University of Pikeville

Institutional Planning
&
Evaluation Manual

INSTITUTIONAL PLANNING

AND

EVALUATION MANUAL

Revised October 2022

Table of Contents

Appendices
        A – Internal Procedures for Notification of Substantive Change Form
        B – UPIKE Strategic Plan 2022 (succinct version)
        C – University of Pikeville Statement of Mission

<div align="center">**University of Pikeville**
Institutional Planning and Evaluation Manual</div>

<u>Purpose</u>

The purpose of ongoing institutional planning and evaluation at the University of Pikeville is to improve the institution's ability to fulfill its mission. Planning and evaluation are systematic, broad-based, interrelated, research-based, and appropriate to the institution. Planning and evaluation encompass all educational programs and administrative and educational-support functions of the University. In 2009, the planning process evolved to into one that utilized three-year strategic plans develope

Director, Athletic Director, Executive Assistant to the President.

University-Wide Assessment Activities

The Director of Institutional Research and Effectiveness works with University administrators, faculty, and staff to recommend and assist in the selection, design, and administration of assessment instruments and the use of assessment results and institutional research findings in the development and revision of the University's administrative and educational support units evaluations, as well as the evaluation of educational programs at the undergraduate, graduate, and professional degree levels.

Educational Programs Assessment

Each educational unit of the institution either has (1) a curriculum map which ties learning outcomes with courses taught in the major; or (2) an assessment plan tying goals to objectives. Regardless of framework, each has multiple direct and indirect assessment methods for evaluating learning outcomes and objectives. In order to facilitate institutional planning on campus, a coordinator is assigned to each unit. Coordinators are responsible for:

1) Collaborating with colleagues in their educational unit in the development and implementation of the curriculum map or assessment plan. This includes developing student learning outcomes and selecting multiple measures (both direct and indirect) which are congruent for assessing each student learning outcome or objective.

2) Discussing the map with the division chairperson or college dean.

3) Collaborating with the Director of Institutional Research and Effectiveness to design and administer assessment instruments where appropriate.

4) Collaborating with the Director of Institutional Research and Effectiveness to compile and disseminate assessment results to faculty members in the program.

5) Preparing an annual report on the program which is submitted to the respective Division Chairperson or College Dean by December 15 to complete the "planning and assessment loop" which is supported by assessment results from the immediately preceding spring and summer terms, and the current fall term to address the following five areas:

Improvements in Student Learning: This section demonstrates how data, events, and actions which occurred during the report time period either in the classroom or out of the classroom have improved student learning specifically as they relate to the program's student learning outcomes. If improvements did not occur, suggested revisions should be provided as appropriate.

Curriculum Changes: This section includes descriptions of what changes in teaching and/ or textbooks occurred during the report time period, what addition and/or deletions of courses were approved by the Curriculum Committee, what changes in teaching and/or textbooks should occur in the next report cycle, and what additions and/or deletions of courses will be brought to Curriculum Committee in the next report cycle (Attach copies of Curriculum Change Proposals when appropriate)

Instructional Resources Needs: This section provides descriptions and rationales for resource needs during the upcoming fiscal year including, but not limited to,

library, equipment, classrooms, labs, smart rooms, and instructional technology (Budget information is included as appropriate).

Professional Development Issues: This section describes what teaching expertise is needed to improve the major as well as information from program faculty from their individual performance reports (Budget informati

Administrative and Educational Support Unit Assessment

Planning in administrative and educational-support areas involves the development of unit objectives--and in some cases educational outcomes--that describe the intended results of an administrative or educational-support activity. Planning units select multiple measures for assessing each outcome or objective. The method of assessment is stated in succinct terms followed by the criteria by which accomplishment is judged or measured. Qualitative and/or quantitative means of assessment are utilized which are selected to maximize the collection of useful data. Every December, each administrative and educational-support unit head submits an annual report that (1) determines if the unit is achieving its identified expected outcomes; (2) is supported by assessment results from the most recently ended academic/fiscal year; and (3) includes an analysis of those results that demonstrate the unit is seeking improvement

The list of administrative and educational support units submitting reports is as follows:

Development/Alumni Affairs
Public Relations
Facilities/Health and Safety
Business Office
Human Resources
Information and Technology Services
Diversity and International Student Affairs
Health and Wellness
    Public Health Nurse
    Spiritual Life
    THRIVE Counseling Center
Student Affairs
    Career & Professional Development
    Residence Life
    Center for Student Engagement
    Graduate & Health Professions
    Public Safety

Student Success
    Center for Student Success (CSS)
    ACE Program
    Disability Services
    Center for Academic Excellence
    Family and New Student Connections
Admissions
    Undergraduate
    Graduate
    Professional (KYCOM, KYCO)
Student Financial Services
University Registrar
Library Services
    Allara Library
    Medical Library
    Vision Sciences Library
Intercollegiate Athletics

Institutional Effectiveness Planning

The University planning process matured into an integrative process that brings all units together to focus on accomplishing the University's strategic plan. The President's Planning Council annually reviews the goals and objectives of the UPIKE Strategic Plan 2022. The Council develops and reviews at least annually multiple measurable strategies (ideas) that are in response to the institution's strategic plan goals and objectives. At least twice a calendar year, the President leads the discussion about the Strategic Plan in a special President's Planning Committee Meeting with notes being recorded in a Google Doc: Strategic Plan – Tracking Document from the information provided of the progress on the various strategies aligned with each of the objectives. Every fall, the President convenes the executive staff for a retreat where members the Council meet to rate how well the Strategic Plan goals were met using a 4-point rubric.

Strategic Planning

In the fall of 2016 the Board of Trustees instructed the President to develop a strategic plan for the board to approve at their spring 2017 meeting. Beginning in the early fall 2017, the President and his cabinet level leaders began laying the ground work for the development of a new strategic plan. By the time the Board convened in mid-winter, SWOT analysis and a Vision

2022 exercise were carried out across campus with several groups of stakeholders including, faculty executive committee, executive staff, and the entire body of faculty and staff.

Budget Process

The budgeting process is a year-round activity at UPIKE. The annual budget is produced over a 2 to 3 month process and involves managers at all levels. All responsible parties establish their budget requests based in part on progress of current goals and indicators and each request goes through, at least, a review by the responsible cabinet member who submits the budget request to the Business Office. The Business Office reviews all requests and aggregates all the data to establish the full budget. As necessary to produce a budget with an appropriate surplus, the Business Office meets with budget managers to discuss adjustments. Drafts of the full budget will be analyzed and discussed at various cabinet meetings and adjustments made when necessary. Ultimately, the budget report will be submitted to the Business Affairs and Executive committees of the Board and, then, to the full Board of Trustees for approval.

At least quarterly, budget to actual reports are produced in order to evaluate progress and to inform management and the Board of Trustees whether adjustments are necessary to meet budget expectations.

Facilities Planning

The purpose of facilities planning is to improve and expand the institution's infrastructure and capital. The goals of the facilities planning process are to identify institutional units whose operations require additional space; identify existing buildings requiring renovation and/or upgrading; assess the equipment requirements of institutional units; and determine the need and implement plans for the construction of new facilities. UPIKE's last master plan was completed in the 1980s.

Updating the master plan was one of the items that came out as a strong recommendation from the strategic planning process. At their February 2018 meeting, the board of trustees authorized the executive committee to approve one of the two finalist architectural firms to engage with the campus on a new campus master plan; CREDO's architectural firm was selected. In January 2019, the Board of Trustees approved the scenario presented by CREDO.

x **Competition for Students and Resources**
- x Identification of competitors.
- x Assessment of the goals, outcomes/objectives, programs, strengths, and weaknesses of competitors.
- x Measurement of responses to the institution's programs and objectives.
- x Identification of donors to the University of Pikeville.

x **Governmental, Political, and Legal Factors**
- x Assessment of federal, state, and local governments.
- x Review of the effects of current and proposed changes in tax laws and student financial aid practices.
- x Consideration of the potential impact on the institution of elected officials and the resulting effect on regional economic and educational opportunities.

x **Customers**

Students
- x Study of the University of Pikeville recruitment area and its overlap with the recruitment areas of other institutions.
- x Identification of student characteristics and goals.
- x Assessment of student financial resources.
- x Assessment of present and future student educational preparation.

Employers
- x Identification of employers of the University of Pikeville students.
- x Assessment of work force needs for present and future.

x

x Analysis of the potential impact on the institution of such factors as availability of roads, construction patterns, industrial development, and available service organizations and institutions.

Internal Factors and

Data Requests

The Office of Institutional Research and Effectiveness maintains a campus-wide, undisputed database of pertinent internal and external data to support institutional decision-making in the planning and evaluation process. Distribution of data of a sensitive or confidential nature should be cleared through the President or the appropriate member of his Cabinet.

Date: 11/26/2016
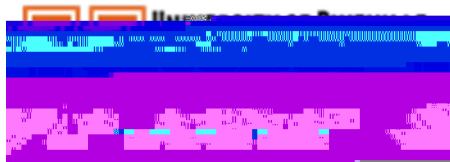
Substantive Change Policy and Procedure
Southern Association of Colleges and Schools
Commission on Colleges (SACSCOC)

Introduction
The University of Pikeville is accredited by the Southern Association of Colleges and Schools
Commission on Colleges (SACSCOC) and complies with the Substantive Change for
SACSCOC Accredited Institutions Policy Statement, requiring the University to report all
substantive changes accurately and efficiently to the Commission. The purpose of this policy is
to provide a description of University process and procedures for any intended substantive
change. Examples of substantive changes include, but are not limited to, offering coursework at
an off-campus location, terminating an academic degree program, or initiating programs or
courses offered through contractual agreement or consortium.

The University of Pikeville is proactive in ensuring all incidences of substantive changes be
reported in a timely manner as required by Southern Association of Colleges and Schools
Commission on Colleges (SACSCOC). The complete SACSCOC Substantive Change guidelines
can be found online at: http://www.sacscoc.org/SubstantiveChange.asp

Statement of Policy
The purpose of this policy is to establish the requirements and processes necessary to ensure
timely coordination and notification of substantive changes involving University of Pikeville to
the university's regional accrediting body, the Southern Association of Colleges and Schools
Commission on Colleges (SACSCOC). To ensure compliance with SACSCOC requirements, the
University of Pikeville has a program proposal process in place, consisting of criteria for
proposals, approval protocols, and assessment of new and existing programs determining the
need for the proposed changes for any program change, whether revised or new.

In order to meet the commitment undertaken by virtue of its membership in SACSCOC and its
reaffirmation of accreditation, it is the policy of the university to demonstrate continuing
compliance with the Principles of Accreditation: Foundations for Quality Enhancement by
adhering to all standards, requirements, policies, and procedures associated with the SACSCOC
Policy for Substantive Changes for Accredited Institutions.

Procedures
Henceforth, the following procedures are to be followed any time the institution is applying for
or contemplating a Substantive Change:

Step III:

A Reference on the Types of Substantive Change

Reporting the Various Types of Substantive Change

The different types of substant

Types of Change	Procedure or Policy	Prior Notification Required	Prior Approval Required	Documentation and Time Frame for Contacting SACSCOC

Types of Change	Procedure or Policy	Prior

Types of Change	Procedure or Policy	Prior Notification Required	Prior Approval Required	Documentation and Time Frame for Contacting SACSCOC
Initiating distance learning by offering 25-49 of the first program for the first time				
Closing a program, approved off-campus site, branch campus, or institution where the institution plans to teach out its own students	Procedure 3	Yes	Yes	Description of teach-out plan included with letter of notification
Closing a program, approved off-campus site, branch campus, or institution where the institution plans contracts with another institution(s) to teach-out students (Teachout Agreement)	Procedure 3	Yes	Yes	Description of teach-out plan, copy of signed teach-out agreement(s) detailing terms included with notification
Initiating a certificate program at employer's request and on short notice using existing approved courses and location				
Initiating certificate program (not at employer's request and not on short notice) using existing approved courses and location	NA	No	No	NA

Appendix A
Internal Procedures for Notification of Substantive Change Form
Southern Association of Colleges and Schools
Commission on Colleges (SACSCOC)

_____   _____   _____

UNIVERSITY OF PIKEVILLE STATEMENT OF MISSION

The University of Pikeville is the leading higher education institution of Central Appalachia. Founded in 1889, UPIKE remains steadfast in our commitment to preparing students for the future while creating intellectual, cultural, and economic opportunities for Appalachia. Maintaining our commitment to Christian principles, UPIKE recognizes the infinite worth of each person, respecting a variety of religious expressions.

UPIKE achieves its mission by:
- Creating a pathway to higher education for all students who desire to embark upon that journey and attracting and retaining high caliber students who will be future regional, national, and global leaders.
- Preparing graduates through quality academic programs, grounded in the liberal arts, and through involvement in community service, experiential learning, research, athletics, humanitarian efforts, and global outreach.
- Achieving academic excellence by maintaining academic rigor and relevancy in undergraduate, graduate, and professional degree programs.
- Attracting and retaining distinguished faculty, staff, administrators, trustees, and alumni who are dedicated to meeting the individual needs of students, promoting a caring and supportive environment conducive to learning, and meeting the needs of an evolving University; and
- Providing superior infrastructure with state-of-the-art classrooms, clinics, instructional materials, physical facilities, technological infrastructure and campus amenities through sound fiscal policy and efficient and effective administrative services.