **assess** student development
- classroom **assessment**
- **assess** the quality of programs
- **assess** the quality of support services
- **assess** university or college performance

For What Purpose?

# Definition of Assessment????

- dictionary definition: **assessment** is the act of **assessing**; **appraisal**; **evaluation** (Webster)
  - to **assess** is to estimate or **judge** the value, character of, etc.; **evaluate**
  - to **appraise** is to estimate the nature, quality, importance
  - to **evaluate** is to **judge** or determine the significance, worth, or quality of
- BUT, dictionary definition has too many interpretations for program assessment



# Evaluation Concepts

- **summative**—for making decisions about resources, people, institutions
  - accountability
  - performance evaluations
  - program review
- **formative**—for better understanding and **improvement**
  - institutional effectiveness (SACS)
  - student learning
  - program review



# Clearly Separate Formative from Summative Uses

- if assessment is being used for improvement purposes
  - do not use the assessment measure targets to judge or grade the quality of the program or operation
  - do not punish programs for not making their targets
  - provide rewards for having an excellent **assessment PROCESS**
  - provide rewards for conducting assessments and using the results to improve
- use different terms to distinguish
  - assessment (and institutional effectiveness) = formative evaluation
  - accountability and evaluation = summative evaluation

# Assessment is Part of an Overall Planning and Evaluation Process



## linkages

- share data and information
- inform budget process

## differences

- different cycles
- additional data elements
- different purposes
  - continuous improvement
  - evaluation
  - planning

# What Do We Mean by Program Assessment?

- it is a formative evaluation process designed to support program improvement
- it is continuous



- it is focused on improvement
  - student learning
  - student development
  - the institution and its people



# Why Do It?

- external drivers
  - regional and program-level accreditation criteria
    - documentation that you have established an effective assessment process that leads to continuous improvement
  - Baldrige Award
- internal drivers
  - good management
  - quality motivation
  - knowing where you are
  - knowing where you have been
  - knowing what is possible and how to get there



# Institutional Effectiveness Program Assessment

- focuses on continuous quality improvement
  - academic programs
  - administrative support units
- examines students learning outcomes, program outcomes, customer satisfaction, and unit performance to identify areas to improve
- leads to actions
- conducted annually



# SACS Reaffirmation

- *Principles of Accreditation*
  - focus on quality enhancement
  - core requirements
  - comprehensive standards
  - Title IV programs
- institutional effectiveness (IE)
  - “The institution engages 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 5*)
  - “The institution identifies expected outcomes for its educational programs and its administrative and educational support services; assesses whether it achieves these outcomes; and provides evidence of improvement based on analysis of those results.” (*Comprehensive Standard 16*)



# What Programs Within the Institution Should Do It?

- educational programs should conduct formative assessments of student learning and of research and service
  - all levels: Associate, Bachelor, Master's, Doctoral
  - all disciplines and special programs (e.g., General Education)
- administrative and educational support services should conduct formative assessment of their operations, processes, and programs
  - admissions, student support offices, administrative support offices, budget offices, computer technology support office, institutional research



# Integrative Program Assessment System

- management objectives for assessment system
- process design: content, focus, and mechanics of the program assessment process
- quality assurance (QA) process
- schedules and timelines for program assessment
- support and documentation



# Mechanics of Assessment

- assessment is a continuous improvement process
- to improve, you need to know where you are today and where you would like to go
  - mission (purpose)
  - vision (where you would like to go)
  - goals (steps to getting where you would like to be)
  - objectives (what you need to achieve in order to get there)
  - measures (how well you are currently doing)
- to improve, you need to take action
  - analyze your program or operations to determine changes
  - plan the changes
  - take action



# Design to “Close the Loop”

- common characteristics of assessment models to close the loop
  - develop assessment plan and measures for future period
  - collect data and analyze to produce “results” for previous period
  - use results to determine what needs to be improved
  - make changes and measure the effects in a future period
- need to distinguish between the assessment planning phase and the assessment results phase

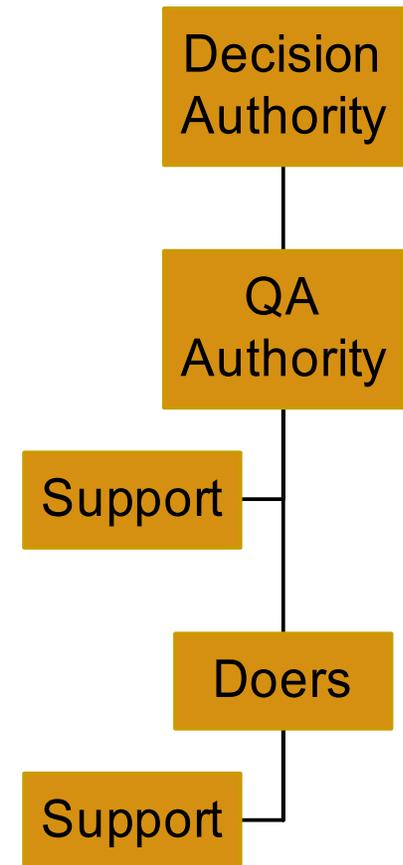


# Quality Assurance of the Assessment Process

- quality assurance (QA) is needed to ensure that the units and programs are following the process and doing it well
- QA may provide one or more of the following
  - leadership of the assessment effort
  - management of the assessment process
  - monitoring function
  - feedback loop to improve the process
  - training
  - support
  - consultations

# Organizational Elements

- decision authority
  - authorizes the process
- quality assurance authority
  - monitors process
  - recommends process, cycle, and schedule
- doers
  - conduct assessment
  - document
- support
  - for doers
  - for quality assurance function



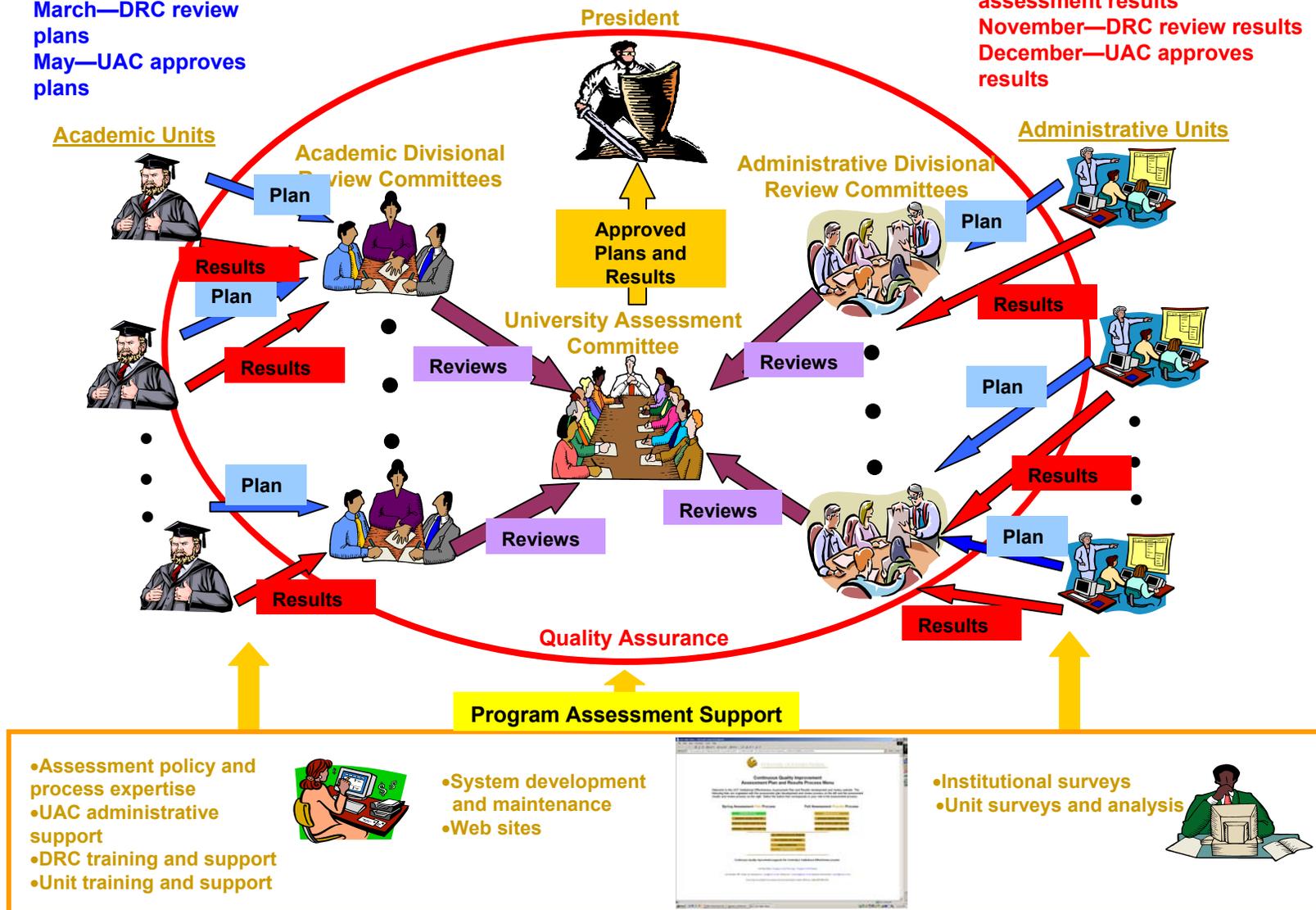
## CONTINUOUS QUALITY IMPROVEMENT PROGRAM ASSESSMENT SYSTEM

### SPRING

February—units submit assessment plans  
 March—DRC review plans  
 May—UAC approves plans

### FALL

October—units submit assessment results  
 November—DRC review results  
 December—UAC approves results





# Parallel Schedule for Conducting Annual Assessment

- in any given year (three activities in parallel)
  - develop assessment **plan** for **next year**
  - **measure** and analyze the results for the **current year**
    - The measures document the impact of the changes made the **prior year(s)**
  - **act** on the results from a **prior year** and implement changes
- it is important to close the loop
  - use the results of assessment to implement changes
  - then measure impact of changes to affect your next plan
- submission and review schedule
  - annual
    - plan for next year and results from past year submitted and reviewed together
  - semi-annual
    - two separate submissions and reviews
    - review of results informs plan preparation



# Support for Assessment

- assessment process and methods expertise
- training
  - unit and program level
  - divisional and university committees conducting QA
- consultations
  - developing mission, objectives, and measures
- survey design and analysis
  - program and unit-level data
  - easy and timely access to results
- technical support
  - web-enabled databases
  - documentation archiving

# WEB Assessment Plan and Results

CQI Main Menu - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Home Search Favorites History

Address C:\Documents and Settings\user\My Documents\UAPS -\Conferences\AIR\_2003\Assessment Workshop\asee\_conference\default\_march5.htm

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## Continuous Quality Improvement Assessment Plan and Results Process Menu

Welcome to the UCF Institutional Effectiveness Assessment Plan and Results development and review website. The following links are organized with the assessment plan development and review process on the left and the assessment results and review process on the right. Select the button that corresponds to your role in the assessment process.

### Spring Assessment *Plan* Process

[PROGRAM OR UNIT](#)

[DIVISIONAL REVIEW COMMITTEE](#)

[DIVISIONAL REVIEW COMMITTEE CHAIR](#)

[UNIVERSITY ASSESSMENT COMMITTEE](#)

### Fall Assessment *Results* Process

[PROGRAM OR UNIT](#)

[DIVISIONAL REVIEW COMMITTEE](#)

[DIVISIONAL REVIEW COMMITTEE CHAIR](#)

[UNIVERSITY ASSESSMENT COMMITTEE](#)

[UAC ADMINISTRATIVE UNIT MEMBERS](#)

[UAC ACADEMIC UNIT MEMBERS](#)

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*Continuous Quality Improvement supports the University's Institutional Effectiveness process.*

CQI Main Menu | [Program or Unit Plan Login](#) | [Program or Unit Results](#)

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# Integration

- fostered through development of program or unit mission consistent with strategic vision
- continuous review requires consistent focus on mission and vision



# Breakthrough Improvement

- driven by benchmarking initiatives



# What is Benchmarking?

- **benchmark** n. 1. A standard by which something can be measured or judged. 2. Often bench mark. A surveyors mark made on a stationary object of previously determined position and elevation and used as a reference point in tidal observations and surveys. --**benchmark** tr.v. To measure (a rival's product) according to specified standards in order to compare it with and improve one's own product. (American Heritage Dictionary, 1996)

# What is Benchmarking?

- the continuous process of measuring our products, services and business practices against the toughest competitors or those companies recognized as industry leaders (Xerox Corp.)
- a basis for establishing rational performance goals through the search for industry best practices that will lead to superior performance (Camp, 1989)



# What is Benchmarking?

- “benchmarking involves
  - first examining and understanding your own internal work procedures,
  - then searching for "best practices" in other organizations that match those you identified, and finally,
  - adapting those practices within your organization to improve performance. It is, at bottom, a systematic way of learning from others and changing what you do.” (Epper, 1999)
- process for identifying gaps so that you can improve
- not about performance measurement or rankings
  - although measures are used



# Approaches to Benchmarking

- problem-based
  - when a problem comes up, you focus a benchmarking effort on the problem
- process-based
  - focuses on the vital (few) business processes
    - survey support
    - process analysis support
    - assessment support
  - accepted as correct approach (Camp, 1995)

# Types of Benchmarking

- competitive benchmarking
  - benchmarking against competitors
- functional benchmarking
  - benchmark against “best in class” in the operation or process of interest
- performance benchmarking
  - process for identifying benchmarks and identifying stretch targets
- strategic benchmarking
  - process used for identifying world class standards, determining gaps in competitiveness, developing strategies, and remaining focused and aware of developments

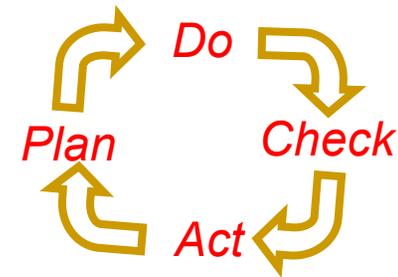


# Related, But Not Benchmarking

- comparative analysis
  - requires identification of comparables for whatever objective one has in mind, but not generally for improvement purposes
- key performance indicators (KPI)
- accountability measures
- institutional characteristics

# Integrative Benchmarking Process

- plan
  - functions or processes to benchmark
  - benchmark measures (key performance variables)
  - who to benchmark (best-in-class, partner)
- collect data
  - acquire data, observe
- analyze data
  - identify actions to close gap
- adapt for improvement
  - specify improvement programs and actions
  - implement plans





# Approaches

- lone ranger
  - third party data
  - inference
- partner
  - win-win
  - mutual exchange on best-in-class processes
  - data exchanges and visits
- consortium
  - participant
  - observer
  - requires significant effort



# What Do We Want Benchmarking to Mean for Programs?

- process improvement
  - process benchmarking—comparison against “best-in-class” for a specified process
    - external—admissions process
    - internal—departmental advising practices
- comparative analysis
  - curiosity, potentially leading toward process improvement
  - competitive benchmarking—how are we doing relative to our “competitors”? (e.g., Florida schools admitting National Merit Scholars)
  - best-in-class benchmarking—how are we doing relative to a specified class of comparable institutions? (e.g., Metropolitan Research Universities)
  - world-class benchmarking—how do we rank among the best universities?



# Practical Questions

- what do I measure (benchmark)?
  - who do I compare to?
  - what process should I use?
  - where do I get data?
- 
- *answer:* it depends on what you want to accomplish



# How To Get the Data?

## Benchmark Data Request Form University of Central Florida

templates:

UCF Program: \_\_\_\_\_

Benchmark Program: \_\_\_\_\_

Benchmark Institution: \_\_\_\_\_

Contact Name: \_\_\_\_\_

Contact Email: \_\_\_\_\_

The University of Central Florida is conducting a benchmarking study in order to compare some of its programs to other programs that are considered to be among the best in the nation. We are requesting your assistance in completing our study. **Please provide the information requested below from the most recent 12-month reporting period at your institution. The student data should come from fall 2001 only. Define your reporting period by specifying your inclusive dates in the space provided below (e.g., 1 July 2001-30 June 2002).** After completing this form, please return it by email to XXXX. Your assistance in this regard is greatly appreciated.

Reporting Period: \_\_\_\_\_

Benchmark Characteristics Criterion Measures	Data Report
<b>Faculty Characteristics</b>	
Number of tenured and tenure earning faculty in your program	
No. of society Fellows among your program faculty	
No. of national awards received by your program faculty	
No. of peer reviewed publications by your program faculty appearing in print in the period	
No. of program faculty publishing peer reviewed publications in the period	
No. of program faculty receiving external funding (as PI or Co-PI) in the period	
Total amount of external research funding received by your program faculty in the period	
Total amount of federal research funding received by your program faculty in the period	

# How To Organize The Data?

## UCF Program:

Criterion Measures	UCF	Benchmarks: Selected Top Institutions						Benchmarks: Selected Peer Institutions			
		University of Illinois	Georgia Tech	George Mason	Ohio State	University Cincinnati	Average Top	Wright State	N. Carolina State Univ	New Mexico State Univ	Average Peer
<b><u>Faculty Characteristics</u></b>											
Number of Faculty							#DIV/0!				#DIV/0!
No. Society Fellows							#DIV/0!				#DIV/0!
No. National Awards							#DIV/0!				#DIV/0!
No. of Publications							#DIV/0!				#DIV/0!
Publications per Faculty	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!
No. of Faculty Publishing							#DIV/0!				#DIV/0!
% of Faculty Publishing	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!
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Amount of External Funding							#DIV/0!				#DIV/0!
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Amount of Federal Funding							#DIV/0!				#DIV/0!



# Comparison Methods

- looking at summary data to develop impressions of where programs “ranked”
- dominance ranking
  - primary method used
- data envelopment analysis (DEA)
- hierarchical “weight and rate” approach



# Integration

- asymmetrical activity
- explicit integration with ongoing program assessment
  - considers additional factors
- mandated in program review



# Integrative Program and Unit Reviews

- comprehensive evaluation of a program or unit
  - conducted periodically (every 5 to 7 years)
- uses information and data from multiple years
  - provides longitudinal view—integrative over time
- requires mission, vision, and goals of program or unit
  - checks alignment with university mission and goals
- requires evaluation of demand, quality, centrality, competitive advantage, and cost
  - program assessment supports the evaluation of quality
  - benchmarking supports the evaluation of competitive advantage



# Integration Enhancers

- high level support for improvement activities
- commitment to strategic vision
- facilitated program assessment process
- support for benchmarking initiatives
- emphasize interrelationships



# Discussion and Questions



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