

# Pikeville College



## Institutional Planning & Evaluation Manual



**INSTITUTIONAL PLANNING  
AND  
EVALUATION MANUAL**

**Revised August 2009**



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## **Pikeville College Institutional Planning and Evaluation Manual**

### **Purpose**

The purpose of institutional planning and evaluation at Pikeville College is to improve the College's ability to fulfill its mission through the achievement of its institutional goals, educational outcomes, and administrative and support-services objectives. Planning and evaluation are systematic, broad-based, interrelated, and appropriate to the institution and encompass all educational programs and administrative and educational-support functions of the College. From 1997 to 2008, planning included both institutional effectiveness annual reports and long-range plans that incorporated fiscal and facilities planning as means for the accomplishment of institutional goals. Beginning in 2009, the planning process evolved to more effectively monitor and improve institutional goals and unit objectives by utilizing strategic plans developed by all College units while maintaining comprehensive assessment of learning outcomes by all educational programs (See Appendix A).

### **Elements of Planning**

The College includes the following four components in its planning and evaluation process:

- Establishment of a clearly defined purpose/mission appropriate to higher education as approved by the Board of Trustees of Pikeville College in May of 1998 (See Appendix B).
- Formulation of institutional goals consistent with the purpose/mission of the institution (See Appendix C).
- Development of measurable outcomes with Key Performance Indicators (KPI) that incorporate fiscal and facilities planning.
- Utilization of curriculum maps and evaluation of results from multiple assessment methods to improve educational programs.

### **President's Planning Council**

The President's Planning Council meets annually to discuss and endorse planning activities and to provide assistance and guidance to the President of the College in establishing priorities for fulfillment of the institution's mission. The membership of the Planning Council consists of the President and members of the President's Executive Staff: the Vice-President of Academic Affairs/Dean of the College, the Vice-President and Dean of the School of Osteopathic Medicine, the Vice-President for Finance and Business Affairs, the Vice-President of Student Services/Dean of Students, the Vice President for Enrollment Management, the Assistant Vice President for Development, the Assistant Vice President for Marketing, the Athletic Director, and the Director of Institutional Research and Effectiveness, and the Executive Assistant to the President.

### **College-Wide Assessment Activities**

The Director of Institutional Research and Effectiveness works with College 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 strategic plans and educational program evaluation.

### **Assessment of Educational Programs**

Each educational unit of the College has a curriculum map which ties learning outcomes with courses taught in the major and has multiple assessment methods for evaluating these learning outcomes. 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. This includes developing student learning outcomes and selecting multiple measures (both direct and indirect) which are congruent for assessing each student learning outcome.
- 2) Discussing the map with the division chairperson.
- 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 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 four 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 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 information is included as appropriate.

A list of educational units is as follows:

Undergraduate Programs  
Division of Business and Economics  
Business

Division of Education  
Education

Division of Humanities  
Art  
Communication  
English  
Religion

Division of Math/Science  
Biology  
Chemistry  
Computer Science  
Mathematics

Division of Nursing  
Nursing

Division of Social Sciences  
Criminal Justice  
History  
History/Political Science  
Psychology  
Social Work  
Sociology

School of Osteopathic Medicine Programs  
Basic Sciences  
Clinical Sciences

### **General Education Assessment**

The General Education Committee is charged with evaluating and improving the College's General Education Program. The Committee is the driving force for the continuous improvement of the program. The Committee has developed learning outcomes derived from the College's institutional goals and utilizes multiple assessment methods for evaluating these learning outcomes. The Committee submits an annual report to the Vice President for Academic Affairs by March 15. The report uses data to (a) describe each division's contributions to the general education outcomes, (b) suggest specific

improvements to the program, and (c) propose a budget to accomplish these improvements.

### **Division Chairperson Reports**

The educational program annual reports inform each division chairperson's report. In addition, the General Education Committee's annual report informs the undergraduate division chairperson reports. The division chairperson reports are submitted to either the Vice President for Academic Affairs (undergraduate) or the Vice President for the School of Osteopathic Medicine (PCSOM) by March 20. The division chairperson reports are summary reports with clear priorities for the upcoming academic year. These reports also inform the upcoming respective division's strategic plan. The reports address the following areas:

- Describe faculty development/involvement in division programs/initiatives; including involvement in community initiatives
- Summarize and prioritize academic-related needs in the majors and other pertinent programs and outreach programs
- Include a preliminary budget report for upcoming fiscal year
- Have the individual annual program reports attached as appropriate

### **Strategic Planning**

The Strategic Plan is a three-year dynamic document which serves as part of the College's institutional planning and evaluation process. All units develop three to five measurable objectives and evaluate the completion of each year's objectives and develop new objectives based on this evaluation by June 30. The College Planning Council subsequently discusses and distills these plans in July to create the institution's Strategic Plan Lead Objectives for the fiscal year. Ongoing assessment of these objectives leads to further refinement over the three years of the plan. In conducting strategic planning,

strong recommendations are given to the College's financial and human resources. Inputs from these plans are used to inform the budgeting process and to assist in the development of budgeting priorities.

A list of Executive Heads and the respective units for which each is responsible is as follows:

### **Strategic Planning Units**

#### President's Office

- Institutional Research
- Athletics

#### Vice President for Academic Affairs

- Division of Business and Economics
- Division of Education
- Division of Humanities
- Division of Math/Science
- Division of Nursing
- Division of Social Sciences
- Allara Library
- Registrar
- Academic Support Services
- Booth Scholars Program

#### Vice President and Dean of the School of Osteopathic Medicine

- Academic Affairs
- Basic Sciences
- Clinical Sciences
- Family Practice
- Student Affairs
- TeleMedicine Center
- A-OPTIC
- Appalachian Clinical Research
- PEPP

#### Vice President for Business Affairs and Finance

- Business Office
- Information Technology
- Physical Plant
- Human Resources
- Department of Security
- Campus Post Office
- College Bookstore

#### Vice President of Student Services and Dean of Students

- Residence Life

Student Activities  
Career Center  
Campus Ministries  
Intramurals  
Health Services  
Testing Center  
Campus Dining  
ACE Program  
Community Education  
Upward Bound

Vice President for Enrollment Management  
Undergraduate Admissions  
Undergraduate Scholarships and Financial Aid  
Retention

Assistant Vice President Marketing  
Public Relations  
Marketing  
Website

Interim Vice President for Development  
Development  
Alumni Relations

### **Budget Timeline**

**October-November:** The President's staff will utilize strategic plans as well as confer with their respective units to ascertain needs and priorities for the next fiscal year.

**January-February:** The Board of Trustees will review and approve the preliminary budget.

**May:** The preliminary budget for the approaching fiscal year will be submitted to the Board of Trustees for approval. This approved budget will become operational for the fiscal year beginning July 1.

**August-September:** Changes to the operational budget may be made in response to developments occurring after the beginning of the academic year. The primary consideration will be the effect of student enrollment on available financial resources.

## **Facilities Planning**

The purpose of facilities planning is to improve and expand the College'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. Input from the strategic plans are considered in establishing priorities for construction/renovation projects. The College maintains a Facilities Master Plan that is reviewed annually for possible revision.

## **Institutional Research**

The research function of institutional effectiveness planning and evaluation provides support for continuous planning and studies both external and internal factors and issues affecting the College. The Director of Institutional Research and Effectiveness keeps the College Planning Council abreast of what issues are being researched on both statewide and national levels, how these issues relate to College-specific data, and which individual or group may need the data to make program improvements.

## **External Factors and Issues**

A multitude of external factors influence the degree to which College units are effective in meeting their goals. As deemed necessary, members of the executive staff will determine specific issues warranting research, including but not limited to the following external factors:

- **Competition for Students and Resources**
  - Identification of competitors.
  - Assessment of the goals, outcomes/objectives, programs, strengths, and weaknesses of competitors.

- Measurement of responses to the College's programs and objectives.
- Identification of donors to Pikeville College.
- **Governmental, Political, and Legal Factors**
  - Assessment of federal, state, and local governments.
  - Review of the effects of current and proposed changes in tax laws and student financial aid practices.
  - Consideration of the potential impact on the College of elected officials and the resulting effect on regional economic and educational opportunities.
- **Customers**
  - Students
    - Study of the Pikeville College recruitment area and its overlap with the recruitment areas of other institutions.
    - Identification of student characteristics and goals.
    - Assessment of student financial resources.
    - Assessment of present and future student educational preparation.
  - Employers
    - Identification of employers of Pikeville College students.
    - Assessment of work force needs for present and future.
- **Community**
  - Definition of the Pikeville College community.
  - Assessment of the College's relationship to the surrounding area.
- **Technology**
  - Assessment of how the College can best utilize technological advances to improve student outcomes, recruitment and fundraising, and administrative efficiency.
- **Economic Factors**
  - Assessment of the projected economic impact on the operation of the College, on educational costs, and on student needs.
  - Analysis of fiscal and monetary policies.
- **Social, Cultural, Demographic, and Geographic Factors**
  - Assessment of changes in demographic patterns, such as population and age group sizes, out migration from the College's recruiting area, and birthrates.
  - Evaluation of high school graduation rates, of student academic preparation, and of percentages of College-bound students in the recruitment area.
  - Analysis of the potential impact on the College of such factors as

availability of roads, construction patterns, industrial development, and available service organizations and institutions.

### **Internal Factors and Issues**

The Director of Institutional Research and Effectiveness assists the administration, faculty, and staff at the College to assess internal issues and factors that have an impact on the effectiveness of the College in fulfilling its mission. The identification of areas for further research helps focus the resources of the College toward institutional opportunities and/or weaknesses. Some suggestions regarding the implementation of assessment practices in various areas are given below and should be carefully considered:

- **Educational Programs**  
Acquisition and analysis of data, including that associated with standardized testing, grade point averages, retention percentages, graduation rates, enrollment in professional schools, support services, employment patterns, admissions standards and issues related to the School of Osteopathic Medicine.
- **Library and Learning Center**  
Analysis of the number of volumes and periodicals, of academic program needs, of the requirements of undergraduate and graduate programs (including the School of Osteopathic Medicine), and of automation, on-line access, and other computer-related matters.
- **Student Life**  
Analysis of student retention, recruitment strategies, financial aid, social life, parking, student activities, counseling, health services, athletics, intramurals, security, housing, career services, spiritual development, and campus outreach.
- **Physical Plant**  
Assessment of available space, maintenance needs, current resources, and issues relating to facilities.
- **Administrative Processes**  
Analysis of computer usage, job descriptions, retention of faculty/staff/ administrators, professional development of faculty/staff/administrators, communication channels, and policy development.
- **Financial Management**  
Evaluation of the allocation of funds, audit results, fiscal policies, and purchasing

practices.

- **Institutional Advancement, Alumni Relations and the Trustees**  
Assessment of the current donor base and of alumni participation. Assessment of trustee involvement and support.
- **Technology**  
Assessment of computer-assisted instruction, data searches, interactive learning, and networking.

### **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 executive staff.

The Director of Institutional Research and Effectiveness shall also routinely distribute assessment results to academic and administrative-support areas for use in planning and decision-making.

**Pikeville College**  
**Internal Procedures for Substantive Change Notification**  
**Commission on Colleges**  
**Southern Association of Colleges and Schools**

**Introduction**

In the dynamic, challenging and ever-changing environment of higher education, institutions may choose or be required to change or modify their programs, services, or mission in order to remain viable and effectively meet the needs of students and other constituents. Minor changes do not require extensive planning or significant modifications in the development/allocation of resources, and do not change the nature or direction of the college; however, **substantive change (a significant modification or expansion of the nature and scope of an accredited institution)** has the potential to directly and fundamentally impact the institution.

The Commission on Colleges of the Southern Association of Colleges and Schools (SACS) requires institutions to provide notification and in some cases seek SACS approval when making Substantive Changes referenced by its published policy. The purpose of this document is to inform the Pikeville College community of the internal steps involved in this notification process.

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

**Step I:** When a substantive change is contemplated or proposed, the SACS liaison must be notified and will provide access to published guidelines and procedures and notification schedules for substantive change requests. A reference from the current SACS publication: *Substantive Change for Accredited Institutions of the Commission on Colleges* (website: [www.sacscoc.org/SubstantiveChange.asp](http://www.sacscoc.org/SubstantiveChange.asp)) is attached.

**The SACS liaison is Dr. Tom Hess, Interim Vice President for Academic Affairs/Dean of the College in the Academic Affairs Office, on the first level of Administration Building: phone 218-5219, email [thess@pc.edu](mailto:thess@pc.edu) ).**

**Step II:** The SACS Liaison will review the proposed change and determine whether the anticipated change requires prior approval, prior notification, or both.

**Step III:** The SACS liaison will discuss the proposed change with the President of the College and other involved parties before proceeding.

**Step IV:** If the proposed change is to proceed, the SACS liaison will work with appropriate personnel to prepare a synopsis for discussion at appropriate levels of the organization and a preliminary schedule for timely notification. (See attached Pikeville College Internal Procedures for Notification of Substantive Change Form).

- Step V:** If the request is to proceed, it will be presented for further direction to the executive cabinet, chaired by the President of the College.
- Step VI:** If the request is still under consideration, a more fully developed plan with appropriate rationale and time table for SACS notification and/or approval will be shared with the College Planning Committee.
- Step VII:** The recommendation of College Planning Committee will be forwarded to the President for consideration and for action by the Board of Trustees, if required.
- Step VIII:** If the proposed change is approved, the President of the College will submit a letter of notification to the President of the Commission on Colleges.
- Step IX:** The institution will await direction from the President, or the designated staff member, regarding specific procedures for review of the substantive change. Depending on the nature of the change, a prospectus (application), a site-visit or additional information may be required.

**Please note that these steps do not negate the necessity to adhere to current policies and procedures outlined in the Faculty Handbook and other College publications addressing development and implementation of programs and initiatives.**

### **Conclusion**

These procedures will be shared with Division Chairs and Executive Staff each year and placed in the Institutional Planning and Evaluation Manual. The procedures will also be reviewed annually and updated by the College Planning Committee (CPC).

## A Reference on the Types of Substantive Change

from: *Substantive Change for Accredited Institutions of the Commission on Colleges*  
(website: [www.sacscoc.org/SubstantiveChange.asp](http://www.sacscoc.org/SubstantiveChange.asp).)

### **Reporting the Various Types of Substantive Change**

The different types of substantive change, the specific procedure number to be used for each, their respective approval/notification requirements, and their reporting time lines are included in the graph that follows. Please refer to the appropriate Procedure for details regarding reporting.

Types of Change	Procedure	Prior Approval Required	Prior Notification Required	Time Frame for Contacting COC
Initiating coursework or programs at a more advanced level than currently approved	1	Yes	Yes	12 months
Expanding at current degree level ( <i>significant departure from current programs</i> )	1	Yes	Yes	6 months
Initiating programs at a lower degree level	1	Yes	Yes	6 months
Initiating a branch campus	1	Yes	Yes	6 months

Types of Change	Procedure	Prior Approval Required	Prior Notification Required	Time Frame for Contacting COC
Initiating Off-campus Sites...				
...Student can obtain 50 percent or more credits toward program	1	Yes	Yes	6 months
...Student can obtain 25-49 percent of credit	2	No	Yes	Prior to implementation
...Student can obtain 24 percent or less	NA	NA	NA	NA
Adding significantly different programs at an approved site ( <i>only if programs are currently approved</i> )	2	No	Yes	Prior to implementation
Initiating distance learning...				
...Offering 50 percent or more of program ( <i>Subsequent programs do not need reporting unless they are significant departures from initially approved program(s).</i> )	1	Yes	Yes	6 months
...Offering 25-49 percent	2	No	Yes	Prior to implementation
...Offering 24 percent or less	NA	NA	NA	NA

Initiating programs/courses offered through contractual agreement or consortium	2	No	Yes	Prior to implementation
Initiating a merger/consolidation	3	Yes	Yes	6 months
Altering significantly the educational mission of the institution	1	Yes	Yes	6 months
Relocating a campus	2	No	Yes	Prior to implementation
Changing governance, ownership, control, or legal status	1	Yes	Yes	6 months
Altering significantly the length of a program	1	Yes	Yes	6 months
Initiating degree completion programs	1	Yes	Yes	6 months
Closing an institution/program; initiating teach-out agreements (see <i>Commission policy</i> )	1	Yes	Yes	6 months

Please note that the procedures referenced in the first column are further described in this same publication. *Procedure One* is for Review of Substantive Changes Requiring Notification and Approval Prior to Implementation; *Procedure Two* for Review of Substantive Changes Requiring Only Notification Prior to Implementation; and *Procedure Three* for Review and Approval of Consolidations/Mergers. In all cases, the executive officer of the institution undergoing a substantive change must provide written notification to the President in advance. Therefore, it is of paramount importance that any proposed change be subjected to the proper internal procedures for notifying SACS.

**Pikeville College**  
**Internal Procedures for Notification of Substantive Change Form**  
**Commission on Colleges Southern Association of Colleges and Schools**

\_\_\_\_\_ **Person(s) Proposing Change**                      \_\_\_\_\_ **College Department or Division**                      \_\_\_\_\_ **Date**

Please describe the anticipated or proposed substantive change:

Type of change (Refer to COC Policy):

Procedure (Refer to COC Policy):

\_\_\_\_\_ One

\_\_\_\_\_ Two

\_\_\_\_\_ Three

Prior Notification Required (Refer to COC Policy)    \_\_\_\_\_ Yes    \_\_\_\_\_ No

Prior Approval Required (Refer to COC Policy)    \_\_\_\_\_ Yes    \_\_\_\_\_ No

Reporting Timeline (Refer to COC Policy) \_\_\_\_\_

Please provide appropriate signatures below:

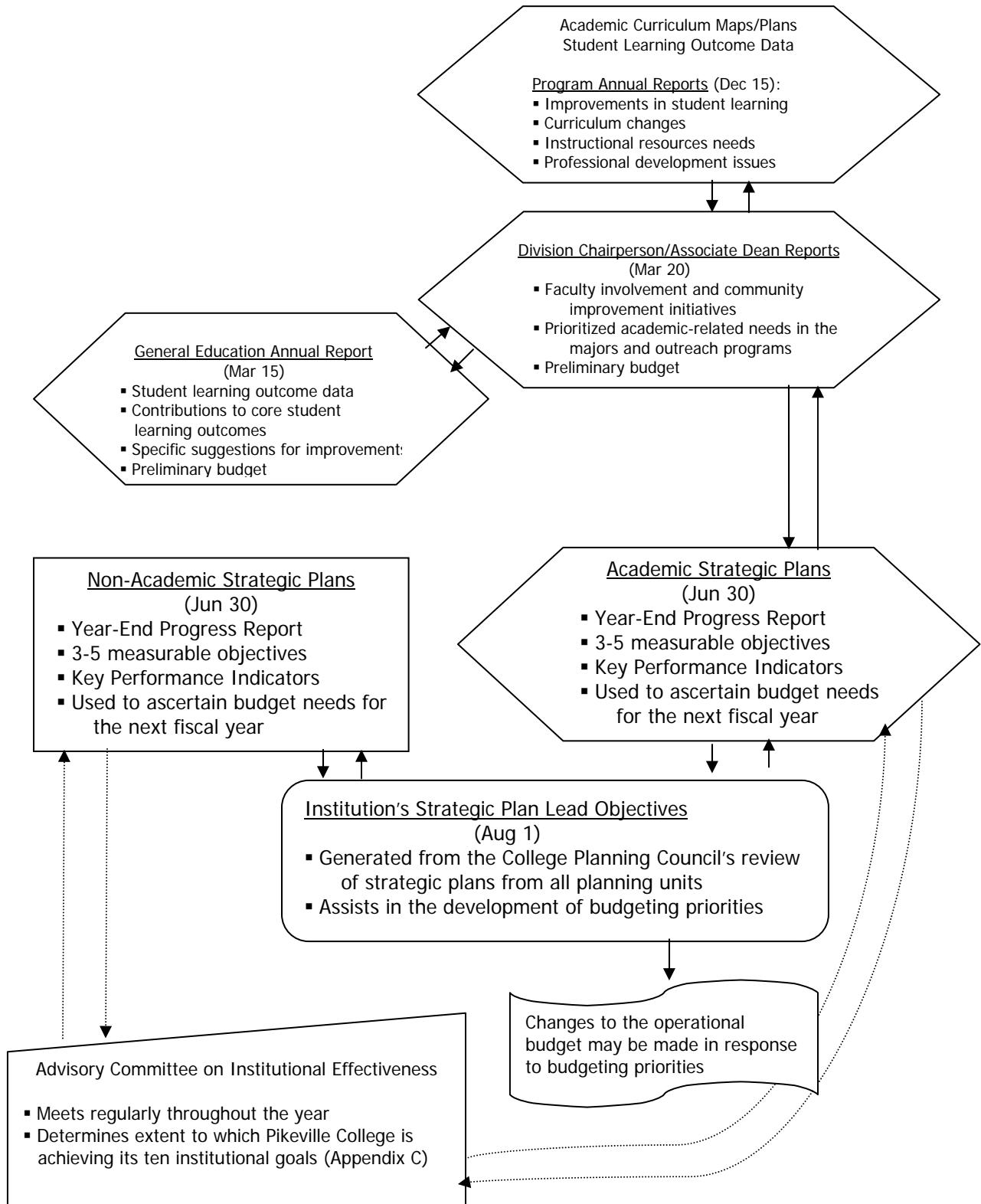
\_\_\_\_\_ **Department or Division Head**                      \_\_\_\_\_ **Date**

\_\_\_\_\_ **SACS Liaison**                      \_\_\_\_\_ **Date**

\_\_\_\_\_ **VP for Undergrad Program or PCSOM**                      \_\_\_\_\_ **Date**

\_\_\_\_\_ **President of the College**                      \_\_\_\_\_ **Date**

# Pikeville College's Planning Model





## **PIKEVILLE COLLEGE STATEMENT OF MISSION**

### **Commitment to Christian Tradition**

Pikeville College is an independent institution affiliated with the Presbyterian Church (USA). Founded by Presbyterians in 1889, the College stands as an opportunity for quality higher education in the heart of Appalachia. Maintaining its commitment to Christian principles, the college recognizes the infinite worth of each person, respecting and accepting a variety of religious expressions.

### **Commitment to Students**

While the College remains primarily committed to serving students from Appalachia, it encourages and welcomes students from all regions and cultural backgrounds. Pikeville College provides an opportunity for students to receive a quality education that focuses on the development of the whole person, including the intellectual, spiritual, social, and physical dimensions.

### **Commitment to Education**

Pikeville College offers associate, baccalaureate, and graduate degree programs that prepare students for a variety of professions or careers. The undergraduate curriculum rests on a broad liberal arts foundation, emphasizing communicative and quantitative skills; independent thinking; tolerance of diverse points of view; cultural, historical, and ethical awareness; and preparation for leadership, civic responsibility, and lifelong learning. The Pikeville College School of Osteopathic Medicine provides graduate students with an osteopathic medical education that emphasizes primary care, encourages research, promotes lifelong scholarly activity, and produces graduates who are committed to serving the health care needs of communities in eastern Kentucky and other Appalachian regions.

### **Commitment to Community and Region**

Pikeville College is committed to enhancing the educational, cultural, and economic opportunities for Appalachia through quality academic and continuing education programs as well as involvement in community service and humanitarian efforts.



## PIKEVILLE COLLEGE INSTITUTIONAL GOALS

The College has set the following ten general goals for carrying out its mission:

- I. To maintain a sense of community which stresses ethical and moral values, fosters an appreciation for diversity, and provides an atmosphere that accepts and respects a variety of backgrounds and modes of religious expression within a Christian context.
- II. To offer each undergraduate student the opportunity to receive a liberal arts education, emphasizing the value of intellectual development through the promotion of independent and creative thinking as well as the development of basic communication and problem-solving skills.
- III. To assist each student in acquiring competence in a chosen professional or career-oriented field based on a broad liberal arts foundation which encourages lifelong learning.
- IV. To enhance each student's sense of self-worth, self-discipline, and personal integrity while developing social responsibility and leadership potential through a comprehensive co-curricular program.
- V. To provide each medical student the personal and professional skills necessary to improve health care services in the Appalachian region.
- VI. To maintain a community of high-quality faculty, staff, administrators, and trustees who are dedicated to meeting the individual needs of students and who promote a caring and supportive environment conducive to learning.
- VII. To provide necessary resources for a quality education through instructional materials, information technology, library and physical facilities.
- VIII. To promote the growth and development of the community at large by encouraging faculty, staff, students, and alumni to serve the community and by encouraging members of the community to serve the college.
- IX. To maintain efficient and effective administrative services for institutional and educational support programs.
- X. To secure support from private, state, and federal sources to strengthen the College's viability through sound fiscal policy.