Introduction

Texas Tech University is fully invested in the practice of, and commitment to, institutional effectiveness (IE). The Vice Provost for Institutional Effectiveness leads IE in partnership with the Office of Planning and Assessment and Institutional Research. This IE team directs Texas Tech’s IE activities.

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Institutional Effectiveness at Texas Tech

Higher education has been facing a growing market competition for students, increasing regulatory scrutiny, and diminishing capital resources. These challenges have presented an opportunity to more strategically organize and implement monitoring of institutional effectiveness (IE), leveraging data, analytics, and applications to aid Texas Tech University (TTU) in continuous quality improvement and internal assessment. The Institutional Effectiveness (IE) area has a strategic leadership role in implementing data-informed decisions in both academic and non-academic offices. Our approach to IE at Texas Tech ensures that we are constantly engaged in continuous improvement efforts. The paragraphs that follow discuss our IE structure, and how the “Onion” guides our IE initiatives.

TTU IE Structure

The goal of an institutional effectiveness model, as defined by SACSCOC, “incorporates the systematic, explicit, and documented process of measuring performance against the mission of the institution in all aspects of institutional life.”

TTU’s approach to IE is motivated by a commitment to continuous improvement. Texas Tech is committed to engaging faculty and staff to continually “close the assessment loop.” By “closing the loop,” we can better serve our students and ourselves by engaging in a comprehensive and responsive assessment process. Texas Tech’s IE processes are also guided by Operating Policy 10.13, which states that:

The university, including all academic programs and support operations, is engaged in an ongoing and comprehensive process of planning and assessment. All areas (divisions and colleges) and units (departments, centers, and institutes within areas) must conform to the university policies as specified in this OP.

Institutional Effectiveness Model, the "Onion"

The IE "onion" is a layered conceptual model that demonstrates the continuous cycle of improvement leading towards administrative and academic excellence. Each layer corresponds to the unit-specific cycle of continuous improvement with data integration passed to and from the various layers (see figure below).
Institutional Effectiveness at Texas Tech University consists of four components. As a process, IE has oversight from the Office of the Provost, and is facilitated by the Office of Planning and Assessment. The subsequent and operational components of institutional effectiveness are:

**Oversight of IE** – Oversight brings together the three subsequent components to ensure that institutional effectiveness is a systematic, explicit, and documented process of measuring performance against mission in all aspects of an institution.

**Institutional Assessment** – Includes the development, facilitation, and analysis of academic and support service-level unit assessments, and ongoing analysis of student learning outcomes and operational goals for each unit.

**Institutional Research** – The role of data management within the IE model includes ongoing and coordinated development of institutional databases, encompassing coordination with other areas to gather information for the common data sets (Integrated Postsecondary Data Set - IPEDS), reporting to external entities such as the Texas Higher Education Coordinating Board and the Voluntary System of Accountability, course evaluations, and Strategic Planning Key Performance Indicator (KPI) data sets.

Institutional Effectiveness website is http://www.ttu.edu/progress
Compliance and Accreditation - The compliance aspect of the IE model includes the ongoing coordinated oversight of institutional compliance with SACSCOC and THECB policies and procedures through active leadership in reaffirmation efforts, programmatic accreditation, faculty credentialing, institutional budgeting, and strategic planning requirements.

IE Team
The IE team is headed by the Vice Provost for Institutional Effectiveness who directly reports to the Provost and Senior Vice President. The team includes the Office of Planning and Assessment (OPA), Institutional Research, and the Office of Accreditation and Compliance. Texas Tech University manages the assessment documentation process under the IE team:

Office of Planning and Assessment:

- Director of the Office of Planning and Assessment collaborates closely with the Vice Provost for Institutional Effectiveness to ensure that the office meets the Provost’s expectations for compliance with 8.1 and 8.2a.
- Associate Director maintains functional, day-to-day oversight for 8.2a, 8.2b, 8.2c, and 7.3.
- Lead Administrator for Faculty Credentialing ensures that all instructors of record report and maintain their instructional credentials in DigitalMeasures. DigitalMeasures is the platform of record for faculty credentialing data.
- Administrator for Student Learning ensures that all degree program coordinators report evidence of assessment activity on an annual basis.
- Administrator for Student Learning works with faculty members to document actionable assessment data, and that assessment data are used to make improvements to student learning.
- Lead Administrator for Institutional Assessment ensures that all academic, administrative, and student support service units report evidence of assessment activity on an annual basis.
- Lead Administrator for Institutional Assessment collaborates with unit directors to create individualized outcomes and assessment methods that adequately measure data, which is then used to identify areas of improvement.

Institutional Research

- Assistant Vice President develops, designs, conducts, and reports advanced analytics at the institutional level, collaboratively working with major areas and divisions.
- Managing Director manages the reporting function, including all major regulatory, accreditation, THECB, and a catalog of national surveys, including Carnegie and US News and World Report.
- Advanced Analytics Team supports the data modeling and reporting.
• Data Collection and Surveying Team supports data collection, maintenance, display, and analyses in support of institutional goals.
• Student Data Modeling Team supports the authoritative analyses concerning student data, reporting display, and analyses.
• IPEDS Team specifically focuses on the collection, comparative analysis, display, and reporting for IPEDS data.

Office of Accreditation and Compliance

• The Office of Accreditation and Compliance is a shared responsibility led by the Office of the Provost.
• The institution-level SACSCOC Reaffirmation of Accreditation is a continuing process that requires ongoing activity. While the ten-year Reaffirmation of Accreditation process and the Fifth Year Interim Report preparation are the most significant activities within the reaffirmation cycle, the success of these initiatives relies on a number of compliance activities, such as timely substantive change notifications, working appropriately with the Texas Higher Education Coordinating Board, annual operating policy and procedure audits, campus notifications of changes in SACSCOC expectations, maintenance of various accreditation bodies across campus, and annual review of assessment reports.

IE Committees
Faculty and staff engagement in the IE process is essential for a continuous improvement culture. IE subcommittees for academic and non-academic units serve to provide local expertise and feedback to the respective departments/units/offices as well as provide cross-fertilization of ideas and practices. A university-level IE committee serves in an advisory capacity to the Provost regarding IE-related matters. The Committee provides leadership in reviewing and making recommendations for the IE processes of programs and units to the IE team.
How does Texas Tech Engage in a Comprehensive Assessment Process?

Traditionally, assessment in American higher education has “come from many angles—from legislators, business leaders, foundations, and policy makers,” (Arcario, Eynon, Klages & Polnariev 2013). However, Texas Tech’s ethos of institutional effectiveness does not derive from a place of accountability, but rather an approach that improves student learning, supports institutional improvement, and advances faculty’s commitment to academic assessment.

First, the Office of Planning and Assessment analyzes student learning gains to deepen learning across the institution. By October 1st, degree program coordinators at Texas Tech report their assessment findings and analysis in TracDat. To “close the loop,” Office of Planning and Assessment staff provide substantive and constructive feedback about each academic degree program’s assessment finding during the spring of the following year. Again, Texas Tech’s institutional effectiveness efforts are comprehensive and responsive.

Second, the Office of Planning and Assessment analyzes the contributions of support service level units in support of the University’s commitment to continuous improvement. These units must provide annual assessment results to show the extent to which they have achieved their unit’s outcomes.
Third, the Office of Planning and Assessment requires all instructors of record to report their instructional credentials in DigitalMeasures. Additionally, instructional faculty report their scholarly contributions and activities in DigitalMeasures on an annual basis.

Why is it required?
The Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) requires that degree program assessment occur as part of its Principles of Accreditation. Requirement 8.2 states: The institution identifies expected outcomes, assesses the extent to which it achieves these outcomes, and provides evidence of seeking improvement based on analysis of the results in the areas below:

R 8.2.a student learning outcomes for each of its educational programs.

R 8.2.b student learning outcomes for collegiate-level general education competencies of its undergraduate degree programs.

R 8.2.c academic and student services that support student success.

Another component of institutional effectiveness is the assessment of administrative support services. This is addressed in Requirement 7.3, which states: The institution identifies expected outcomes of its administrative support services and demonstrates the extent to which the outcomes are achieved.

Assessment of Academic Programs
Assessment tells us what and how well our students are learning. Assessment is an ongoing process in which faculty and administrators determine what knowledge and skills students should be learning. Part of the assessment process is to create deliberate, measurable objectives about student learning. These objectives are commonly referred to as student learning outcomes (SLOs).

The assessment process is data-driven and involves developing and implementing a plan to determine to what extent SLOs were achieved (it is acceptable for a SLO to not be met in a given assessment cycle). A well-developed assessment plan includes a variety of means of assessment for each SLO, and review and evaluation of assessment results to determine the impact on student learning.

Who is required to do it?
All academic degree programs at Texas Tech are required to assess student learning on an ongoing basis. Assessment is not the responsibility of any one faculty member or administrator within a degree program, but is the responsibility of all of the faculty, administrators, and staff for the degree program. Please see OP 10.13 for more information http://www.depts.ttu.edu/opmanual/OP10.13.pdf.
Every Texas Tech degree program is required to demonstrate, through data-driven research and assessment, a continuous cycle of improvement that contains the following components:

- Three to five (typically) student learning outcomes (SLO)
- Two assessment methods per SLO, with a balanced approach of direct and indirect assessment methods
- Uploading of assessment per the program’s rotation schedule
- Developing of action(s) for improvement, where relevant
- Follow-up action(s) that documents the effect on SLOs from previous action(s) for improvement

**When does Degree Program Assessment occur?**
As assessment is an ongoing process, degree programs should be engaged in assessment throughout the academic year. This does not mean that faculty and administrators need to meet weekly or crunch assessment data daily (unless they want to). When we say that assessment is an ongoing process, we mean that in any given academic year, degree programs should be: reviewing and revising student learning outcome statements as needed, collecting and analyzing assessment data to make inferences about student learning in relation to each learning outcome, and using results to make adjustments to the degree program to increase student learning. Please refer to the TTU Degree Program Assessment Handbook (http://www.depts.ttu.edu/opatracdat/docs/Program_Assessment_Handbook_4_13_2015.pdf) for more information on degree program assessment processes.

**Where can I go for help?**
Office of Planning and Assessment - OPA has experts in IE that can help with all steps of the assessment cycle.

Institutional Research - IR has experts that can help with data analytics and statistics for meaningful assessment results.

**When is it due?**
The Office of Planning and Assessment requires that each degree program submit assessment plans and evidence for the previous academic year by October 1st into the Nuventive Improve system. Please refer for the Institutional Effectiveness Progress Portal website (http://www.ttu.edu/progress) for more information on deadlines.

**Where do I go to complete it?**
Texas Tech uses a web-based assessment management system called Nuventive Improve. Nuventive Improve is accessible online, and requires you to enter your raider name and password to sign-on. Face-to-face training sessions are offered throughout the academic year. To view current training opportunities, please visit the OPA website at http://depts.ttu.edu/opa. The Office of Planning and Assessment is also willing to schedule individual training sessions at your convenience.
Review Process
The Office of Planning and Assessment will review each program’s assessment plan and evidence in TracDat in the spring of each academic year. During the review, assessment evidence will be evaluated on quality and completeness. The Office of Planning and Assessment staff will share the office’s feedback with department chairs each spring. Programs will have the opportunity to make changes based on feedback for the subsequent academic year.

Assessment of Administrative Support Services and Academic and Student Services
Texas Tech refers to administrative support services and academic and student services as support service level (SSL) units. Consistent with R 7.3 and R 8.2.c, support service level units are non-academic departments that also must demonstrate their contributions toward the institutional strategic plan, internal quality assurance assessment, and overall institutional effectiveness. Continuous improvement reporting helps to ensure that components of the institution, which have a direct or indirect impact on student learning, are aligned with the student-learning focus of the institution.

Who is required to do it?
Texas Tech University defines support service level units as units whose primary responsibility is to serve the Texas Tech community as a whole. While this definition could effectively include every administrative unit across campus as each department makes its own contribution to the institutional mission, the focus is placed on units that possess a student-oriented purpose. These units are located within Administration & Finance, Auxiliary, Academic Affairs, Student Affairs, University Programs & College Success, and College Readiness & Success.

Every support service level unit is required to demonstrate, through data-driven research and assessment, a continuous cycle of improvement that contains the following components:

- Identification of expected outcomes/goals specific to each office/unit
- Assessment of the outcomes/goals with appropriate measures to determine the extent to which the outcomes/goals were achieved
- Data analysis to determine actions for improvement
- Evaluation of the actions for improvement in subsequent assessment cycles
- Documented follow-up actions that also provide evidence of implemented improvement strategies

What is the assessment process?
Support service level units are identified by the institution and must provide annual operational outcomes that are specific to their individual unit’s goals and processes. Outcome-based assessment information is provided by each unit to show how outcomes are being effectively

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1 For a list of support-service level units refer to the appendix

Institutional Effectiveness website is http://www.ttu.edu/progress
measured and thresholds are being achieved. Results and areas of improvement are then identified through this process along with the means to implement changes for improvement. The non-academic assessment process is one of continuous improvement and the “closing the loop” approach provides evidence that assessment processes are in place.

**Where can I go for help?**
Office of Planning and Assessment - OPA has experts in IE that can help with all steps of the assessment cycle.

Institutional Research - IR has experts that can help with data analytics & statistics for meaningful assessment results

**When is it due?**
The Office of Planning and Assessment requires that each support service level submit their annual continuous improvement report by October 1st into the Nuventive Improve system. Please refer for the Institutional Effectiveness Progress Portal website (http://www.ttu.edu/progress) for more information on deadlines.

**Where do I go to complete it?**
Texas Tech uses a web-based assessment management system called Nuventive Improve. Nuventive Improve is accessible online, and requires you to enter your eraider name and password to sign-on. Face-to-face training sessions are offered throughout the academic year. To view current training opportunities, please visit the OPA website at http://depts.ttu.edu/opa. The Office of Planning and Assessment is also willing to schedule individual training sessions at your convenience.

**What is the review process?**
The Support Service Level IE Committee, along with the Office of Planning and Assessment, will review each unit’s assessment plan and evidence in Nuventive Improve in the spring of each academic year. During the review, assessment evidence will be evaluated on quality and completeness. The Office of Planning and Assessment staff will share the committee’s feedback with unit directors each spring. To “close the loop,” the Lead Administrator for Institutional Assessment provides substantive and constructive feedback to directors to help them strengthen reporting. Units will have the opportunity to make changes based on feedback for the subsequent academic year.

**Assessing Outreach and Engaged Scholarship**
Texas Tech University’s strategic plan, A Foundation for the Next Century | A Pathway to 2025, includes outreach and engagement as a cornerstone of the university’s community and public service with its third area of focus, Transform lives and communities through strategic outreach and engagement scholarship. It is important that Texas Tech faculty and staff report any outreach and engaged scholarship activity performed in conjunction with Texas Tech resources, including
a time commitment of faculty, students and staff, and/or community events utilizing the Texas Tech University name.

Texas Tech University uses the Carnegie Classification for defining outreach and engaged scholarship. Community Engagement describes collaborations between institutions of higher education and their larger communities (local, regional/state, national, global) for the mutually beneficial exchange of knowledge and resources in a context of partnership and reciprocity. Engagement occurs when faculty or staff members’ research, teaching, administrative, or service activities significantly engage their scholarly or professional expertise with communities and/or organizations outside the university with the direct goal of improving outcomes for those who live and work in them. Engagement between university and community members can take several different forms.

**Why does Texas Tech measure Outreach and Engaged Scholarship?**
Texas Tech University collects data on outreach and engaged scholarship activities as part of its larger commitment to institutional effectiveness. The Texas Tech University strategic plan, A Foundation for the Next Century | A Pathway to 2025, third area of focus seeks to “…partner with our local, regional, national, and global communities to stimulate creativity, innovation, and social and economic development…working together to solve the complex problems facing people and communities.”

A Foundation for the Next Century | A Pathway to 2025 identifies four metrics to achieve its third focus area of outreach and engaged scholarship:

1. Total non-Texas Tech University attendees and participants in TTU outreach and engaged scholarship activities
2. K-12 students and teachers participating in TTU outreach and engaged scholarship activities
3. Total funding generated by TTU institutional and multi-institutional outreach and engaged scholarship activities
4. Data derived from the Lubbock County economic development and impact report.

**Informing Texas Tech about Outreach and Engagement Activities**
*Raiders Engaged* is the current instrument used to record Outreach and Engaged Scholarship efforts. Raiders Engaged is a collaboration between the Office of Planning and Assessment (OPA), Institutional Research (IR), and Engaged Research and Partnerships (ER&P). Data are gathered by faculty information entered into an online survey. The survey opens in early fall and closes on December 1st to allow time for data review and follow-up. OPA and ER&P will then analyze data and create a comprehensive report of findings, which are then published as part of the institution’s annual strategic planning reports. In January of each year, individual’s information will then be uploaded into DigitalMeasures for the faculty to include as part of the institution’s annual faculty review process.
Appendix – Assessment Exemplars

Academic Exemplars
The following hyperlinks provide examples of degree program exemplars at Texas Tech University. Each hyperlinked report contains annotated comments explaining why the degree program is successfully documenting its assessment evidence.

Rubric Used: TTU Academic Assessment Report Rubric

Fine Arts (PHD)
Higher Education (MED)
Interdisciplinary Studies (MS)
Nutritional Sciences (MS)
Petroleum Engineering (MSPE)
Physics (BS)

Support-Service Level Exemplars
The following hyperlinks provide examples of support service level exemplars at Texas Tech University. Each hyperlinked report contains annotated comments explaining why the unit is successfully documenting its assessment evidence.

Rubric Used: TTU SSL Assessment Report Rubric

Support Operations for Academic Retention
Student Legal Services
RaiderReady
**Appendix – Resources for Institutional Effectiveness**


Higher education institutions in the United States (U.S.) are under stress. Universities and colleges in the U.S. face competing demands marked by steeply declining state and local appropriations and increased competition for research dollars and prestige. This stress is felt most acutely at high and very high research universities who must face these funding challenges while at the same time must serve a multiplicity of missions and stakeholders. This study examines factors that influence institutional performance at high and very high research universities in the U.S. These high and very high research universities, as classified by the Carnegie Foundation for the Advancement of Teaching under the 2010 Basic Classifications, represent doctorate granting institutions with the highest levels of research activity. Drawing from systems theory and neoliberalism, the study employs a non-experimental quantitative research design using secondary analysis of data collected primarily through the U.S. Department of Education’s Integrated Postsecondary Education Data System (IPEDS), the Association of University Technology Managers (AUTM), and the Carnegie Foundation for the Advancement of Teaching. The data was analyzed for the years 2008 through 2012.


Aggregate survey responses collected from students are commonly used by universities to compare effective educational practices across program majors, and to make high-stakes decisions about the effectiveness of programs. Yet if there is too much heterogeneity among student responses within programs, the program-level averages may not appropriately represent student-level outcomes, and any decisions made based on these averages may be erroneous. Findings revealed that survey items regarding students’ perceived general learning outcomes could be appropriately aggregated to the program level for 4th-year students in the study but not for 1st-year students. Survey items concerning the learning environment were not valid for either group when aggregated to the program level. This study demonstrates the importance of considering the multilevel nature of survey results and determining the multilevel validity of program-level interpretations prior to making any conclusions based on aggregate student responses. Implications for institutional effectiveness research are discussed.


This volume of *RSF* presents new evidence about higher education in the United States. As we use the term, *higher education* is synonymous with postsecondary education and
includes two-year community colleges, four-year colleges, and universities that offer graduate training in addition to four-year baccalaureate degrees. As editors, we have been charged with writing an introduction that is more than a summary of the research papers to follow. Instead, we were asked to produce an overview of the key facts and themes about U.S. higher education and its effectiveness that will be important both for specialists and for readers who are new to the subject.

This volume focuses on **effectiveness**, a topic that has not been as prominent in scholarship as we believe it should be. Scholars of higher education have been principally interested in how colleges and universities work and what forces in their environments lead them to change. But most policymakers (and most of the public) do not want simply to understand institutions, but rather to know how to make them work better than they currently do. Because colleges and universities are central institutions in American society, their effectiveness should be considered a topic of national priority.

The meaning of effectiveness depends on what society expects to achieve through higher education. We begin by asking the basic questions: What are the functions of higher education in society? What does effectiveness mean in this context? And how can effectiveness be measured once it is defined? After this discussion, we briefly describe the historical development of American higher education and its current structure and challenges. We do so to set a context for the issues explored here, an analysis of the effectiveness of U.S. higher education in relation to system-level, campus-level, and classroom-level effects. This threefold division based on the primary actors involved in effectiveness policies and practices provides a useful heuristic for dividing the topics we consider in this issue.1 Because we believe systems-level actions will be of the greatest interest to readers, we devote more space to issues at that level than to those at the other two levels.

Although we discuss variation among the fifty states only very briefly here, the states represent a fourth analytically distinct level of analysis, and one that many higher education scholars have embraced to investigate differences in outcomes due to state-level variation in pricing, performance incentives, and regulation. Several papers in this volume explore the consequences of state policy variation.


Despite an increasing focus on issues of accountability, assessment, and data-driven decision making (DDDM) within the postsecondary context, assumptions regarding their value remain largely untested. The current study uses empirical data from 114 senior administrators and 8,847 students at 57 institutions in five states to examine the extent to which institutional assessment and data-driven decision making shape the experiences of first-year students. Nearly all these schools regularly collect some form of assessment
data, and more than half report using assessment data to inform decision making. However, the institutional adoption of policies related to the collection of assessment data or the application of data-driven decision making appears to have no relationship with student experiences or outcomes in the first year of college. Thus, findings from the current study are consistent with the small, but growing, body of literature questioning the effectiveness of accountability and assessment policies in higher education.


A relatively simple way of measuring institutional effectiveness in relation to degree completion is to estimate the difference between an actual and predicted graduation rate, but the reliability and validity of this method have not been thoroughly examined. Longitudinal data were obtained from IPEDS for both public and private not-for-profit 4-year institutions (n = 1496). Hierarchical panel regression was used to predict 4- and 6-year graduation rates based on structural, demographic, financial, and contextual attributes. A direct effects model yielded effectiveness scores that were highly correlated between consecutive data years (r = 0.65-0.80), which indicated acceptable to good test-retest reliability. A test of convergent validity indicated that effectiveness scores were positively associated with students' perceptions of a supportive campus environment (r = 0.32-0.45). A test of discriminant validity revealed relatively small correlations between effectiveness scores and institutional attributes, such as educational expenditures (r = 0.07-0.16). The modeling of interaction effects in relation to institutional type marginally improved the validity of effectiveness scores among public but not private institutions. The results suggest that correct model specification can yield residual scores that reliably and validly measure institutional effectiveness in promoting timely degree completion.


Author Linda Suskie is internationally recognized for her work in higher education assessment, and she is a former vice president of a major regional accreditor. In Five Dimensions of Quality: A Common Sense Guide to Accreditation and Accountability in Higher Education she provides a simple, straightforward model for understanding and meeting the calls for increased quality in higher education ever-present in today's culture. Whether your institution is seeking accreditation or not, the five dimensions she outlines will help you to identify ways to improve institutional quality and demonstrate that quality to constituents.

For those wading through the accreditation process, which has become more difficult in recent years due to increasing regulation and pressure for greater accountability, Suskie offers expert guidance on understanding the underlying principles of the expectations of accrediting bodies. Using the model presented here, which is much easier to understand
than the sometimes complex resources provided by individual accrediting bodies, American colleges and universities can understand what they need to do to earn and maintain their regional accreditation as well as improve overall institutional quality for their students. You'll be able to:

- Identify ways to improve institutional quality
- Demonstrate the quality of your institution to internal and external constituents
- Avoid wasting time and energy on misguided institutional processes to comply with accreditation requirements

By focusing on why colleges and universities should take particular actions rather than only on what those actions should be, Five Dimensions of Quality gives them the knowledge and strategies to prepare for a successful review. It is an ideal resource for leaders, accreditation committee members, and everyone on campus.
## Appendix – Institutional Effectiveness Data Tools

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Institutional Effectiveness website is [http://www.ttu.edu/progress](http://www.ttu.edu/progress)
## Appendix – Support Service Level Units

Administrative Support Service Units (SACSCOC R 7.3)

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