CARLOS ALBIZU UNIVERSITY
BOARD OF TRUSTEES

Policy No.**CAAE-02-2013-2014**	Fiscal Year: **2013-2014**	Source: **Academic and Students' Affairs Committee**
Title: **Assessment of Institutional Effectiveness Policy**		
Date endorsed by the committee: **February 19, 2014**		
Date approved by the Board of Trustees: **April 29, 2014**		
Board Secretary Signature: Mr. Gualberto Rodríguez		

1.0 DEFINITION AND PURPOSE

According to the Middle States Commission on Higher Education in their Publication Characteristics of Excellence, Standard 7: Institutional Assessment (Rev. Ed. 2008):

…the effectiveness of an institution rests upon the contribution that each of the institution's programs and services makes toward achieving the goals of the institution as a whole. This includes periodic assessment of effectiveness as one of its fundamental elements. This ties together those assessments into an integrated whole to answer the question, "As an institutional community, how well are we collectively doing what we say we are doing?" The institution is responsible for determining its expected goals and the objectives or strategies for achieving them at each level (institutional and unit), assessment approaches and methodologies, sequence, and time frame. These may vary, based on the mission, goals, organization, and resources of the institution. Whatever the approach, an effective assessment process should be useful, cost-effective, reasonably accurate and truthful, carefully planned, and organized, systematic, and sustained. A commitment to the assessment of institutional effectiveness requires a parallel commitment to ensuring its use. Assessment information, derived in a manner appropriate to the institution and to its desired outcomes, should be available to and used by those who develop institutional goals and carry out strategies to achieve them. Institutions should use the results of assessment for institutional renewal: to maintain, support, and improve its programs and services. Assessment information should be used as a basis for assessing the institution's effectiveness in achieving its stated goals, for monitoring and improving the environment for student learning, and for enhancing overall student success; to these ends, it should be linked to the institution's ongoing planning and resource allocation processes. Assessment results also should be used to evaluate the assessment process itself, leading to modifications that improve its relevance and effectiveness *(p.25)*.

2.0 INDICATORS HISTORICAL BACKGROUND

Institutional effectiveness at CAU is continuously monitored by an array of mechanisms, thus, at the beginning of the spring semester of 2012 the Academic and Student Affairs Committee of the Board of Trustees officially established a set of indicators for assessing institutional effectiveness. Throughout the spring semester the list, along with the conceptual and numerical definitions, were revised by the President, the Vice Presidency of Academic and Student Affairs (VPASA), Chancellors, some service department directors and IT personnel. During the months of June through October 2012 most service department directors, from both campuses, proposed effectiveness indicators for each of their areas. As a result of this process a list of effectiveness indicators has been set to ensure the achievement of the institution's mission and goals. The indicators will be compiled every two-years, and will be used to better guide the processes of effectiveness assessment, planning, decision making, resource allocation and reallocation.

3.0 INSTITUTIONAL EFFECTIVENESS INDICATORS BY DEPARTMENT

Department	Effectiveness' Indicators[1]
Admissions	Inquiries, applications, admissions, new enrollments and fall selectivity rate, newly admitted students GPA, standardized test results (College Board, SAT, EXADEP, GRE) and results of the Student Satisfaction Survey on related matters.
Registrar	New enrollment, total enrollment, attrition, degrees conferred, and results of the Student Satisfaction Survey on related matters.
Registrar (and IT)	Retention rates, graduation rates and goal achievement rates
Registrar (and Institutional Monitor)	Fall to fall retention rate.
Academic Departments	Students data: Board Exam approval, alumni employment status and results of the Student Satisfaction Survey on related matters; students intellectual productivity (collaboration in book reviews, book chapters, books, peer reviewed articles; professional presentations in academic-professional activities, grant proposal submission and all media appearances such as newspaper articles, magazine articles, radio and TV shows) [Learning assessment data will be reported in a separate process] Faculty data: Faculty intellectual productivity (book reviews, book chapters, books, peer reviewed articles; professional presentations in academic-professional activities, grant proposal submitted and all media appearances such as newspaper articles, magazine articles, radio and TV shows)
Academic	

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[1] Definitions for some indicators are included at the end of the document.

Departments (and Internship Program)	Orientations, workshops and educational activities given by students as part of their Internship experience
Administration	Maintenance (cleaning, tune up and fixing), improvements, purchases, rentals and seizure of facilities, equipment and vehicles; statistics on types of crimes reported to the Administration department such as: • Murder • Manslaughter • Arson • Forcible sex offenses • Non-forcible sex offenses • Robbery • Aggravated assault • Burglary • Motor vehicle theft • Hate/bias crimes reported • Alcohol law violations • Controlled substances law violations • Firearms law violations and results of the Student Satisfaction Survey on related matters.
Library	Available printed information and electronic information sources (books, serial back files and other paper materials, E-books, audiovisual materials, current serial titles, electronic reference sources and aggregation services); Library services (Interlibrary loans and documents provided to other libraries, interlibrary loans and documents received from other libraries, gate count, reference transactions and number of service hours; workshops, instructional modules and other reference material created in specific topics such as: • Information literacy • Information and learning resources • Ethics and plagiarism • Oral skills in English • Written skills in English • Reading skills in English • Oral skills in Spanish • Written skills in Spanish • Reading skills in Spanish • Quantitative research approach • Qualitative research approach • Other research approaches: mixed method, action research, participatory action research, etc. and results of the Student Satisfaction Survey on related matters Visits to the Library webpage and to the Information Literacy site [to be included from academic year report, 2013-14 onwards]
Information	Total amount of

Technologies (IT)	- Computers with Internet connection for student direct use and for general use (Presidency, Chancellors, Directors, Faculty and Staff) - Software licenses for student direct use and for general use (Presidency, Chancellors, Directors, Faculty and Staff) - Intelligent/Smart Classrooms - Technology enhanced, hybrid and online courses - Workshops, instructional modules and other reference material created in specific topics such as technology literacy and the like. Results of the Student Satisfaction Survey on related matters.
Financial Aid	Students who applied for Financial Aid, received Federal Funds (FAFSA), state funds, county, district or municipality funds (ie. Beca Legislativa), a private scholarship, participated in the Work Study Program, received student loans or other kind of financial aid; uncollected and student default rate; and results of the Student Satisfaction Survey on related matters.
Human Resources	The distribution and profile (gender and academic degree level); interviews, new contracts, contract renewals and general orientations performed (individual and group); professional development activities, social activities and evaluations performed for both number of faculty and staff.
Clinics (Psych. and SLP)	Staff amount and distribution (interns, supervisors, general staff, coordinators, directors); patients served (children, youth, adults, elderly); more common conditions/situations attended; collaborative agreements. Yearly income (service provisions), interns, supervisors and clients satisfaction evaluation results [to be included from next year academic report, 2013-14 onwards]
Finances	Students-results of the Student Satisfaction Survey on related matters. Number of checks/ACH transactions by accounts Compliance with financial reports (Type of opinion on the audit report, timelines to submission of the audited statements) Outside vendors: Services requested by the institution, services paid within 30, 60 and 90 days from the first day the service was provided.

Communications, Marketing, Fundraising and Institutional Development	Institutional rankings Fund raising activity such as: • Grant opportunities identified and shared (suitable for CAU) • Proposals submitted • Proposals approved • Active external funding sources (Individuals and Organizations) • Amount of money coming from those external sources Funding destination (endowment, scholarship fund, clinics, academic and research activities other than teaching). Capital campaign for scholarship among the CAU community: Active donors and raised money. CAU Alumni (up to date), Alumni Association active members and activities with or directed to alumni Collaborative agreements (other than those with the Clinics) and strategic alliances between the Institution and different organizations. Activities, events or moments in which the Institution appeared or participated (Upper management and general personnel other than the faculty members). • Mass communication media. • Social communication media. • Outside activities of massive participation (Open Houses, Job and Study fairs, Congress, etc.). • In house publications. • In house activities (Open Houses, Job and Study fairs, Congress, etc.).

4.0 INSTITUTIONAL EFFECTIVENESS ASSESSMENT PROCESS

Institutional level

The Vice Presidency of Academic and Student Affairs (VPASA) is responsible for:

1. Establishing a general Institutional Effectiveness Assessment policy in collaboration with the Academic and Student Affairs Committee of the Board of Trustees, President, Chancellors, Departments and Academic Directors.
2. Ensuring that each campus has the necessary resources to meet the Institution expectations.
3. Coordinating with both campuses at the beginning of the Spring Semester of each academic year the data collection and data entry process for all CAU Indicators.
4. Establishing a yearly action plan and a timeline for data collection process, report writing and dissemination.
5. Designing the procedures, in collaboration with the Chancellors, IT, Departments and Academic Directors to facilitate the data collection and analysis process.
6. Assessing the strengths and needs in related matters[2], when needed, of the Committee Coordinator, members and staff.
7. Identifying potential resources (Campus, Institutional and External) when needed for Committee Coordinator, members and campus staff in related matters.
8. Providing one-to-one specialized support when needed for Committee Coordinator,

Members and Campus Staff in related matters.

9. Coordinating Professional Development activities when needed for Committee Coordinator, Members and Campus Staff in related matters.
10. Evaluating the whole assessment process at the end of the cycle.
11. Producing at the end of the cycle, a report on outcomes with the data collected. The report should include an analysis of institutional effectiveness outcomes as well as some recommendations to be included in the institution's action and strategic plans.
12. Disseminating within CAU constituencies the findings, conclusions and recommendations included in the report.
13. Coordinating, in collaboration with the University Council, institutional priorities for action, and evaluating whether resources (and which resources) need to be allocated or reallocated to improve the Institution's performance.
14. Guiding and facilitating that each campus finds and implements adequate strategies to improve its performance in all needed areas.

Campus Level

At the campus level, the Chancellor and the Vice-Chancellor for Academic Affairs are responsible for the implementation of this policy by creating a permanent Campus Effectiveness Assessment Committee, appointing the Committee Coordinator and ensuring that each department has the necessary resources to meet the Institutional expectations. The Campus Effectiveness Assessment Committee will be coordinated by the Dean of Students. It will include all the members of the Executive Committee. As its principal duty, the Committee will be in charge of data collection and data entry of institutional effectiveness assessment measures for all CAU Indicators.

This committee, guided by the Coordinator, will perform the following specific tasks:

1. Perform the campus data collection and data entry of all CAU indicators for institutional effectiveness in a timely manner.
2. Collaborate with the VPASA in assessing committee members and staff's strengths and needs in related matters when needed. This will facilitate the task completion as scheduled, and the development of a Professional Development Plan for the Committee Coordinator, the Committee members and the campus staff if needed.

Once the data entry process has been completed and validated, the findings, conclusions and recommendations of the institutional effectiveness assessment should be presented and discussed with UCA constituencies. The collaboration and support of both, the Chancellors and the Vice-Chancellor as well as all Academic Programs and Service department directors with the VPASA will be very valuable in order to find and implement adequate strategies to improve performance in those areas that need improvement, as well as to maintain and improve effectiveness.

Department Level

Each Service and Academic Department is responsible for data gathering and data entry process. To achieve that the data gathering and data entry process is performed timely and accurately is essential that all Faculty and Staff participate in the process. Once the data entry process has been completed and validated, the findings, conclusions and recommendations of the Institutional Effectiveness Assessment should be presented and discussed with UCA constituencies. The collaboration of all Staff and Faculty Members, as well as each Service and Academic Department with the Chancellors and Vice-Chancellors,

will guarantee that all stakeholders be able to agree on and implement adequate strategies to improve performance in those areas in which it might be needed.

5.0 ASSESSMENT OF INSTITUTIONAL EFFECTIVENESS INFRASTRUCTURE
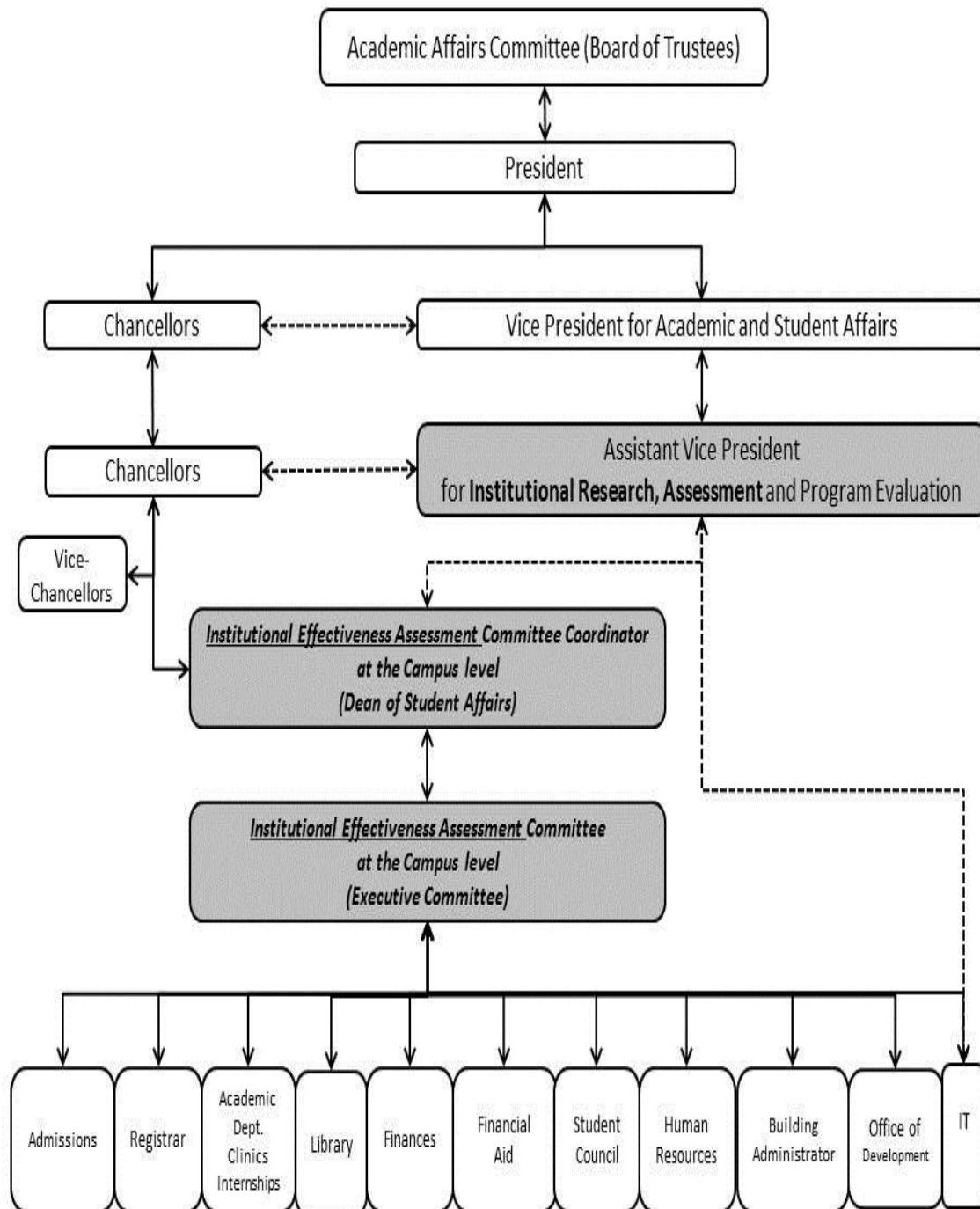
6.0 INDICATORS' DEFINITIONS

Effectiveness Indicator	Definition
Academic profile	In a given academic year, the average GPA of all new enrollments in all three

Effectiveness Indicator	Definition
for new enrollment (GPA)	academic sessions (FALL, SPRING AND SUMMER) **Comment:** *GPA from other Institution=GPA at the time of applying).*
Admissions by academic year	In a given academic year, the amount of students that were admitted by the Institution in all three academic sessions (FALL, SPRING AND SUMMER)
Applications by academic year	In a given academic year, the total amount of students that applied for admissions to the Institution in all three academic sessions (FALL, SPRING AND SUMMER)
Attrition	In a given academic year, the total of students that withdrew from all enrolled courses in all three sessions (FALL, SPRING, and SUMMER)
Board Exams approval	San Juan: In a given academic year, the Percentage of graduates that, as reported by the examining board, passed the exam at their 1st intent. Miami: the percentage of students that reported to the Institution staff or faculty they passed the exam. (This data is still not comparable between campuses).
Degrees conferred by academic year	In a given academic year, the total amount of degrees conferred by academic year in all three academic sessions (FALL, SPRING AND SUMMER)
Employers' satisfaction with alumni performance	It includes the following criteria in the Employer Satisfaction Survey, conducted in a given academic year. Ethical conduct Professional conduct Relationship with clients and staffs Capacity for self-awareness reflection and evaluation Openness to processes of supervision Commitment to life-long learning and keeping up to date on the development and advances in the field **Comment:** *A uniform process to improve data collection from all academic programs is still pending. A new data gathering tool with a base set of questions to be used by all Academic Programs is strongly recommended. Each academic Program will be able to add questions to the instrument that are specific to their information needs.*
Alumni employment	The amount of alumni who were employed or self-employed when surveyed (Alumni Survey).
Faculty productivity (intellectual production)	In a given academic year the total # of Book reviews, Book Chapters, Books, Peer Reviewed Articles; Professional Presentations in Academic-Professional Activities, Grant Proposal submitted and all media appearances (Newspaper articles, Magazine Articles, Radio and TV shows)
Fall selectivity rate	Percentage of students accepted by the Institution in the Fall term **Comment:** *The lower the % the more selective the Institution is.*
Full-time equivalency (Credit enrollment to	Enrollment Conversion from credit hours to Full time students (Academic Year). UNDERGRADUATE FTE conversion (Full time students = credit hours divided by 24 crs. =1 academic year).

Effectiveness Indicator	Definition
headcount enrollment conversion)	GRADUATE FTE conversion (Full time students = credit hours divided by 18 crs. =1 academic year)
Graduation rates by cohorts (Persistence to Degree Completion)	Cohort= total number of students who enrolled for the first time at the Institution in a specific academic year It's the percentage of students from specific cohorts who completed their degree when they were expected to (100%) [Paired data]
Internship	In a given academic year, the percentage of the total amount of students from PhD in Clinical Psychology and PsyD, who sought an internship program and were accepted (APA, APPIC, other).
Market share	It refers to the total of students enrolled in our Institution in Fall, related to the total of students enrolled in other institutions (similar programs in our same market area). For this indicator the Source is the College Navigator (IPEDS) and the search for both campuses includes aggregated data for: similar programs + bachelor + advanced + 50 miles radius.
New enrollment	Total (unduplicated) number of students that enrolled for the first time (only) at the Institution in all three academic sessions (FALL, SPRING AND SUMMER)
Projects funded with external resources	In a given academic year the: total # of all active projects funded with external resources and the dollar amount that it is contributing to the Institution budget in that specific year.
Ranking	The number/place the Institution occupies compared to other institutions
Retention rates (Fall to Fall)	First to Second Year (Fall to Fall) - In a given academic year, the number of students who enrolled in Fall of the previous year (for the first time) and came back the current year (fall to fall) [Paired data]
Social responsibility and contribution (Faculty)	It includes the amount of clients served at the clinics by year, the total general orientations given by faculty, all collaborative agreements between campuses and different organizations, all general volunteer activities, advocacy efforts and special community projects in which faculty gets involved.
Social responsibility and contribution (Students)	In a given academic year, the total number of orientations, workshops and educational activities given by students as part of their Internship experience
Student cost by Program	In a given academic year, the total amount spent by the Institution. Reflects the direct and indirect costs, as well as cash and noncash investment per student per program. **Comment:** *More precise definition still under construction*
Student goal achievement (Cohorts 2001, 2002, 2003)	Cohort= total number of students who enrolled for the first time at the Institution in a specific academic year The percentage of students from specific cohorts who completed their degree when they were expected to (100%) and did not change programs (Did they

Effectiveness Indicator	Definition
	graduated from the Program they first started?) [Paired data]
Student satisfaction with the Institution	The Percentage (%) of Students who responded "agree" and "strongly agree" in the Satisfaction questionnaire **Comment:** *Revisions to the Student Satisfaction Survey are pending.*
Student to faculty ratio	In a given academic year, the amount of students related to the amount of faculty by Academic Year (Head count and Full Time Equivalency-FTE)
Student to internet connection ratio	In a given academic year, the amount of students divided by the number of computers with Internet access for students direct use.
Student to staff ratio	In a given academic year, the number of students divided by the number of staff members.
Total enrollment	In a given academic year, the amount of total students (unduplicated: full time plus part time) that were enrolled at the Institution by each academic year.

7.0 AMMENDMENTS
This policy may be amended at any time by the Board of Trustees.