Brooklyn College

AES
Assessment Handbook

ERA
BROOKLYN COLLEGE
Educational Research & Assessment

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Brooklyn College AES Assessment Handbook
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AES Assessment Handbook One-Page Guide

This AES Assessment Handbook outlines the assessment process for Administrative, Educational and Student Support Units at Brooklyn College.

The Handbook contains examples and templates of AES assessment planning and development documentation, as well as a thorough description of AES assessment structure and timelines. The Handbook table of contents, lists of figures and tables, and extensive appendices will provide guidance and materials for developing assessment processes in your unit.

The most salient Handbook information is below:

- The Institutional Effectiveness website contains templates, worksheets, and guidance for assessment activities for both Academic and AES assessment.

- A Distributive Assessment Leadership Model is available in this Handbook.
  - Each of the five administrative divisions is responsible for assessment activities. The Division head and any Division Head designees lead assessment activities under the direction of the Brooklyn College Assessment Steering Committee (BCASC) via the AES Assessment Council. This Council meets monthly to ensure assessment continuity and provide guidance and support for assessment activities.
    - Leadership roles within the Council are by nomination.

- All units must have an assessment coordinator and must report on assessment activities annually using a provided template. Assessment report due dates are set by the Division Head. All units must have representation on the Divisional Assessment Committee, led by the Division Head, and should meet regularly.
  - Leadership roles within the committee are by nomination by either the Division Head or the committee.

- The assessment cycle to assess all outcomes for the unit ranges from **2 to 5 years** and is ultimately determined by the Division Head, with a ***recommended cycle of 3 years***. All units must also submit an External Unit Review on a ***recommended 5-year cycle***.
  - The quality and completeness of the reporting is evaluated by the Division Head or a subcommittee selected by the Division Head.

- All units must have a unit mission, goals, and outcomes that are aligned to each other and to the College Mission and the College Strategic Plan. Alignment templates are available for review in this Handbook and for download and use on the IE website.

- The Office of Educational Research and Assessment (ERA) under Institutional Effectiveness (IE) provides guidance and resources for AES assessment needs, and its representatives serve as Ex-Officio on the BCASC and AES Assessment Council.

1. Introduction

Purpose: How to Use This Manual

Assessment is an ongoing – sometimes unconscious – process that we engage in. College faculty and staff engage in a process of collecting data to make changes daily. This process can begin before one even arrives on campus: as one steps out of one's house or apartment, an overcast sky can signal one to double back inside to get an umbrella. We regularly engage in some form of assessment, whether it is checking the weather to decide what we will wear or reviewing student attendance at an event to make decisions regarding future outreach.

The purpose of this *Brooklyn College Administrative, Educational and Student Support (AES) Assessment Handbook* is to provide guidance on how to document this assessment process in the hopes of providing more concrete evidence upon which to make decisions, and to make the assessment process of observation, evaluation, and improvement both more tangible and more transparent. The handbook additionally provides timelines, tools, and resources for the Brooklyn College administrative assessment process, and – more broadly – for assessment best practices in the hopes of building a stronger culture of assessment at Brooklyn College. The staff of the Office of Institutional Effectiveness are also available to serve as a resource and to provide customized training sessions for administrative units and programs. Please visit the IE webpage for important supplemental resources.

Brooklyn College believes that a strong assessment program will result in improved student outcomes, enabling students to persist and complete their degree program goals. Due to the essential role that the College plays for both New York City and for Brooklyn College students, the institution continues to closely monitor and work to improve traditional measures of student success, such as one-year retention rates and six-year graduation rates, as well as the College's standing in campus diversity and students social mobility. Given the barriers that its students often face, implementing a strong, College-wide assessment plan is critical to Brooklyn College's success. A carefully considered assessment plan helps Brooklyn College identify areas in need of improvement on the unit-, division-, and College-level in order to provide a positive, holistic experience for its students. Administrative units at the College play an integral role in student success. Assessment of these AES units is imperative to systematically evaluate organizational effectiveness. The goals of this process are to enhance quality, innovation, and effectiveness in the delivery of administrative and support services, and to ensure that Brooklyn College continues to effectively engage in the Continuous Improvement Model (see Figure 1).
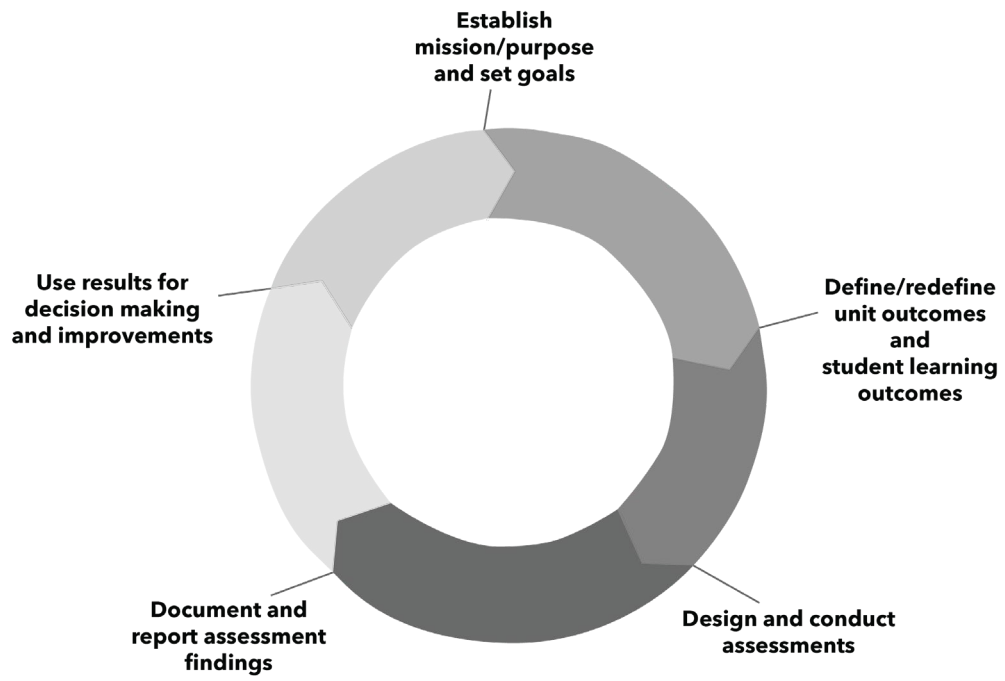
Figure 1. The model for the Cycle of Continuous Improvement

2. What is Assessment?

Assessment

Assessment is a systematic process that shows whether goals are being met, and to what extent. Cumming and Miller (2017) summarize assessment as follows:

- Establishing clear, measurable, and expected outcomes;
- Ensuring sufficient opportunities to achieve those outcomes;
- Gathering evidence in a systematic manner to determine how well outcomes match expectations;
- Using the data obtained from the assessment to understand and improve the department, unit, and student experience.

Collecting data to understand strengths and weaknesses is one of the main reasons that we engage in assessment activities; its application helps us to optimally improve our institutional effectiveness.

The Council for Higher Education Accreditation and the regional accreditation governing bodies, along with professional associations such as the Council for the Advancement of Standards in Higher Education (CAS), have recognized the importance of assessment of Administrative, Educational, and Student Support (AES) units. They have emphasized that without systematic staff-driven assessments, an institution would not possess the information necessary to take the appropriate actions to ensure progress toward the attainment of its mission.

What are AES units, and what do they look like at Brooklyn College?

Administration and staff engagement in discussions regarding how to address the challenges within their unit – and make appropriate changes that will enable more students to succeed – are critical to achieving institutional goals. Moreover, this focus on improvement planning and implementation aligns with and is critical to the success of the College's mission. College leadership is working diligently with unit and divisional administration and staff to incorporate assessment for continuous improvement into the College culture. Furthermore, a robust assessment system enables the College to make better decisions on the use of scarce resources, based on the assessment results.

AES units consist of:

Administrative Support Units. The units primarily responsible for administrative functions which support the environment for student learning, such as financial aid.

For example, maintaining an affordable tuition and fee structure and making effective and efficient use of available resources are critical goals for the CUNY system and the College. The continuing decline in the percentage of the budget that is funded from the City and State allocations is forcing a larger dependence on student revenues. The College's Senior Vice President of Finance and Administration has been successful in balancing institutional expense growth requirements with an understanding of institutional resource usage patterns. Senior administration recognizes that a strong assessment system provides an effective tool to ensure efficiency and prioritization for resource allocations and institutional effectiveness.

Educational Support Units. These units are primarily responsible for providing direct educational support either to academic programs or students, enhancing the work of faculty and contributing to the core mission of educating students. These units may include Library Services, the SEEK program, and the Learning Center.

The Learning Center, for example, works closely with faculty to provide targeted educational support for courses with low pass rates. The Center conducts workshops to strengthen student mastery of prerequisite materials that students entering these courses will need for successful completion of the course. These content areas are identified in partnership with departmental faculty, while the data on course pass rates that is used to identify courses in need is provided to both faculty and the Center by the Office of Institutional Research and Data Analysis (IRDA). These interunit collaborations are essential for appropriate identification of problem areas and the creation of initiatives aimed at student success.

Student Support Units. These units are responsible for providing direct support to students in non-academic areas. They may include the Women's Center, Counseling Services, and the food pantry. While these units may not be academic support units, it is possible for them to have student learning outcomes.

Take, for example, Counseling Services. While some of its outcomes may relate to increasing service volume, increasing user satisfaction, or shortening response times, Counseling Services may also focus on ensuring that the students serviced know the necessary procedures for requesting an appointment or reporting an issue. These are student learning outcomes that the unit may focus on by developing orientations or flyers to ensure that students have access to and learn the requisite information.

Students bring various background knowledge, skills, and expectations to Brooklyn College. With such considerations, all faculty and staff share in the responsibility to create an environment of inclusion, respect, and open-mindedness in order to provide a high-quality educational experience for a diverse urban population. A robust assessment system helps to create such an environment by providing opportunities to track whether such goals are being met, and to course correct as needed to ensure that progress toward these goals, and their associated outcomes, is continuous. However, it is important for staff to understand that the administration ***does not*** view assessment as a tool to compare administrative units, but rather as a tool that provides data to be used to improve a unit's performance and –ultimately – student persistence and completion.

The American Association for Higher Education (AAHE) asked key higher education leaders to develop guidance for best practices in assessment. The nine principles outlined below have been adapted to inform all aspects of the AES assessment process (Hutchings, 2012):

1. The assessment process begins with educational values.
2. Assessment is most effective when it reflects an understanding of the student experience as multidimensional and integrated.
3. Assessment works best when the program/unit it seeks to improve has clear, explicitly stated purposes; assessment is a mission driven, goal-oriented process.
4. Assessment requires attention to outcomes, but also – and equally – to the experiences that lead to those outcomes.
5. Assessment works best when it is ongoing, not episodic; assessment is a powerful, cumulative process.
6. Assessment fosters wider improvement when representatives from across the educational community are involved.

7. Assessment makes a difference when it begins with issues of use and illuminate questions that people care about.
8. Assessment is most likely to lead to improvement when it is part of a larger set of conditions that promote change.
9. Through assessment, institutions meet responsibilities to students and to the public; there is a compelling public stake in education.

The College has built upon the University's reporting structure for the CUNY Performance Management Process (PMP) and Brooklyn College's academic assessment model. The College requires each AES unit to identify their department mission and document the alignment of their goals with the 2018-2023 Strategic Plan and the College mission.

Annual assessment reports are required and their quality is evaluated in a peer review working session of Division heads and their designated assessment support staff under the purview of the AES Assessment Council on a cyclical basis. The core components of the AES unit reviews include:

- Assessment of effectiveness in meeting the unit's mission – achievement of organizational unit goals and objectives;

- Contributions of the unit to the achievement of college-wide mission, institutional outcomes, and strategic plan objectives;

- Contributions of the unit to the attainment of the CUNY goals and targets;

- Identification of critical issues facing the unit; and

- Development of a multi-year plan to address critical issues confronting the unit.

In order to receive the full benefits of assessment, Brooklyn College administrators and staff both actively lead and participate in the assessment process throughout the College. Because unit staff are most intimately familiar with their mission and goals, they are the best resource to develop the measurement tools to assess their progress in the attainment of their goals.

Continuous Improvement Model

As readers peruse this assessment handbook, it is important to continually bear in mind the overriding *purpose* of assessment: to provide information that will enable administrators to improve the student experience by making changes in policies, services, and institutional programs, and to see how these are actualized through the student experience. This is less a method than a *mindset*, and it has several relevant dimensions.
Firstly, the motivation for assessment resides within Brooklyn College and the units and programs themselves. Far too much assessment in higher education is undertaken at the behest of government bodies and accreditors instead of arising from a genuine interest and concern on the part of institutions about what is happening to their students (Kuh et. al, 2015). Thus, while accountability is important, Brooklyn College maintains that assessment should be proactive rather than reactive: the questions that it seeks to answer are generated by members of an AES division or unit, not by an outside body.

Secondly, those engaged in assessment – in whatever form – should bear in mind that assessment is an important part of a Continuous Improvement Cycle; readers must never forget that the foundational values of assessment lie in action and improvement.

Finally, it is not sufficient to simply collect data. The most important part of the Continuous Improvement Model is ensuring that the data collected is used to inform improvement strategies

at the appropriate level. After data has been collected and analyzed, administrators and staff should generate reports on assessment results, and assessment results should highlight any proficiencies or insufficiencies within a division or unit. Once the results are disseminated, administrators will need to determine the best way to address any challenges identified. *Figure* 2 provides more detailed information on the Continuous Improvement Model with relevant questions that may be helpful in assessment planning.
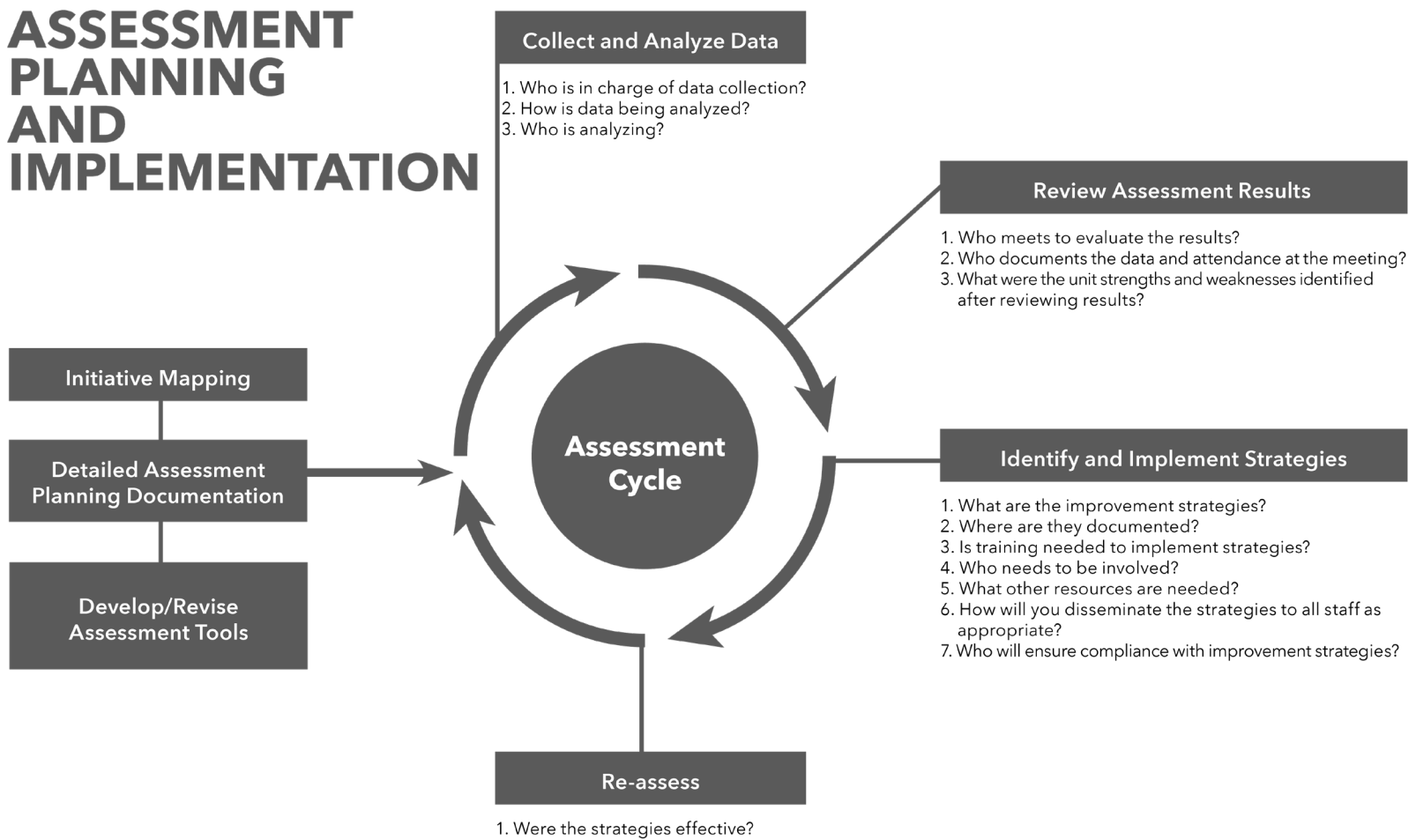
Figure 2. The Cycle of Continuous Improvement and pertinent assessment cycle questions: Assessment Planning and Implementation

3. Assessment at Brooklyn College

Assessment at Brooklyn College: A Key to Improving Student Success

Founded in 1930, Brooklyn College was New York City's first public coeducational liberal arts college. The school was envisioned as a stepping stone for the sons and daughters of immigrants and working-class people toward a better life through a superb—and at the time, free—college education. In 1961, Brooklyn College became a member of the City University of New York, now itself the largest urban university system in the US and one of the most diverse. In keeping with the spirit of the times, in 1970 CUNY instituted an open-admissions policy that granted any New York City resident, regardless of academic credentials or ability, the right to attend a CUNY school. As a result, enrollment at Brooklyn College swelled to more than 30,000 students in only a few years. In 1981 of a nationally recognized Core Curriculum was created, that giving students a strong foundation in the liberal arts.

Today, Brooklyn College continues to educate immigrants and first-generation college students from diverse communities. Brooklyn College is one of the largest minority-serving educational institutions in New York City. Brooklyn College provides a crucial service to the City of New York by offering access to a strong liberal arts education to much of the city's underserved populations. Brooklyn College not only helps the city develop a much-needed, highly skilled labor force, but also provides a critical stepping stone for many of our students by preparing them for professional and personal success.

It is important to recognize that all AES unit missions, goals and outcomes should be aligned with Brooklyn College's Mission Statement (see *Figure 3*). All units are required to submit and maintain documentation of their unit mission and goals' alignment with the College mission. Despite the essential role that the College plays to New York City and to its own students, it is recognized that improvements are needed in student satisfaction, retention and graduation rates in order to fulfill Brooklyn College's mission:

> Brooklyn College provides a transformative, distinctive, and affordable education to students from all backgrounds. We are proud of our history of intellectual freedom and academic excellence, as well as our location in a borough known for innovation, culture, and the arts. We have a special commitment to educate immigrants and first-generation college students from the diverse communities that make up our city and state. Our striving spirit reflects our motto: "Nothing without great effort." Through outstanding research and academic programs in the arts, business, education, humanities, and sciences, we graduate well-rounded individuals who think critically and creatively to solve problems. They become leaders who transform their fields and professions and serve our increasingly global community.

Figure 3. A hierarchical pyramid of mission, strategic planning, goals and outcomes

Given the challenges that Brooklyn College students face, including in their rates of graduation and retention, implementing a strong, College-wide assessment plan is essential. A carefully considered assessment plan enables Brooklyn College administrators and staff to identify areas of student needs and operational improvements. Once these needs and improvements are identified, AES units can discuss the best strategies to improve student outcomes, ultimately improving student retention and completion.

It is crucial for Brooklyn College staff and administrators to actively lead and participate in the assessment process to receive its full benefits. Because staff are intimately familiar with their unit mission, goals and outcomes, they are the best resource to develop appropriate measurement tools for assessment. Assessment occurs within three broad levels: 1) at the university level through the assessment of goals and targets and the PMP; 2) at the institution level, through the assessment of institutional outcomes and the attainment of the goals documented within the strategic plan; and 3) at the unit level, through the assessment of unit outcomes and/or student learning outcomes.

Accreditation

Assessment is also an important component of a successful accreditation outcome. In order to receive federal funding, the US federal government requires that colleges and universities be accredited by one of the regional accrediting bodies seen in *Figure 4*. Brooklyn College is accredited by the Middle States Commission of Higher Education (MSCHE). Assessment is included in each of the seven standards for successful MSCHE accreditation (see *Table 1*) and refers to AES throughout the standards. For a complete set of MSCHE Standards of Accreditation, please refer to Appendix A.
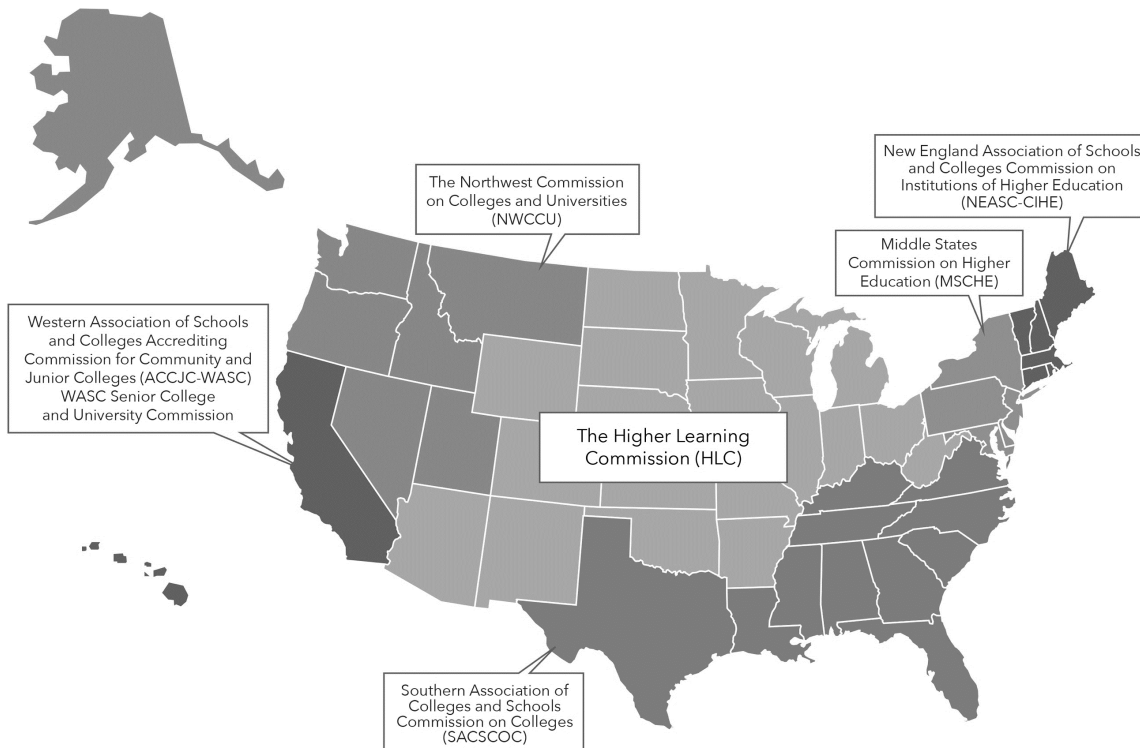
Figure 4. Regional accrediting bodies in the United States. Adapted from *Enhancing Assessment in Higher Education: Putting Psychometrics to Work* (p. xiv), by T. Cumming and M. D. Miller, eds, 2017, Sterling, VA: Stylus. Copyright 2017 by Stylus Publishing, LLC. Adapted with permission.

Table 1. Alignment of MSCHE standards to AES criteria

MSCHE Standard for Accreditation	Related AES Standard Criteria
I. Mission and Goals: The institution's mission defines its purpose within the context of higher education, the students it serves, and what it intends to accomplish. The institution's stated goals are clearly linked to its mission and specify how the institution fulfills its mission.	**SI.C3.** goals that focus on student learning and related outcomes and on institutional improvement; are supported by administrative, educational, and student support (AES) programs and services; and are consistent with institutional mission; and **SI.C4.** periodic assessment of mission and goals to ensure they are relevant and achievable.
II. Ethics and Integrity: Ethics and integrity are central, indispensable, and defining hallmarks of effective higher education institutions. in all activities, whether internal or external, an institution must be faithful to its mission, honor its contracts and commitments, adhere to its policies, and represent itself truthfully.	**SII.C8.** compliance with all applicable federal, state, and Commission reporting policies, regulations, and requirements to include reporting regarding: a) the full disclosure of information on institution-wide assessments, graduation, retention, certification and licensure or licensing board pass rates; **SII.C9.** periodic assessment of ethics and integrity as evidenced in institutional policies, processes, practices, and the manner in which these are implemented.
III. Design and Delivery of the Student Learning Experience: An institution provides students with learning experiences that are characterized by rigor and coherence at all program, certificate, and degree levels, regardless of instructional modality. all learning experiences, regardless of modality, program pace/schedule, level, and setting are consistent with higher education expectations.	**SIII.C8.** periodic assessment of the effectiveness of programs providing student learning opportunities.
IV. Support of the Student Experience: Across all educational experiences, settings, levels, and instructional modalities, the institution recruits and admits students whose interests, abilities, experiences, and goals are congruent with its mission and educational offerings. The institution commits to student retention, persistence, completion, and success through a coherent and effective support system sustained by qualified professionals, which enhances the quality of the learning environment, contributes to the educational experience, and fosters student success.	Refer to all criteria listed in within Standard IV with particular attention to **SIV, C6:** periodic assessment of the effectiveness of programs supporting the student experience.

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Table 1 (continued): Alignment of MSCHE Standards to AES Criteria

MSCHE Standard for Accreditation	Related AES Standard Criteria
V. Educational Effectiveness: Assessment of student learning and achievement demonstrates that the institution's students have accomplished educational goals consistent with their program of study, degree level, the institution's mission, and appropriate expectations for institutions of higher education.	**SV.C3.** consideration and use of assessment results for the improvement of educational effectiveness. Consistent with the institution's mission, such uses include some combination of the following: a) assisting students in improving their learning; b) improving pedagogy and curriculum; c) reviewing and revising academic programs and support services; d) planning, conducting, and supporting a range of professional development activities; e) planning and budgeting for the provision of academic programs and services; f) informing appropriate constituents about the institution and its programs; g) improving key indicators of student success, such as retention, graduation, transfer, and placement rates; h) implementing other processes and procedures designed to improve educational programs and services; **SV.C5.** periodic assessment of the effectiveness of assessment processes for the improvement of educational effectiveness .
VI. Planning, Resources, and Institutional Improvement: the institution's planning processes, resources, and structures are aligned with each other and are sufficient to fulfill its mission and goals, to continuously assess and improve its programs and services, and to respond effectively to opportunities and challenges.	**SVI.C1.** institutional objectives, both institution-wide and for individual units, that are clearly stated, assessed appropriately, linked to mission and goal achievement, reflect conclusions drawn from assessment results, and are used for planning and resource allocation; **SVI.C2.** clearly documented and communicated planning and improvement processes that provide for constituent participation, and incorporate the use of assessment results; **SVI.C3.** a financial planning and budgeting process that is aligned with the institution's mission and goals, evidence-based, and clearly linked to the institution's and units' strategic plans/objectives; **SVI.C8.** strategies to measure and assess the adequacy and efficient utilization of institutional resources required to support the institution's mission and goals; and **SVI.C9.** periodic assessment of the effectiveness of planning, resource allocation, institutional renewal processes, and availability of resources.
VII: Governance, Leadership, and Administration: the institution is governed and administered in a manner that allows it to realize its stated mission and goals in a way that effectively benefits the institution, its students, and the other constituencies it serves. Even when supported by or affiliated with governmental, corporate, religious, educational system, or other unaccredited organizations, the institution has education as its primary purpose, and it operates as an academic institution with appropriate autonomy.	**SVII.C4.** an administration possessing or demonstrating: f. systematic procedures for evaluating administrative units and for using assessment data to enhance operations; **SVII.C5.** periodic assessment of the effectiveness of governance, leadership, and administration.

Responsibility for Assessment

Assessment in the AES units is the responsibility of the unit directors and their staff. Directors or unit leaders are responsible for ensuring timely and complete assessment activities according to the planning documentation submitted to the appropriate assessment personnel for their division:

- Academic Affairs
- Enrollment Management and Retention
- Institutional Advancement
- Finance and Administration
- Student Affairs

An organizational chart outlining Brooklyn College's distributive leadership model of assessment is shown in *Figure 5.* The Continuous Improvement process is often most valuable when all staff are involved and invested in assessment.

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│ Assistant Vice       │                   │ Assessment Steering  │
│ President for        │                   │ Committee (BCASC)    │
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Office of the President

Brooklyn College Assessment Steering Committee (BCASC)

Associate Provost & Assistant Vice President for Institutional Effectiveness

Office of Educational Research and Assessment (Ex–Officio)

Institutional Research & Data Analysis (Ex-Officio)

Academic Assessment Council (AAC)

Administrative, Educational & Student Support (AES) Assessment Council

General Education Committee (Assessment Agenda)

Murray Koppelman School of Business Assessment Committee

Academic Affairs Assessment Committee

General Education Assessment Coordinator and appointed faculty

School of Education Assessment Committee

Enrollment Management and Retention Assessment Committee

School of Humanities and Social Sciences Assessment Committee

Finance and Administration Assessment Committee

School of Natural and Behavioral Sciences Assessment Committee

Institutional Advancement and Communications Assessment Committee

School of Visual, Media and Performing Arts Assessment Committee
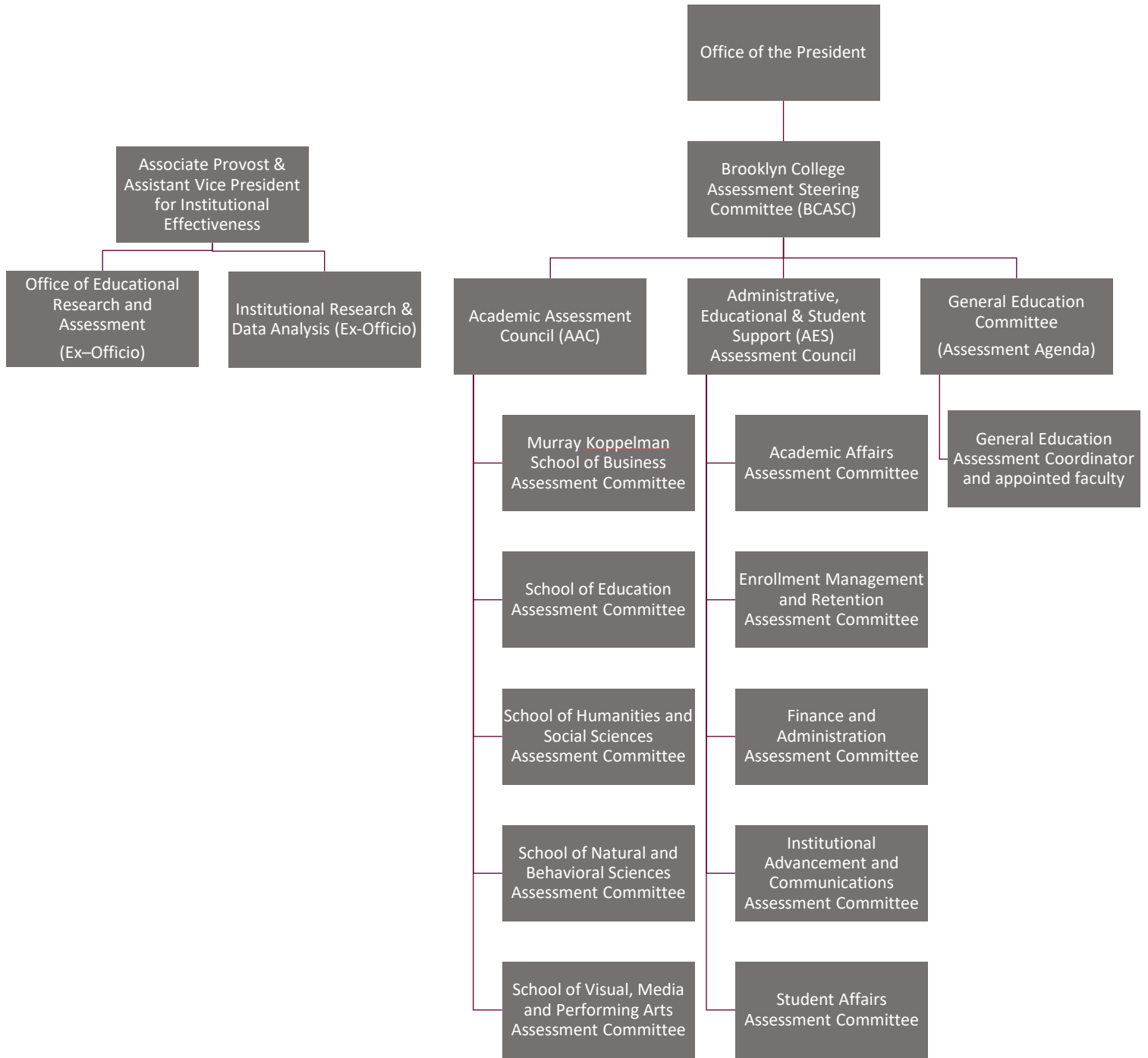
Student Affairs Assessment Committee

Figure 5. Organizational Chart of the Brooklyn College Distributive Assessment Leadership Structure

The Brooklyn College Assessment Steering Committee (BCASC) consists of senior administrators – the Provost and Senior Vice President of Academic Affairs, the Associate Provost for Institutional Effectiveness (Ex-Officio), the SVP for Finance and Administration, the VP for Institutional Advancement, and the VP of Enrollment Management and Retention, and the VP for Student Affairs – who together make executive decisions about the assessment process at Brooklyn College, directing the assessment agendas of the AES Assessment Council, Academic Assessment Council, Divisional Assessment Committees, and School Assessment Committees. The BCASC meets once a semester.

The AES Assessment Council brings together both staff and senior administration, and in doing so ensures that governance of the assessment process is shared. The Council consists of representatives – usually division head designees – from each of the five divisions, led by nominated Council Co-Chairs. The Council, under direction of the BCASC, guides the assessment of administrative units, responding to staff and division needs and addressing any issues that arise in the process, thus giving administrative staff a voice in assessment decisions and providing crucial support as units work toward continuous improvement. The Council meets monthly to ensure continuity and support for assessment activities. The Council representatives communicate assessment requirements, deliverables, and initiatives to their division heads, and communicate with their division assessment committees to provide assessment support and guidance. A nominated Council secretary documents Council minutes.

Divisional AES assessment committees are an integral part of the assessment process at Brooklyn College. These five committees (one for each division) are made up of the AES Assessment Council representatives, the division head or division head's designee, who, at the discretion of the division head, could also be the AES Assessment Council representative, and the assessment coordinators from the units within each division. The committees meet monthly to ensure that units are on track with their assessment activities and deliverables. The structure of these committees, i.e., having a committee member from each unit or having a committee member who represents a group of units (a *committee liaison*), is ultimately determined by the division head; this is due to some divisions having a multitude of offices, meaning monthly meetings for assessment coordinators from each unit would be particularly difficult to organize. By bringing assessment coordinators together, senior administration and staff are better able to respond to challenges and to safeguard the continuous improvement process. Each division's committee meets monthly to ensure communication and coordination of relevant assessment activities and to provide support to AES unit assessment coordinators. The divisional assessment committee may elect an assessment committee chair or pair of co-chairs to lead assessment committee activities and meetings, and a committee secretary to document committee minutes.

Positions within the assessment process are defined as follows:

- Division Head: The divisional SVPs and VPs are assessment leaders, ensuring that the unit-level assessment work submitted by unit staff is complete and of good quality. Division heads may appoint a designee to lead these assessment activities as the AES Assessment Council representative. The division head is responsible for the review of annually submitted unit-level reports; the head may elect an assessment report subcommittee to review the reports on his, her, or their behalf. The AES Assessment Council representatives work with unit assessment coordinators and the Office of Educational Research and Assessment to provide AES staff support, guiding assessment activities and identifying areas of need in their division's assessment processes.

- AES Assessment Council Representative: Each division has one staff representative on the AES Assessment Council who participates in shared governance of the assessment process at the College. The council representatives advise the divisional assessment committees and work with unit assessment coordinators to integrate Assessment Council decisions at the unit level. In addition, they work with the division head and any elected AES assessment committee co-chairs to ensure that the assessment work of their staff meets College standards. They are responsible for supporting the division head and assessment report subcommittee in the review of annual unit-level assessment reports. Oftentimes, they are the AES Division Assessment Committee chairs.

- Unit Assessment Coordinator/Unit Head: Each AES unit has a unit assessment coordinator who, along with the unit head, is responsible for ensuring rigorous and timely assessment at the unit level. The unit assessment coordinator and unit head may be the same person; this decision is at the discretion of the division head. Though the exact nature of their work varies by unit, assessment coordinators generally ensure that data is collected and analyzed and that results are documented and submitted in a timely fashion. They shepherd unit-level assessment from start to finish. The assessment coordinator is the unit representative on the divisional AES Assessment Committee. If a division is too large to have all unit coordinators sit on the divisional Assessment Committee, a committee liaison may be assigned to liaise between selected units and the Committee.

- AES Unit Staff: Staff who do not serve on the assessment committees or councils may be involved in assessment activities for unit-level assessment. While unit assessment coordinators and unit heads are responsible for coordinating the collection and analysis of data, other staff may be responsible for data collection within their units. Data collection is coordinated through proper communication among staff, unit assessment coordinators, unit heads, and the division head or division head's designee. The Office of Educational Research and Assessment (ERA) is available to provide guidance on coordination of data collection.

- The ERA Office Representative (Council Ex-Officio): This representative plays an integral supporting role in the assessment process. The ERA Office representative provides assessment guidance, resources, and training to staff, assessment coordinators, and leadership. The representative advises staff and administrators on best practices in assessment, helping devise tools for gathering data, and guiding data analysis and documentation of results. The representative also provides feedback to ensure that assessment results are used to make meaningful administrative decisions.

- The Institutional Research and Data Analysis (IRDA) Representative (Council Ex-Officio): The IRDA representative provides data-based insight on assessment practices during Assessment Council meetings and aids in the development of reporting templates for unit-level assessment and annual reporting.

The Institutional Effectiveness office does not provide support for data collection efforts on behalf of individual AES units. However, the Institutional Effectiveness office does provide guidance and resources with respect to assessment best practices. The Institutional Effectiveness office holds the responsibility to lead the College-wide BCASC steering committee and advise the various assessment committees throughout the College.

Senior administrators play a central role in the assessment process by articulating and providing support and resources; this is essential if the institution is to implement a sustainable and meaningful assessment process. Unit heads along with their AES assessment coordinators are responsible for ensuring timely and complete unit assessment as outlined by the planning documentation submitted to the appropriate Division head. A divisional assessment planning worksheet is available for use in Appendix B.

Figure 6. AES Assessment Council members discuss assessment processes and deliverables

Internal Review of Assessment

In compliance with Standard V.5 of the MSCHE Standards for Accreditation and Requirements of Affiliation, Brooklyn College requires a periodic evaluation. The internal review provides an opportunity to make an overall judgment regarding the effectiveness of AES unit assessment systems. The division head may appoint a committee of unit peers to serve as evaluators to appraise the annual AES assessments in other units. Units are placed on an internal review schedule set by the BCASC.

4. AES Assessment Guide

A Note on Terminology

Some of the language in the assessment literature can be used differently by authors and practitioners. At Brooklyn College, we strive to use the following terminology consistently when engaging in assessment scholarship and initiatives:

Administrative Unit: An office responsible for the operational activities within an educational institution.

AES Assessment: Administrative, Educational and Student Support Unit Assessment - the assessment of the effectiveness of non-instructional units within an institution.

Alignment: The degree to which the components of an education system—such as standards, curricula, assessments, and instruction—work together to achieve desired goals (Ananda, 2003; Resnick, Rothman, Slattery, and Vranek, 2003; Webb, 1997b).

Assessment: A systematic process of gathering and analyzing information to see if your division, unit, or program is meeting its goals, objectives, or outcomes and then using that information to make improvements

Assessment Instrument: A tool or instrument used to assess administrative operations and units. A commonly used tool is a rubric for performance appraisals. To learn more about assessment instruments, please refer to the Brooklyn College AES Assessment Handbook.

Assessment Method: The method used to assess unit outcomes. This can be a short description of the unit activity or process and the assessment instrument (e.g., locally developed rubric) used.

Assessment Results: The quantitative or qualitative results of the assessment of unit performance. This can be presented as short paragraph, a graph, a table, etc.

Direct Measures: For student learning outcomes (SLOs), these are the measurements of student knowledge, behaviors and learning linked to specified SLOs.

Data Source: The origin of the data used to answer a research question. In the context of this document, the data source is the sample and sampling method description for data collection.

Division: A department within an institution. At Brooklyn College, there are five divisions under which numerous offices (units) are housed, including Academic Affairs or Enrollment Management and Retention, for example.

Documentation: Materials that provide evidence or record of certain activities, decisions, or planning.

Evaluation: The process of assessing the value, worth or effectiveness of an initiative, program, process or curriculum; evidence-gathering processes that are designed to examine unit, program, or institution-level effectiveness.

Goals: The general aims or purposes of an educational system, often at the unit or program level, that are broadly defined and include intended outcomes.

Indirect Assessment: The measurement of student learning experiences often linked to direct assessments but not measuring student learning outcomes. Consequently, indirect assessments can include opinions or thoughts about student knowledge, values, beliefs and attitudes about educational programs, processes and curriculum. They may also

include measures of student outcomes like retention rate, course grades or GPA that are not direct assessments of the student learning outcomes.

Initiative: A general term for a strategy, program, product, service, or project.

Institutional Effectiveness: How well an institution meets its mission and goals, as well as meeting stakeholder needs, deploying resources effectively, prudently, and efficiently to ensure an institution's well-being, serving the public good, and demonstrating an institution's quality and effectiveness in fulfilling its responsibilities (Suskie, 2014).

Mapping: Identifying where outcomes are aligned with a mission, goals, or initiatives.

Mission: An institution's mission defines its purpose within the context of higher education, the students it serves, and what it intends to accomplish (MSCHE, 2018).

Operational Outcomes: Outcomes that reflect the core mission and purpose of the administrative unit by stating the expected results. Operational outcomes are generally assessed to ensure effectiveness of the unit at meeting its mission. Accordingly, operational outcomes are written in present tense.

Outcomes: The results of programs including behaviors, knowledge, skills and level of functioning. They are usually measured as an assessment. For SLOs, they can be measured using a performance appraisal or a test.

Performance Target: A quantitative benchmark for assessing achievement. For example, if one the quality of a service using a rubric for performance appraisal, a target can be set as 70% of servicers meeting or exceeding expectations.

Planning Document: A document that calendars the assessment of outcomes for a program, initiative, program, or unit, and outlines when the outcomes will be assessed. A detailed planning document also includes the unit goals, assessment methods, coordinating staff, and dates for evaluation, improvement planning, and re-evaluation of unit outcomes.

Results-based Changes: Changes made within a division or unit based on the analysis of the assessment results. These changes attempt to remedy or better any areas or processes needing improvement as identified by the assessment process.

Rubric: A tool used in assessing student artifacts, e.g., oral exams, research papers, and capstone projects, or in assessing unit processes, e.g., services, activities, and procedures. Assessment rubrics are useful because they list clear expectations of performance and provide a way to rate student work and unit operations.

Sample: A selected subset of a population, ideally representative of the whole.

Sampling Method: The way in which the sample from the population is selected.

Strategic Outcomes: Outcomes that reflect future expected results of the unit, based on a planned activity. Strategic outcomes are generally assessed as part of the planning process to ensure strategic initiatives have the intended or positive results. Accordingly, strategic outcomes typically are written in future tense.

Student Learning Outcomes: (SLOs) are behavioral statements that specify what students will learn or can do as a result of a learning program, process, or curriculum.

Defining the AES Unit Mission Statement

Defining a unit mission statement is a fundamental aspect of strategic planning and monitoring a unit's contribution to the College. Articulating the mission of the AES unit is a requirement for assessment plans at Brooklyn College and a requirement of the *2014 Middle States Commission on Higher Education Standards for Accreditation and Requirements of Affiliation* (see *Appendix A*).

The mission statement is a broad statement of the purpose and values of the administrative unit and should:

- reflect how the unit contributes to the education, development, and experiences of students at the institution;

- describe the services provided by the unit;

- distinguish the unit from other units within the College (e.g., if the name of the unit was removed, it would not be applicable to another unit);

- state of the purpose of the unit;

- indicate the unit's primary constituencies;

- highlight the most important operations/services of the unit; and

- ensure the unit mission supports the mission of the institution.

An AES Unit Activity Reflection Worksheet for consideration of unit function in support of the College mission and the student body is available in Appendix C. To ensure that the unit has a clear understanding of how it supports the Brooklyn College mission, each unit is required to submit an alignment form of unit mission to College mission that should be completed and submitted to the appropriate administrative supervisor. A sample alignment is shown in Tables 2 and 3. The alignment template is available in Appendix D.

Table 2. The Brooklyn College Mission Statement Coded for Mapping

College Mission Statement	Code
Brooklyn College provides a transformative, distinctive, and affordable education to students from all backgrounds. We are proud of our history of intellectual freedom and academic excellence, as well as our location in a borough known for innovation, culture, and the arts.	CMS_1
We have a special commitment to educate immigrants and first-generation college students from the diverse communities that make up our city and state.	CMS_2
Our striving spirit reflects our motto: "Nothing without great effort." Through outstanding research and academic programs in the arts, business, education, humanities, and sciences, we graduate well-rounded individuals who think critically and creatively to solve problems.	CMS_3
They become leaders who transform their fields and professions and serve our increasingly global community.	CMS_4

Table 3. Sample Alignment of Unit Mission Alignment to the College Mission

Unit Mission Statement	CMS_1	CMS_2	CMS_3	CMS_4
In support of the college mission, the Office of the Registrar strives to provide high-quality service to the college's students, faculty, administration, and campus community. The office is committed to serve in a fashion that is fair, professional, respectful, and of the highest ethical standards.		X	X	X
Through the use of innovative technological solutions, the Office of the Registrar is positioned to offer ever-improving support and data accuracy to all of those the office serves. Its commitment to partnership and collaboration creates an atmosphere where effective communication is always maintained.	X	X	X	X
With a dedication to maintaining the integrity of all student records, the Office of the Registrar adheres to all applicable federal, state, and university regulations.			X	

Adapted from the Registrar's Office Mission Statement

After the mission has been drafted, it should be reviewed within the unit. A Unit Mission rubric is available to assist in the internal assessment of the mission statement (see *Table 4*). When the mission statement has been finalized – typically with input from a committee within the unit identified to review or contribute to the mission statement – it should be submitted to the divisional assessment liaison and shared with the staff within the unit. Staff should be informed of their contribution to their unit and ultimately to the mission of the College.

Table 4. Rubric to Assess the Unit Mission

Dimension	Does Not Meet Criteria	Approaching Criteria	Meets Criteria
Clear	Statement is ambiguous; purpose of the unit is unclear	Some sense of purpose of the unit is present, but may be too broad	Unit purpose is well developed and provides clarity
Concise	Statement is excessively wordy	May convey the intended purpose, but could be stated more succinctly	Statement conveys the intended purpose; no excessive wordiness
Specific to the unit	Statement is vague	Statement may indicate the characteristics of the unit, but lacks distinctiveness from other units or programs	Statement clearly indicates the attributes that separate it from other units or programs
Identifies the unit's constituencies	Statement does not address the group(s) that the unit serves or benefits from its services	Group(s) served is only partially indicated or unclear for which the unit serves or benefits from its services	Articulates the group(s) the unit serves or benefits from its services
Aligns with College Mission	Refer to the Unit's Mission Alignment Form		

Some units may find that direct alignment of their unit mission to the College mission is a challenge. However, all AES units, whether directly or not, operate in support of the College, the College mission, and the College strategic plan. These units are welcome to provide an additional alignment of their unit values/purpose to the College mission (see Appendix E for the alignment template).

Some AES units are student-facing. These units are not only responsible for assessing their administrative effectiveness, but also for assessing student learning outcomes (SLOs) that are associated with their unit. For example, the advising office may wish to assess not only its operations, but also whether the students who come for advisement know how to properly register for a course or – even more simply – know how to locate the advising office. All student-facing AES units must have **at least one** SLO. Student-facing units may find that their unit mission aligns with one or more of the Brooklyn College Institutional Learning Outcomes (ILOs). To make this alignment clear to constituencies, units may wish to provide a mapping of unit mission to ILOs (see mapping template in Table 5).

Table 5. Sample for Unit Mission Alignment to the College ILOs

Directions: Please indicate how each statement part aligns to the ILOs by marking with an "**X**".

Unit Mission Statement	Think critically and creatively	Effectively express their thoughts	Make sound ethical judgments	Integrate knowledge from diverse sources	Become an informed and responsible citizen of the world
The Brooklyn College Learning Center (LC) provides peer tutoring and utilizes national best practices that allow students to achieve their academic goals.	X	X	X	X	X
Academically, we meet students where they are, and take them where they want to be. With support from the Office of Institutional Research, the LC designs relevant interventions for need areas.	X	X		X	
Empowering students to cultivate the skills and behaviors of confident, independent, and lifelong learners, the LC furthers Brooklyn College's focus on student-driven learning, and increased retention and graduation rates.	X	X		X	X

Adapted from the Learning Center Mission

These student-facing units must also indicate whether their unit outcomes are SLOs or non-SLOs in alignment documentation. For more information and resources on student learning outcomes, please refer to the *Brooklyn College Academic Assessment Handbook*.

Defining Unit Goals

AES units should define their goals in support of the unit mission. These goals are general statements that describe the overarching intended outcomes of an AES unit. They are primarily used for general planning and are used as the starting point to the development and refinement of outcomes. The goals should be accompanied by distinguishable outcomes, that when measured appropriately, provide evidence of the unit achieving its goals and identify any challenges.

Unit goals are a clear, meaningful statement of the unit's purpose or functions. They stem from the unit mission statement but are also aligned with the College's mission and strategic plan. Typically, units will have 3-5 goals. Unit goals answer the questions:

- What are the unit's primary functions?
- Which institutional functions are the responsibility of the unit?
- How does the unit benefit the institution?
- How does the unit benefit the students?

There are three steps in preparing to write or update AES unit goals, and a worksheet has been provided to assist in developing/modifying unit goals (see *Appendix F*).

Step 1. Collect and review the current goal statements that may appear in the:

- College bulletin,
- Goals and Targets reports for Brooklyn College or CUNY,
- Brooklyn College Strategic Plan, and/or
- Website (or any other place where such documentation might exist).

If a unit does not have any documented goals, it may be beneficial to conduct research regarding the goals of similar units at other institutions that have a strong AES assessment system.

Step 2. After reviewing your documented or other institution goals, list approximately five of the most important goals identified in the sources mentioned that align with your unit's mission.

Step 3. Once you have reached an understanding of the mission of the administrative unit and the division heads and staff are in agreement on what the administrative unit is proposing to accomplish, you can start writing or updating the administrative unit goals. These goals can focus on the key functions of the unit, such as the application process, orientation service, facility maintenance, educational support, etc. The goals should also align with the College's Strategic Plan goals. This can be documented using a mapping of unit goals to Strategic Plan goals (see Table 6). Unit outcomes should align with unit goals.

Table 6. Sample Mapping of Unit Goals to Strategic Plan Objectives

Unit Goal	Outcomes	SLO or Non-SLO?	Strategic Plan Objective
Goal #1: *Develop and strengthen relationship with faculty, departments and student support staff so they form another layer of support for BLMI members.*	1.1 Provide information to program participants and connect students to various campus resources to improve academic performance. Provide information and referral services to students who are not program participants.	Non-SLO	1.2 Attract, develop, and retain an innovative, diverse, productive, and engaged faculty and staff. 2.4 Enhance student support programs, including those for special populations, such as transfer students, students with disabilities, veterans, and international students.
Goal #2: *Develop a culture of mentorship within the program, grounded in our culturally competent peer-to-peer mentors and supported through alumni mentorship.*	2.1 Increase number of mentors by 25%	Non-SLO	1.2 Attract, develop, and retain an innovative, diverse, productive, and engaged faculty and staff. 2.4 Enhance student support programs, including those for special populations, such as transfer students, students with disabilities, veterans, and international students.
	2.2 Restructure mentorship requirements to use the Phoenix Gateway to increase in-person interactions by 50%	Non-SLO	
	2.3 Mentees will be able to demonstrate an awareness of campus resources	SLO	
Goal #3: *Develop and execute an outreach plan for local high schools, junior high schools and community colleges – create a pipeline of students coming directly into BLMI.*	3.1 Increase Latino registration to 30% of the overall registration	Non-SLO	5.2 Promote Brooklyn College's leadership in accessibility, diversity, excellence, and social mobility. 5.3 Position and develop Brooklyn College as a vital resource to advance the public good in our borough. 5.4 Improve the mechanisms of communication to strengthen our reputation and identity.
	3.2 Create collaborations in key areas to increase engagement of Latino male by 25%.	Non-SLO	
	3.3 Develop an outreach plan to create a pipeline of students directly into BLMI, from high school and community colleges.	Non-SLO	

Adapted from a subset of the Black and Latino Male Initiative unit goals

Defining Administrative Unit Outcomes

Administrative-level outcomes should be realistic in terms of the resources and support currently available within the unit. They should also be measurable statements, that is, collect accurate quantitative and/or qualitative data usable for making improvements to process or unit. Outcomes are derived from unit goals and should imply or name specific metrics that can be measured to track the unit's performance. This is particularly important in AES assessment because AES assessment lacks the obvious student performance measures that are common in academic assessment. While outcome development may prove challenging for certain units, there is guidance available via the Office of Institutional Effectiveness. In addition, an AES Outcomes Development Worksheet is located for use in Appendix G. The outcomes must align to the unit goals and in turn to the College Strategic Plan Objectives. An alignment template is provided in Appendix H. Table 7 contains a list of general measures of outcomes for administrative units.

Table 7. Examples of Administrative, Educational, and Student Support Unit Assessment Measures

Measures of Unit Processes	Measures of Unit Initiatives	Measures of Satisfaction
- Auditor's findings - Average service time - Average wait time - Comparison to professional standards - Deviation from annual plan - Level of compliance - Number of complaints - Number of errors or error rate - Processing time for requests - Staff training hours - Timeliness of response	- Awareness surveys - Number of applications & percentage change - Number of new/alumni/parent/faculty and staff donors - Number of training sessions & growth in attendance - Number of users & percentage change - Number/amount of donations, percentage increase - Pre- and post-workshop tests (tied to SLOs) - Satisfaction surveys, tied to outcomes - Staff training hours, tied to outcomes	- Activity participant feedback - Customer, client, or visitor satisfaction forms - Focus groups - Opinion surveys - Satisfaction surveys

Adapted from Administrative assessment: a guide to planning, implementing, and reporting. Marymount University Office of Planning and Institutional Effectiveness, 2018.

Table 8 provides a list of descriptors for operations, tasks, and behaviors seen in AES units. Figures 7 and 8 provide a support outcomes taxonomy and verb wheel, respectively. They are excellent resources for developing outcomes that appropriately describe operational tasks at multiple levels and in multiple categories.

Table 8. Support Outcomes Descriptors

Appropriateness	Completeness	Consistency	Quality	Timeliness
Appropriately	Accurate	Consistent	Acceptable	Concise
Increase/Decrease	Complete	Constant	Adequate	Efficient
Meaningful	Comprehensive	Continually	Clearly	Prompt
Necessary	Fully	Reliable	Competent	Timely
Needed	Integrated	Seamlessly	Correctly	Updated
Reduce/Expand	Systematic	Uniform	Effective	
Relevant	Thorough		Excellent	
Required			Quality	
Specific			Satisfactory	
Targeted			Sufficient	
Useful				

Adapted from the Table of Support Outcomes Descriptors. Dorime Williams, M. & Shults, C., 2017. BMCC Support Outcomes Taxonomy.
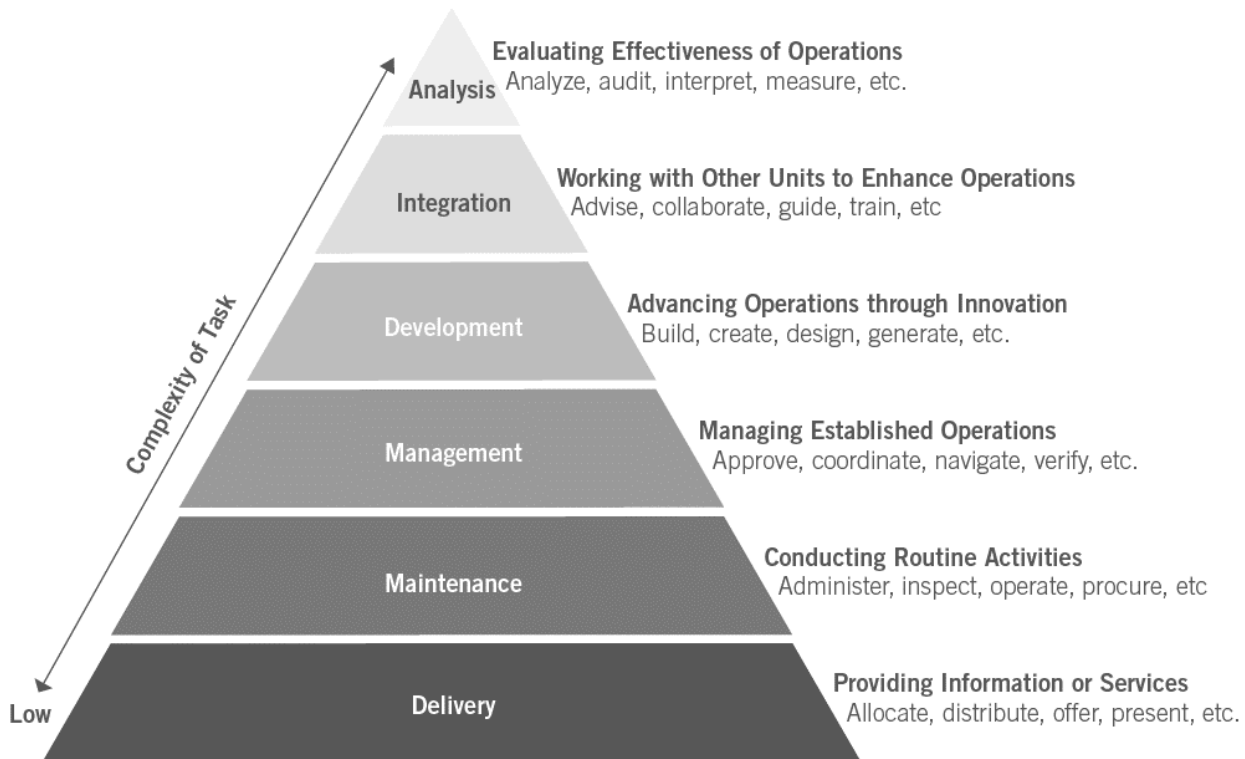
Figure 7. *From the Shults Dorime Williams Support Outcomes Taxonomy. Dorime Williams, M. & Shults, C., 2017. BMCC Support Outcomes Taxonomy.*
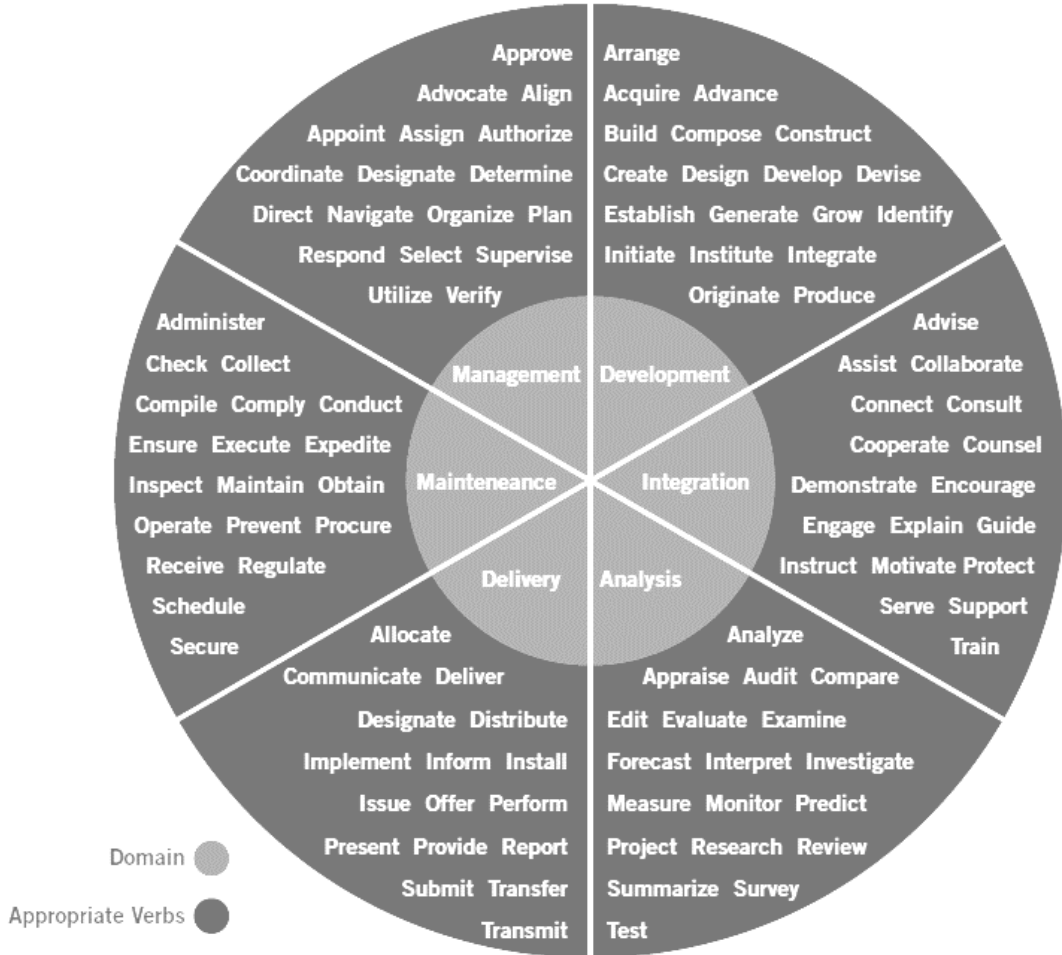
Figure 8. *From the* Shults Dorime Williams Support Outcomes Verb Wheel. *Dorime Williams, M & Shults, C., 2017. BMCC Support Outcomes Taxonomy.*

Measurement of strategic and operational outcomes may seem to be a challenge for administrative units. To develop guidelines, measures, and criteria for effective assessment of these outcomes, staff and administrators should work together to discuss what processes can be assessed within the unit and what parameters can be used to identify successful achievement of their outcomes. Administrators should articulate the performance indicators to be used to assess the attainment of those outcomes; performance indicators are a set of observable and measurable actions or performance targets that enable administrators to assess whether an outcome has been met. It is recommended that multiple staff and administrators be included in the process of choosing or defining performance criteria.

After establishing performance criteria, staff and administrators can further articulate a scale with various levels of mastery. One possible instrument that can be used to measure the level of achievement for these outcomes is a rubric. A rubric is a tool used in assessing performance. A rubric is a matrix consisting of three parts: performance indicators, a scale, and descriptors of levels of performance for the scale. Assessment rubrics are useful because they list clear expectations of performance and provide a way to rate the efficiency or efficacy of unit operations

or procedures. Development of a rubric can take time, and often requires some revision so that the instrument is valid, meaning that it measures what it means to measure.

The first steps in rubric development are as follows:
- Identify necessary characteristics for the outcome; one may use internal or external (e.g., professional organization) standards;
- Translate into a list of clear evidence-based statements (performance indicators); and
- Develop a scale and descriptors to evaluate the level to which the indicators were met.

See Figure 9 for an example of a rubric for an administrative unit process.

Performance Criteria	Expectation Not Met	Expectation Partially Met	Expectation Met
Student Question Documented According to Office Procedures	☐ No notes taken; no question entry into spreadsheet.	☐ Notes taken, but no question entry into spreadsheet.	☐ Notes taken and question entered in spreadsheet.
Student Contact Information Filed According to Office Procedures	☐ No student name or email noted.	☐ Student name noted, but no email.	☐ Student name and email noted.
Response to Question Returned in a Timely Fashion	☐ Response time was over 2 weeks.	☐ Response time was over 1 week.	☐ Response time was under 1 week.
Response to Question was Complete and Accurate	☐ Response was neither complete nor correct.	☐ Response was correct but not complete.	☐ Response was correct and complete.
Question Resolution was Documented According to Office Procedures	☐ Neither resolution nor resolution status were documented in spreadsheet.	☐ Either resolution or resolution status were missing from spreadsheet.	☐ Both the resolution and resolution status were documented in spreadsheet.

Figure 9. A sample rubric for the assessment of the resolution of student inquiries in an administrative unit
Circle A denotes the 3-level rubric scale from "Expectation Not Met" to "Expectation Met"; Circle B denotes the performance indicators for the rubric; Circle C denotes the descriptor and selection box for the performance indicators at each scale level.

Brooklyn College Timeline for AES Assessment

AES unit assessment is an ongoing process. Units are expected to assess their performance on an annual basis, evaluating a subset of their outcomes every year. All unit outcomes must be assessed in full during a recommended 3-year period (the assessment cycle length is ultimately at the discretion of the respective division head for all AES units, and can range from 2 to 5 years). Division heads appoint a subcommittee of representatives to review all annually submitted assessment reports for quality and completeness. Submission dates for annual reports often fall at the end of the fiscal year so that budgetary considerations can be addressed, but the official submission date for each unit is at the discretion of the division head. In addition to this annual assessment, the units must also conduct and External Unit Review every 5 years. The CUNY Middle States Council, in conversation with the CUNY Colleges and their AES Assessment Councils, are developing an External Unit Review schedule. This external unit review allows for units to take stock of where they are in achieving their unit goals and in supporting the College Strategic Plan, the College Mission, and the CUNY PMP. A suggested cycle for assessment of AES units and assessment support resources is shown in Figure 10.

Assessment Cycle

**Some Suggested AES
Assessment Resources**

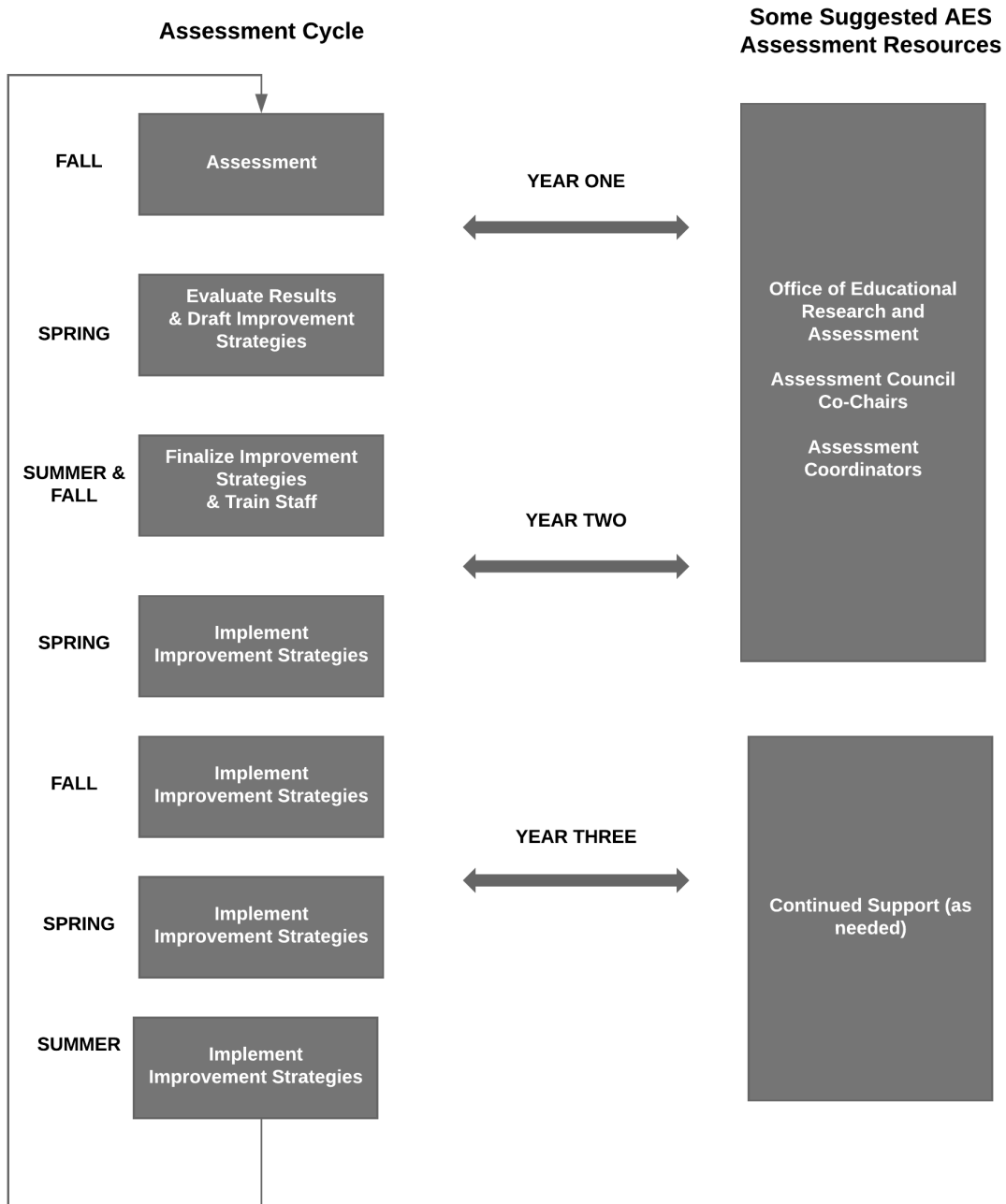|		
FALL	Assessment	
		YEAR ONE
SPRING	Evaluate Results & Draft Improvement Strategies	
		Office of Educational Research and Assessment
SUMMER & FALL	Finalize Improvement Strategies & Train Staff	Assessment Council Co-Chairs
		Assessment Coordinators
		YEAR TWO
SPRING	Implement Improvement Strategies	
FALL	Implement Improvement Strategies	
		YEAR THREE
SPRING	Implement Improvement Strategies	Continued Support (as needed)
SUMMER	Implement Improvement Strategies	

Figure 10. A proposed timeline for AES unit outcome assessment for a three-year assessment cycle

Developing the Assessment Plan

In order to ensure a systematic assessment in support of the Continuous Improvement Model is utilized within each unit, it is important to develop a unit assessment plan. The assessment planning document is required for all units. The document should be submitted to the appropriate divisional assessment personnel.

The following steps can assist in creating and documenting the assessment plan:

- Define, affirm, or update the mission of the administrative unit - mission is a broad statement of the administrative unit's direction, aligned with the College's mission;

- Define, affirm, or update the goals of the administrative unit – goals are general statements that are further articulated through outcomes and align with the mission of the unit;

- Define the outcomes of the administrative unit – outcomes are statements that enable the unit to measure its progress toward the achievement of unit goals;

- Identify performance criteria/targets for each outcome - determine what standards are expected from services provided by the unit;

- Inventory existing and needed assessment methods;

- Organize for assessment – identify key personnel who will assist in the assessment process;

- Determine how assessment results will be used for AES unit improvement;

- Establish a schedule for the above steps;

- Submit assessment plan for review to your respective divisional assessment liaison;

- Update the assessment plan with recommendations from your assessment liaison;

- Disseminate the assessment plan among staff within the unit.

Once the assessment plan has been finalized, the unit team should implement the assessment plan, collect data, review data at appropriate intervals as documented within the detailed assessment planning document (see Table 9 for a sample detailed assessment planning document, and Appendix I for the template).

Table 9. Sample Detailed AES Assessment Planning Document

Unit: The Learning Center
Division: Academic Affairs
Unit Mission: The Brooklyn College Learning Center (LC) provides peer tutoring and utilizes national best practices that allow students to achieve their academic goals. Academically, we meet students where they are, and take them where they want to be. With support from the Office of Institutional Research, the LC designs relevant interventions for need areas. Empowering students to cultivate the skills and behaviors of confident, independent, and lifelong learners, the LC furthers Brooklyn College's focus on student-driven learning, and increased retention and graduation rates.

Goal	Strategic Plan Objective	Outcome	SLO or Non-SLO	Assessment Method(s)	Source of Data	Timeframe for Data Collection	Coordinating Staff	Timeframe for Evaluation of Assessment Results	Timeline for Use of Results (if applicable)	Re-Assess/Data Collection (semester)	Evaluate Effectiveness of Results-based Changes
Goal 1: Provide early intervention for all students registered for Math 1011, 1021, or 1026.	2.1	Outcome 1.1: Hold well-attended pre-semester workshops for students registered in Math courses 1011, 1021, and 1026.	Non-SLO	Tracking Workshop Attendance	All Workshops	Summer 2019	Geraldine Wichy	Fall 2019	Spring 2020 - Spring 2022	Summer 2022	Fall 2022
		Outcome 1.2: Improve mastery of key algebraic concepts via pre-semester workshops.	SLO	Pre- and post-workshop quizzes	All students who attend the workshops	Summer 2019	Richard Vento	Fall 2019	Spring 2020 - Spring 2022	Summer 2022	Fall 2022
Goal 2: Improve pass rates in Chemistry 1050 and Chemistry 1100.	2.1	Outcome 2.1: Increase final exam pass rates by 20% for faculty- and tutor-hosted final exam review session attendees	SLO	CHEM 1050 and 1100 exam results	Students who attend the review sessions	Fall 2020	Richard Vento	Spring 2021	Summer 2021 - Summer 2023	Fall 2023	Spring 2024
Goal 3: Optimize Supplemental Instruction Curriculum supporting students enrolled in various levels of Pre-Calculus and CISC 1115.	2.4	Outcome 3.1: Improve student satisfaction with supplemental pre-calculus review workshops during set days/times throughout the semester which differ from the traditional drop-in tutoring model	Non-SLO	Post-Workshop Satisfaction Survey	Pre-Calculus students who attend workshop	Spring 2022	Geraldine Wichy	Summer 2022	Fall 2022 - Fall 2024	Spring 2025	Summer 2025
		Outcome 3.2: Increase attendance at CISC "Booster" workshops	Non-SLO	Track number of invitation postcards sent; Track workshop attendance as percentage of those contacted	Students enrolled in CISC 1115	Spring 2021	Richard Vento	Summer 2021	Fall 2021 - Fall 2023	Spring 2024	Summer 2024

Notes:
1. List the full statement of goals and outcomes - do not leave as Goal 1, Outcome #1
2. The number of goals and outcomes will vary per office
3. Student-facing units MUST have Student Learning Outcomes

Adapted from planning documentation from The Learning Center, a Student-Facing Unit

AES units should define their mission, establish goals and determine how to measure outcomes associated with those goals so that key processes that meet the needs and expectations of students, parents, employers, faculty and other stakeholders can be monitored and improved on a continuous basis.

Brooklyn College's Emphasis on Assessment for Learning

According to Ewell and Cumming (2017), faculty and administrators:

> Must never forget that the foundational values of assessment lie in action and improvement. Every assessment approach is a means to an end, and each end is different. Returning to the basic question to be answered or pedagogical problem to be addressed is always a basic prerequisite to effective assessment. (pp. 22-23)

Brooklyn College considers the use of the assessment data to improve student outcomes as the primary reason to engage in the assessment process. The mandatory regional and professional accreditation requirements are a secondary, although necessary, consideration.

Types of Improvement Through Assessment

Divisional Improvement

For the five divisions at Brooklyn College, improvement plans are considered at the level of the Strategic Plan and the CUNY PMP. Communication is vetted widely among the senior administration, BCASC, AES Assessment Council leadership, AES Assessment committees, unit heads, various administrative staff, and administrative support systems listed. The improvement strategies/results-based changes are typically implemented over several years, allowing time for the effects of these to take hold. After the improvement implementation phase of the Continuous Improvement Cycle is complete, there is a re-assessment.

Unit-Level Improvement

For unit-level assessment, the improvement plan drafting and implementation are determined and monitored by the unit staff and administrators. Unit heads and assessment coordinators provide the leadership for their respective offices. They guide staff to the resources available that may help them improve the function of their offices.

Resources for Supporting Assessment Activities and Improving Outcomes

The Office of Educational Research and Assessment

The Office of Educational Research and Assessment (ERA) supports faculty and staff assessment efforts by providing guidance and best practices for assessing student learning and administrative operations and initiatives. ERA conducts workshops through CTL to train faculty and staff to think critically about their programmatic, institutional, and divisional assessment practices and to guide them in systematizing their assessment efforts. These workshops also train faculty and staff in using College assessment resources and documents. Furthermore, ERA works closely with the AES Assessment Council to drive College-wide assessment efforts.

Budgetary Considerations.

A unit may find, through its assessment process – either via the annual assessment report or the External Unit Review – that additional resources, such as equipment or staffing, are needed to improve or maintain unit outcomes. Within the assessment report, the unit should thus outline the following:

Step 1. Discuss unit-level resource redistribution to help make the appropriate changes to improve or maintain outcomes.

Step 2. If the unit believes that unit-level budgetary redistribution will not make a significant impact, the unit may additionally request resources from their division head. At this level of request, a ranking must be provided, ordering the importance of the change and its linkage to unit outcomes and the College Strategic Plan, along with justification and appropriate evidence (see Appendix J for a ranking table template). In reviewing the assessment report, the division head then may consider a resource redistribution from within the division, or an official request via the usual Brooklyn College budget request process.

Step 3. If these budgetary changes are granted, the unit must report on their impact in the following annual assessments and External Unit Reviews.

Assessment Data for Research or Publication

According to the CUNY Assessment Council, activities that are conducted for the purposes of assessment do not require CUNY Institutional Review Board review. CUNY's exemption policy is indicated in Appendix K.

The assessment data may not be used for research purposes (e.g., conference presentations, publications) without contacting Brooklyn College's Institutional Review Board coordinator for instructions for attaining the permission to utilize such data. The College IRB policies can be found on the Brooklyn College website.

Information regarding the Family Educational Rights and Privacy Act (sometimes referred to as the Buckley Amendment or FERPA) is in Appendix K. Further information on CUNY policy can be found on the CUNY website.

Glossary

Administrative Unit: An office responsible for the operational activities within an educational institution.

AES Assessment: Administrative, Educational and Student Support Unit Assessment - the assessment of the effectiveness of non-instructional units within an institution.

Alignment: The degree to which the components of an education system—such as standards, curricula, assessments, and instruction—work together to achieve desired goals (Ananda, 2003; Resnick, Rothman, Slattery, and Vranek, 2003; Webb, 1997b).

Assessment: A systematic process of gathering and analyzing information to see if your division, unit, or program is meeting its goals, objectives, or outcomes and then using that information to make improvements

Assessment Instrument: A tool or instrument used to assess administrative operations and units. A commonly used tool is a rubric for performance appraisals. To learn more about assessment instruments, please refer to the Brooklyn College AES Assessment Handbook.

Assessment Method: The method used to assess unit outcomes. This can be a short description of the unit activity or process and the assessment instrument (e.g., locally developed rubric) used.

Assessment Results: The quantitative or qualitative results of the assessment of unit performance. This can be presented as short paragraph, a graph, a table, etc.

Direct Measures: For student learning outcomes (SLOs), these are the measurements of student knowledge, behaviors and learning linked to specified SLOs.

Data Source: The origin of the data used to answer a research question. In the context of this document, the data source is the sample and sampling method description for data collection.

Division: A department within an institution. At Brooklyn College, there are five divisions under which numerous offices (units) are housed, including Academic Affairs or Enrollment Management and Retention, for example.

Documentation: Materials that provide evidence or record of certain activities, decisions, or planning.

Evaluation: The process of assessing the value, worth or effectiveness of an initiative, program, process or curriculum; evidence-gathering processes that are designed to examine unit, program, or institution-level effectiveness.

Goals: The general aims or purposes of an educational system, often at the unit or program level, that are broadly defined and include intended outcomes.

Indirect Assessment: The measurement of student learning experiences often linked to direct assessments but not measuring student learning outcomes. Consequently, indirect assessments can include opinions or thoughts about student knowledge, values, beliefs and attitudes about educational programs, processes and curriculum. They may also include measures of student outcomes like retention rate, course grades or GPA that are not direct assessments of the student learning outcomes.

Initiative: A general term for a strategy, program, product, service, or project.

Institutional Effectiveness: How well an institution meets its mission and goals, as well as meeting stakeholder needs, deploying resources effectively, prudently, and efficiently to ensure an institution's well-being, serving the public good, and demonstrating an institution's quality and effectiveness in fulfilling its responsibilities (Suskie, 2014).

Mapping: Identifying where outcomes are aligned with a mission, goals, or initiatives.

Mission: An institution's mission defines its purpose within the context of higher education, the students it serves, and what it intends to accomplish (MSCHE, 2018).

Operational Outcomes: Outcomes that reflect the core mission and purpose of the administrative unit by stating the expected results. Operational outcomes are generally assessed to ensure effectiveness of the unit at meeting its mission. Accordingly, operational outcomes are written in present tense.

Outcomes: The results of programs including behaviors, knowledge, skills and level of functioning. They are usually measured as an assessment. For SLOs, they can be measured using a performance appraisal or a test.

Performance Target: A quantitative benchmark for assessing achievement. For example, if one the quality of a service using a rubric for performance appraisal, a target can be set as 70% of servicers meeting or exceeding expectations.

Planning Document: A document that calendars the assessment of outcomes for a program, initiative, program, or unit, and outlines when the outcomes will be assessed. A detailed planning document also includes the unit goals, assessment methods, coordinating staff, and dates for evaluation, improvement planning, and re-evaluation of unit outcomes.

Results-based Changes: Changes made within a division or unit based on the analysis of the assessment results. These changes attempt to remedy or better any areas or processes needing improvement as identified by the assessment process.

Rubric: A tool used in assessing student artifacts, e.g., oral exams, research papers, and capstone projects, or in assessing unit processes, e.g., services, activities, and procedures. Assessment rubrics are useful because they list clear expectations of performance and provide a way to rate student work and unit operations.

Sample: A selected subset of a population, ideally representative of the whole.

Sampling Method: The way in which the sample from the population is selected.

Strategic Outcomes: Outcomes that reflect future expected results of the unit, based on a planned activity. Strategic outcomes are generally assessed as part of the planning process to ensure strategic initiatives have the intended or positive results. Accordingly, strategic outcomes typically are written in future tense.

Student Learning Outcomes: (SLOs) are behavioral statements that specify what students will learn or can do as a result of a learning program, process, or curriculum.

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Appendix A: MSCHE Standards for Accreditation and Requirements of Affiliation

Standard I
Mission and Goals

The institution's mission defines its purpose within the context of higher education, the students it serves, and what it intends to accomplish. The institution's stated goals are clearly linked to its mission and specify how the institution fulfills its mission.

Criteria

An accredited institution possesses and demonstrates the following attributes or activities:
1. clearly defined mission and goals that:
> a. are developed through appropriate collaborative participation by all who facilitate or are otherwise responsible for institutional development and improvement;
> b. address external as well as internal contexts and constituencies;
> c. are approved and supported by the governing body;
> d. guide faculty, administration, staff, and governing structures in making decisions related to planning, resource allocation, program and curricular development, and the definition of institutional and educational outcomes;
> e. include support of scholarly inquiry and creative activity, at levels and of the type appropriate to the institution;
> f. are publicized and widely known by the institution's internal stakeholders;
> g. are periodically evaluated;

2. institutional goals that are realistic, appropriate to higher education, and consistent with mission;
3. goals that focus on student learning and related outcomes and on institutional improvement; are supported by administrative, educational, and student support programs and services; and are consistent with institutional mission; and
4. periodic assessment of mission and goals to ensure they are relevant and achievable.

Standard II

Ethics and Integrity

Ethics and integrity are central, indispensable, and defining hallmarks of effective higher education institutions. In all activities, whether internal or external, an institution must be faithful to its mission, honor its contracts and commitments, adhere to its policies, and represent itself truthfully.

Criteria

An accredited institution possesses and demonstrates the following attributes or activities:

1. a commitment to academic freedom, intellectual freedom, freedom of expression, and respect for intellectual property rights;

2. a climate that fosters respect among students, faculty, staff, and administration from a range of diverse backgrounds, ideas, and perspectives;

3. a grievance policy that is documented and disseminated to address complaints or grievances raised by students, faculty, or staff. The institution's policies and procedures are fair and impartial, and assure that grievances are addressed promptly, appropriately, and equitably;

4. the avoidance of conflict of interest or the appearance of such conflict in all activities and among all constituents;

5. fair and impartial practices in the hiring, evaluation, promotion, discipline, and separation of employees;

6. honesty and truthfulness in public relations announcements, advertisements, recruiting and admissions materials and practices, as well as in internal communications;

7. as appropriate to its mission, services or programs in place:

    a. to promote affordability and accessibility;

    b. to enable students to understand funding sources and options, value received for cost, and methods to make informed decisions about incurring debt;

8. compliance with all applicable federal, state, and Commission reporting policies, regulations, and requirements to include reporting regarding:

    a. the full disclosure of information on institution-wide assessments, graduation, retention, certification and licensure or licensing board pass rates;

    b. the institution's compliance with the Commission's Requirements of Affiliation;

    c. substantive changes affecting institutional mission, goals, programs, operations, sites, and other material issues which must be disclosed in a timely and accurate fashion;

    d. the institution's compliance with the Commission's policies; and

9. periodic assessment of ethics and integrity as evidenced in institutional policies, processes, practices, and the manner in which these are implemented.

Standard III

Design and Delivery of the Student Learning Experience

An institution provides students with learning experiences that are characterized by rigor and coherence at all program, certificate, and degree levels, regardless of instructional modality. All learning experiences, regardless of modality, program pace/schedule, level, and setting are consistent with higher education expectations.

Criteria

An accredited institution possesses and demonstrates the following attributes or activities:

1. certificate, undergraduate, graduate, and/or professional programs leading to a degree or other recognized higher education credential, of a length appropriate to the objectives of the degree or other credential, designed to foster a coherent student learning experience and to promote synthesis of learning;

2. student learning experiences that are designed, delivered, and assessed by faculty (full-time or part-time) and/or other appropriate professionals who are:

   a. rigorous and effective in teaching, assessment of student learning, scholarly inquiry, and service, as appropriate to the institution's mission, goals, and policies;

   b. qualified for the positions they hold and the work they do;

   c. sufficient in number;

   d. provided with and utilize sufficient opportunities, resources, and support for professional growth and innovation;

   e. reviewed regularly and equitably based on written, disseminated, clear, and fair criteria, expectations, policies, and procedures;

3. academic programs of study that are clearly and accurately described in official publications of the institution in a way that students are able to understand and follow degree and program requirements and expected time to completion;

4. sufficient learning opportunities and resources to support both the institution's programs of study and students' academic progress;

5. at institutions that offer undergraduate education, a general education program, free standing or integrated into academic disciplines, that:

   a. offers a sufficient scope to draw students into new areas of intellectual experience, expanding their cultural and global awareness and cultural sensitivity, and preparing them to make well-reasoned judgments outside as well as within their academic field;

   b. offers a curriculum designed so that students acquire and demonstrate essential skills including at least oral and written communication, scientific and quantitative reasoning, critical analysis and reasoning, technological competency, and information literacy. Consistent with mission, the general education program also includes the study of values, ethics, and diverse perspectives; and

   c. in non-US institutions that do not include general education, provides evidence that students can demonstrate general education skills;

6. in institutions that offer graduate and professional education, opportunities for the development of research, scholarship, and independent thinking, provided by faculty and/or other professionals with credentials appropriate to graduate-level curricula;

7. adequate and appropriate institutional review and approval on any student learning opportunities designed, delivered, or assessed by third-party providers; and

8. periodic assessment of the effectiveness of programs providing student learning opportunities.

Standard IV

Support of the Student Experience

Across all educational experiences, settings, levels, and instructional modalities, the institution recruits and admits students whose interests, abilities, experiences, and goals are congruent with its mission and educational offerings. The institution commits to student retention, persistence, completion, and success through a coherent and effective support system sustained by qualified professionals, which enhances the quality of the learning environment, contributes to the educational experience, and fosters student success.

Criteria

An accredited institution possesses and demonstrates the following attributes or activities:

1. clearly stated, ethical policies and processes to admit, retain, and facilitate the success of students whose interests, abilities, experiences, and goals provide a reasonable expectation for success and are compatible with institutional mission, including:

   a. accurate and comprehensive information regarding expenses, financial aid, scholarships, grants, loans, repayment, and refunds;

   b. a process by which students who are not adequately prepared for study at the level for which they have been admitted are identified, placed, and supported in attaining appropriate educational goals;

   c. orientation, advisement, and counseling programs to enhance retention and guide students throughout their educational experience;

   d. processes designed to enhance the successful achievement of students' educational goals including certificate and degree completion, transfer to other institutions, and post-completion placement;

2. policies and procedures regarding evaluation and acceptance of transfer credits, and credits awarded through experiential learning, prior non-academic learning, competency-based assessment, and other alternative learning approaches;

3. policies and procedures for the safe and secure maintenance and appropriate release of student information and records;

4. if offered, athletic, student life, and other extracurricular activities that are regulated by the same academic, fiscal, and administrative principles and procedures that govern all other programs;

5. if applicable, adequate and appropriate institutional review and approval of student support services designed, delivered, or assessed by third-party providers; and

6. periodic assessment of the effectiveness of programs supporting the student experience.

Standard V

Educational Effectiveness Assessment

Assessment of student learning and achievement demonstrates that the institution's students have accomplished educational goals consistent with their program of study, degree level, the institution's mission, and appropriate expectations for institutions of higher education.

Criteria

An accredited institution possesses and demonstrates the following attributes or activities:

1. clearly stated educational goals at the institution and degree/program levels, which are interrelated with one another, with relevant educational experiences, and with the institution's mission;

2. organized and systematic assessments, conducted by faculty and/or appropriate professionals, evaluating the extent of student achievement of institutional and degree/program goals. Institutions should:

> a. define meaningful curricular goals with defensible standards for evaluating whether students are achieving those goals;
>
> b. articulate how they prepare students in a manner consistent with their mission for successful careers, meaningful lives, and, where appropriate, further education. They should collect and provide data on the extent to which they are meeting these goals;
>
> c. support and sustain assessment of student achievement and communicate the results of this assessment to stakeholders;

3. consideration and use of assessment results for the improvement of educational effectiveness. Consistent with the institution's mission, such uses include some combination of the following:

> a. assisting students in improving their learning;
>
> b. improving pedagogy and curriculum;
>
> c. reviewing and revising academic programs and support services;
>
> d. planning, conducting, and supporting a range of professional development activities;
>
> e. planning and budgeting for the provision of academic programs and services;
>
> f. informing appropriate constituents about the institution and its programs;
>
> g. improving key indicators of student success, such as retention, graduation, transfer, and placement rates;
>
> h. implementing other processes and procedures designed to improve educational programs and services;

4. if applicable, adequate and appropriate institutional review and approval of assessment services designed, delivered, or assessed by third-party providers; and

5. periodic assessment of the effectiveness of assessment processes utilized by the institution for the improvement of educational effectiveness.

Standard VI

Planning, Resources, and Institutional Improvement

The institution's planning processes, resources, and structures are aligned with each other and are sufficient to fulfill its mission and goals, to continuously assess and improve its programs and services, and to respond effectively to opportunities and challenges.

Criteria

An accredited institution possesses and demonstrates the following attributes or activities:

1. institutional objectives, both institution wide and for individual units, that are clearly stated, assessed appropriately, linked to mission and goal achievement, reflect conclusions drawn from assessment results, and are used for planning and resource allocation;

2. clearly documented and communicated planning and improvement processes that provide for constituent participation, and incorporate the use of assessment results;

3. a financial planning and budgeting process that is aligned with the institution's mission and goals, evidence-based, and clearly linked to the institution's and units' strategic plans/objectives;

4. fiscal and human resources as well as the physical and technical infrastructure adequate to support its operations wherever and however programs are delivered;

5. well-defined decision-making processes and clear assignment of responsibility and accountability;

6. comprehensive planning for facilities, infrastructure, and technology that includes consideration of sustainability and deferred maintenance and is linked to the institution's strategic and financial planning processes;

7. an annual independent audit confirming financial viability with evidence of follow-up on any concerns cited in the audit's accompanying management letter;

8. strategies to measure and assess the adequacy and efficient utilization of institutional resources required to support the institution's mission and goals; and

9. periodic assessment of the effectiveness of planning, resource allocation, institutional renewal processes, and availability of resources.

Standard VII

Governance, Leadership, and Administration

The institution is governed and administered in a manner that allows it to realize its stated mission and goals in a way that effectively benefits the institution, its students, and the other constituencies it serves. Even when supported by or affiliated with governmental, corporate, religious, educational system, or other unaccredited organizations, the institution has education as its primary purpose, and it operates as an academic institution with appropriate autonomy.

Criteria

An accredited institution possesses and demonstrates the following attributes or activities:

1. a clearly articulated and transparent governance structure that outlines roles, responsibilities, and accountability for decision making by each constituency, including governing body, administration, faculty, staff and students;

2. a legally constituted governing body that:

>   a. serves the public interest, ensures that the institution clearly states and fulfills its mission and goals, has fiduciary responsibility for the institution, and is ultimately accountable for the academic quality, planning, and fiscal well-being of the institution;

>   b. has sufficient independence and expertise to ensure the integrity of the institution. Members must have primary responsibility to the accredited institution and not allow political, financial, or other influences to interfere with their governing responsibilities;

>   c. ensures that neither the governing body nor its individual members interferes in the day-to-day operations of the institution;

>   d. oversees at the policy level the quality of teaching and learning, the approval of degree programs and the awarding of degrees, the establishment of personnel policies and procedures, the approval of policies and by-laws, and the assurance of strong fiscal management;

>   e. plays a basic policy-making role in financial affairs to ensure integrity and strong financial management. This may include a timely review of audited financial statements and/or other documents related to the fiscal viability of the institution;

>   f. appoints and regularly evaluates the performance of the Chief Executive Officer;

>   g. is informed in all its operations by principles of good practice in board governance;

>   h. establishes and complies with a written conflict of interest policy designed to ensure the impartiality of the governing body by addressing matters such as

payment for services, contractual relationships, employment, and family, financial or other interests that could pose or be perceived as conflicts of interest;

i. supports the Chief Executive Officer in maintaining the autonomy of the institution;

3. a Chief Executive Officer who:

a. is appointed by, evaluated by, and reports to the governing body and shall not chair the governing body;

b. has appropriate credentials and professional experience consistent with the mission of the organization;

c. has the authority and autonomy required to fulfill the responsibilities of the position, including developing and implementing institutional plans, staffing the organization, identifying and allocating resources, and directing the institution toward attaining the goals and objectives set forth in its mission;

d. has the assistance of qualified administrators, sufficient in number, to enable the Chief Executive Officer to discharge his/her duties effectively; and is responsible for establishing procedures for assessing the organization's efficiency and effectiveness;

4. an administration possessing or demonstrating:

a. an organizational structure that is clearly documented and that clearly defines reporting relationships;

b. an appropriate size and with relevant experience to assist the Chief Executive Officer in fulfilling his/her roles and responsibilities;

c. members with credentials and professional experience consistent with the mission of the organization and their functional roles;

d. skills, time, assistance, technology, and information systems expertise required to perform their duties;

e. regular engagement with faculty and students in advancing the institution's goals and objectives;

f. systematic procedures for evaluating administrative units and for using assessment data to enhance operations; and

5. periodic assessment of the effectiveness of governance, leadership, and administration.

Appendix B: AES Assessment Planning Worksheet

Division: **Contact:**

1. **Assessment Structure within the Division:**
   a. Unit Representation on the Divisional Assessment Committee

   b. Who leads the committee and how were they chosen?

   c. How often does the committee meet?

2. **Assessment Reports:**
   a. What is the structure of the reports?

   b. How often are unit assessment reports submitted?

   c. Where are they submitted?

3. **What is the assessment cycle length?**

4. **What is the assessment report review process?**

Appendix C: AES Unit Activity Reflection Worksheet

Unit: **Division:**   **Your Role:**

Unit Activity or Support Function	How does this advance your Unit Mission?	How does this advance the factors important to our students?

Appendix D: Alignment of Unit Mission to College Mission

Alignment of Unit Mission to College Mission

INSERT UNIT NAME

Brooklyn College Mission

> *Brooklyn College provides a transformative, distinctive, and affordable education to students from all backgrounds. We are proud of our history of intellectual freedom and academic excellence, as well as our location in a borough known for innovation, culture, and the arts. We have a special commitment to educate immigrants and first-generation college students from the diverse communities that make up our city and state. Our striving spirit reflects our motto: "Nothing without great effort." Through outstanding research and academic programs in the arts, business, education, humanities, and sciences, we graduate well-rounded individuals who think critically and creatively to solve problems. They become leaders who transform their fields and professions and serve our increasingly global community.*

Recoded Brooklyn College Mission Statement for Mapping

College Mission Statement	Code
Brooklyn College provides a transformative, distinctive, and affordable education to students from all backgrounds. We are proud of our history of intellectual freedom and academic excellence, as well as our location in a borough known for innovation, culture, and the arts.	CMS_1
We have a special commitment to educate immigrants and first-generation college students from the diverse communities that make up our city and state.	CMS_2
Our striving spirit reflects our motto: "Nothing without great effort." Through outstanding research and academic programs in the arts, business, education, humanities, and sciences, we graduate well-rounded individuals who think critically and creatively to solve problems.	CMS_3
They become leaders who transform their fields and professions and serve our increasingly global community.	CMS_4

MAPPING UNIT MISSION TO COLLEGE MISSION

Unit Mission:

*Please indicate how each statement aligns to college mission by marking with an "**X**".*

Unit Mission Statement	CMS_1	CMS_2	CMS_3	CMS_4
Unit Mission Statement Part 1: *List statement part in full.*				
Unit Mission Statement Part 2: *List statement part in full.*				
Unit Mission Statement Part 3: *List statement part in full.*				
Unit Mission Statement Part 4: *List statement part in full.*				

Appendix E: Alignment of Unit Values to College Mission

Alignment of Unit Values/Purpose to College Mission

<u>INSERT UNIT NAME</u>

Brooklyn College Mission

Brooklyn College provides a transformative, distinctive, and affordable education to students from all backgrounds. We are proud of our history of intellectual freedom and academic excellence, as well as our location in a borough known for innovation, culture, and the arts. We have a special commitment to educate immigrants and first-generation college students from the diverse communities that make up our city and state. Our striving spirit reflects our motto: "Nothing without great effort." Through outstanding research and academic programs in the arts, business, education, humanities, and sciences, we graduate well-rounded individuals who think critically and creatively to solve problems. They become leaders who transform their fields and professions and serve our increasingly global community.

Recoded Brooklyn College Mission Statement for Mapping

College Mission Statement	Code
Brooklyn College provides a transformative, distinctive, and affordable education to students from all backgrounds. We are proud of our history of intellectual freedom and academic excellence, as well as our location in a borough known for innovation, culture, and the arts.	CMS_1
We have a special commitment to educate immigrants and first-generation college students from the diverse communities that make up our city and state.	CMS_2
Our striving spirit reflects our motto: "Nothing without great effort." Through outstanding research and academic programs in the arts, business, education, humanities, and sciences, we graduate well-rounded individuals who think critically and creatively to solve problems.	CMS_3
They become leaders who transform their fields and professions and serve our increasingly global community.	CMS_4

Directions: Please indicate how each statement aligns to college mission by marking with an "**X**".

Unit Values/Purpose Statement	CMS_1	CMS_2	CMS_3	CMS_4
Unit Value/Purpose 1: *List statement in full here.*				
Unit Value/Purpose 2: *List statement in full here.*				
Unit Value/Purpose 3: *List statement in full here.*				
Unit Value/Purpose 4: *List statement in full here.*				

Appendix F: Brooklyn College Worksheet for Identifying and Defining AES Unit Goals

Brooklyn College Worksheet for Identifying and Defining AES Unit Goals

After each assessment team member has completed this worksheet, compare notes and discuss the results. Then summarize and articulate primary goals.

Division:

Unit:

Identify the Unit mission and list all appropriate Unit goals.

Describe the most important services your Unit provides.

Identify key functions or services within your Unit that contribute to supporting the College's mission and/or strategic plan.

For each key function or service, ask how Brooklyn College:

    a. **Operates more effectively as a result of your service**

    b. **Can support students because of your service**

    c. **Benefits from utilizing your service**

In what ways should your Unit make a difference in successful outcomes for Brooklyn College students, faculty, staff, and other administrative Units?

Articulate 3-5 Goals which align with your Unit mission

Appendix G: AES Outcomes Development Worksheet

Unit:

Division:

Unit Mission:

Goal	Strategic Plan Objective	Outcome	SLO or Non-SLO	How will you measure this outcome?	What resources and/or support may be allocated to this outcome?
Goal 1:		Outcome 1.1:			
		Outcome 1.2:			
		Outcome 1.3:			
Goal 2:		Outcome 2.1:			
		Outcome 2.2:			
		Outcome 2.3:			
Goal 3:		Outcome 3.1:			
		Outcome 3.2:			
		Outcome 3.3:			

Note. List the full statement of goals and outcomes - do not leave as Goal 1, Outcome 1.1. The number of goals and outcomes will vary per unit.

Appendix H: Alignment of Unit Goals and Outcomes to Strategic Plan Objectives

List your unit goals in full. Please indicate which Strategic Plan Goals are addressed by each unit goal.

Unit Goal	Outcome	SLO or Non-SLO?	Strategic Plan Objective
Goal #1: *List unit goal in full*			
Goal #2:			
Goal #3:			
Goal #4:			
Goal #5:			

Appendix I: Detailed AES Assessment Planning Document Template

Unit:

Division:

Unit Mission:

Goal	Strategic Plan Objective	Outcome	SLO or Non-SLO	Assessment Method(s)	Source of Data	Timeframe for Data Collection	Coordinating Staff	Timeframe for Evaluation of Assessment Results	Timeline for Use of Results (if applicable)	Re-Assess/ Data Collection (semester)	Evaluate Effectiveness of Results-based Changes
Goal 1:		Outcome 1.1:									
		Outcome 1.2:									
Goal 2:		Outcome 2.1:									
		Outcome 2.2:									
Goal 3:		Outcome 3.1:									
		Outcome 3.2:									
Goal 4:		Outcome 4.1:									
		Outcome 4.2:									

Notes:
1. List the full statement of goals and outcomes - do not leave as Goal 1, Outcome #1
2. The number of goals and outcomes will vary per office
3. Student-facing units MUST have Student Learning Outcomes

Appendix J: Budgetary Ranking for Operational Improvements Form Template

Rank of Importance	Planned Operational Improvement	Associated Outcome	Strategic Plan Objective
1			
2			
3			
4			
5			

Appendix K: CUNY HRPP/IRB Policies and FERPA Policies

Appendix K1: CUNY HRPP Procedures:
Human Subjects Research Exempt from IRB Review

1. Applicability

These procedures apply to CUNY research involving human subjects that meets the criteria for exemption from IRB review, as outlined in the federal regulations at 45 CFR 46.101(b).

2. Determination of Exemption

The HRPP Coordinator, not the Principal Investigator (PI), determines whether a research study meets the criteria for exemption from IRB review. Please refer to Section 7 below for submission and review procedures. Researchers may not initiate exempt research until and unless they have received a determination of exemption from the local HRPP Office.

3. Exemption Criteria

Research that falls within one of the following categories may qualify for exemption from IRB review:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (i) research on regular and special education instructional strategies, or (ii) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement),
survey procedures, interview procedures or observation of public behavior, unless: (i) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (ii) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. [NOTE: See Section 4.1 for limitations on this exemption category for research involving children.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement),
survey procedures, interview procedures, or observation of public behavior that is not exempt under paragraph (2), if: (i) the human subjects are elected or appointed public officials or candidates for public office; or (ii) federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in such a manner that subjects cannot be identified, directly or through identifiers linked to the subjects. [NOTE: In order to be eligible for this exemption, all of the materials have to exist at the time the research is proposed.]

(5) Research and demonstration projects which are conducted by or subject to the approval of federal department or agency heads, and which are designed to study, evaluate, or otherwise examine: (i) Public benefit or service programs; (ii) procedures for obtaining benefits or services under those programs; (iii) possible changes in or alternatives to those programs or procedures; or (iv) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (i) if wholesome foods without additives are consumed; or (ii) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

4. Limitations on Exemptions

4.1. Children.

Under exemption #2, research involving survey or interview procedures or observations of public behavior with children does not qualify for exemption, except for research involving observations of public behavior when the investigator does not participate in the activities being observed. The other five exemptions apply to research involving children as human subjects in the same way that they apply to research involving adults.

4.2. Prisoners.

Research involving prisoners does not qualify for exemption.

4.3. FDA.

Exemption Criteria Category 6 (Taste and food quality evaluation as described in section3 above) is the only allowable category that is exempt from the requirements of FDA regulations for IRB review. For research that

falls within FDA's oversight, if category 6 does not apply, the study cannot be considered as exempt from IRB review.

4.4. Belmont Report Applies.

Although exempt research does not require IRB review, this research is not exempt from the ethical guidelines of the Belmont Report. The individual making the determination of exemption has the authority to require additional protections for subjects in keeping with the guidelines of the Belmont Report, even though the research falls within an exempt category.

5. Validity of the Determination of Exemption

Determinations of exemptions are valid until the expiration date noted on the Exempt Determination Letter, up to a maximum of three years from the decision date. Investigators wishing to continue exempt research beyond the period specified on the determination of exemption must submit a Request for Extension of Exemption Determination.

6. Amendments to Exempt Research

6.1. Investigators shall not implement any changes to the exempt protocol without prior review and new determination of exemption from the local HRPP Office, even if the changes are planned for the period for which approval has already been given.

6.2. If the HRPP Office determines that, with the proposed changes, the research continues to meet the criteria for exemption from IRB review, the HRPP Office shall issue an Exemption Determination Letter for the amendment.

6.3. If the HRPP Office determines that the research no longer meets the criteria for exemption from IRB review, the submission shall be forwarded to the IRB for expedited or convened IRB review, as appropriate.

7. Process for Submission and Determination of Exempt status

7.1. Researchers shall submit a Request for Exemption in IRB Net. Detailed instructions for registering and submitting in IRB Net are available in the Researcher Manual for Using IRB Net available at http://www.cuny.edu/research/compliance/human-subjects-research-1.html.

7.2. The HRPP Coordinator of the PI's primary campus reviews the submission for completion and determines whether the research qualifies for exemption from IRB review.

7.3. The HRPP Office issues an Exempt Determination Letter to the PI, which conveys whether the research qualifies for exemption from IRB review.

7.4. If the research does not qualify for exemption from IRB review, the PI must re-submit the research using the Initial Application Submission form.

Appendix K2: Guidance and Procedures for Requesting and Using Data from CUNY Educational Records for Research Purposes in Compliance with FERPA

I. Background and Purpose

The Family Educational Rights and Privacy Act (FERPA) 20 U.S.C. § 1232(g) is a federal law that aims to keep student educational records private and accessible only by the student or their designee. This guidance and procedures document is designed to ensure compliance with FERPA when using educational records for research purposes, and sets forth the procedures to be followed by CUNY faculty, staff, post-doctoral associates, students and non-CUNY researchers who seek to obtain data from CUNY educational records for research purposes ("researchers").

II. Entities Authorized to Release Data from Educational Records for Research Purposes

A. Data from educational records (whether identifiable or de-identified) may be released for research purposes by the following entities only:

•CUNY Office of Institutional Research (OIR) at the CUNY Central Office

•Office of Institutional Research at a CUNY college or school

B. Researchers who have access to educational records in their capacity as a CUNY faculty or staff member are not authorized to extract data from such records for research purposes.

III. Personally-Identifiable Student Information (PII)

Federal regulations consider data to be personally identifiable if it contains the student's name, address, social security number, date or place of birth, mother's maiden name or any other information that would allow a reasonable person in the school community to identify the student with reasonable certainty.

IV. Use of PII For Research Purposes

There are two ways that a researcher can use PII for research purposes:

1. For any type of research with a FERPA Release (or consent) signed by the student(s) – refer to Section V below.

2. For specific types of research without a FERPA Release (or consent) – refer to Section VI below.

V. Obtaining PII For Research Purposes Through FERPA Release

The best practice with respect to obtaining PII from CUNY student records is to have such students execute a FERPA release that details the information to be accessed by the researcher and the purposes of the research. Researchers should use the CUNY FERPA Release Forms for this purpose.

VI. Obtaining PII For Research Purposes Without Consent (Studies Exception)

A researcher may request PII without student consent from the OIR at a CUNY campus or at the Central Office under certain limited circumstances pursuant to the "studies exception" to FERPA.

The OIR may approve a request to provide PII if the study is meant to develop predictive tests, help administer student aid programs, or improve instruction, and it is primarily for CUNY's benefit rather than the researchers' benefit.

A. Types of Research that Qualify for the Studies Exception

Researchers may obtain PII if they are conducting a study for the purpose of developing, validating, or administering predictive tests; administering student aid programs; or improving instruction. A study designed to "improve instruction" has been broadly defined as a study done to ascertain the effectiveness of educational activities and subsequently refine programs and practices to improve outcomes for students.

B. Conditions for Release

Federal regulations establish certain conditions to the release of PII under this FERPA exception: The study must be conducted in a manner that does not permit personal identification of parents and students by individuals other than the researcher and the research team, and the information must be destroyed when no longer needed for the purposes for which the study was conducted.

C. Requirement of a Written Agreement Before Release

Researchers (both internal and external to CUNY) who wish to use data from student records under this exception must enter into a written agreement with CUNY that includes the following elements: the agreement must specify the purpose, scope and duration of the study and the information to be disclosed; require the researcher to use PII only to meet the purposes of the study; require the researcher to conduct the study in a manner that does not permit personal identification of parents and students by anyone other than the researcher or people working with the researcher with legitimate interests; and require the researcher to destroy all PII when the information is no longer needed.

VII. Procedural Steps to Follow

1. If you are a CUNY researcher seeking student PII, ask students to sign a FERPA Release Form.

2. If obtaining a FERPA Release Form is not feasible, or if you are an external researcher, contact the Office of Institutional Research (OIR) at the CUNY campus or at the Central Office to discuss obtaining PII.

3. After you receive approval from the OIR, execute the written Data Transfer and Non-Disclosure Agreement provided by the OIR.

4. If CUNY is engaged in human subject research activities related to the use of requested data, provide a copy of the executed Agreement to the Human Research Protection Program (HRPP) with your HRPP/IRB application.

5. Abide by all conditions of the Agreement.

6. Destroy all PII as soon as practicable after the completion of the study or return to CUNY for destruction.