



INSTITUTIONAL EFFECTIVENESS Procedures Manual

Developed by the Office of Institutional Effectiveness

2019 - 2023

INSTITUTIONAL EFFECTIVENESS PROCEDURES MANUAL

Purpose

- < To support a comprehensive institutional effectiveness process that utilizes the institution's mission and purpose as the foundation of planning and evaluation.
- < To provide a means by which faculty, staff, students, and administration have opportunities for input concerning programs, processes, and services at Central Georgia Technical College.
- < To ensure that continuous improvement occurs based on the use of accurate information for decision-making.

Policy

It is the practice of Central Georgia Technical College to maintain a comprehensive institutional improvement process which

- < Is driven by the institution's mission;
- < Founded on the institution's vision and values
- < Involves faculty, staff, and administration;
- < Provides opportunity for input from students, program advisory committees, and other stakeholders within the service delivery area;
- < Utilizes institutional research as an integral part of the institutional planning and evaluation processes;
- < Complies with the Technical College System of Georgia requirements; and
- < Results in continuous improvement in the quality of the institution's graduates, occupational programs, and in increased satisfaction from students, employees, and other stakeholders.

Responsibility

The College President and Vice President for Institutional Effectiveness has the overall responsibility for ensuring that policy guidelines and procedures for planning and evaluation are followed.

RESEARCH, PLANNING, AND EVALUATION

Institutional effectiveness is defined as the positive correlation of results to expectations. As a process, institutional effectiveness at CGTC is a *system* of research, planning, and evaluation that ensures plans are implemented and evaluated, with emphasis on decision making and change as a result of the evaluation findings. The College's Leadership Team provides advice and counsel to the President on the continuous improvement of the institution. It is the responsibility of the IE Office and other Division personnel to monitor the institution's evaluation and planning processes and ensure that the results of the planning and evaluation processes are used for the improvement of both educational programs and support services.

Planning and evaluation involves all faculty and staff through a structured process coordinated by the Leadership Team.

1. Planning is both "Strategic" and "Operational", with the two strategies intertwined and supporting one another.
2. Evaluation is an ongoing process and occurs throughout the institution throughout the year.

Strategic Planning

Central Georgia Technical College's *Strategic Plan* focuses on answering the "what" questions concerning the Institution's future goals and initiatives. It involves three major activities: data collection and analysis, evaluation of alternatives, and decision-making concerning long-range direction. Critical decision areas include the Institution's Mission, clientele to be served, student and program goals and outcomes, and facility and equipment priorities. Focal points for analysis include the external environment, internal strengths and weaknesses, and resource constraints and/or opportunities. Demographic data, legislative actions, student enrollment, retention, community issues, and labor market changes are reviewed. The Strategic Plan *is* the basis for all planning activities.

CGTC's Strategic Plan is revised every five years. The Strategic Planning Steering Committee, comprised of faculty, staff, and student input, performs a review and assessment of the Vision, Mission, and long-range goals established in the Plan. Changes and new long-range goals are based upon the results of the internal analysis, external environmental scan, review of all pertinent data, and input obtained from surveys. The Plan is submitted to the Technical College System of Georgia for archival and documentation of the PAS College level planning document standard.

Operational Planning

While strategic planning establishes the major directions for the Institution, *operational planning* focuses on the "how" questions and addresses strategies for translating goals and objectives into actions. The operational planning process is the mainstream activity for the assessment of the Institution's effectiveness and involves:

1. Development of priority objectives, expected results, and evaluation methods.
2. Determination of programs and budgets.
3. Measurement of results against expectations through systematic feedback.

Evaluation for Decision Making

The measurement of results against expectations through systematic feedback forms the basis for the overall evaluation of the Institution's achievement of its stated goals.

The Institution reviews all planning documents from August - September to determine the extent to which completed plans were successfully implemented. In addition to monitoring its progress on completion of designated goals and objectives, the Institution reviews programmatic and college level performance based on the indicators of success from the Performance Accountability System (PAS) annual review and the TCSG Scorecard results to determine overall student and institutional success.

Institutional Effectiveness System (IES)

TCSG's Performance Accountability System (PAS) is a component of Central Georgia Technical College's planning and accountability system based on a prescribed set of system standards and indicators. PAS has established performance standards based on a statewide perspective of quality technical and adult education. The Institution monitors its performance on each standard annually and undergoes a System generated Performance Accountability Review (PAR) internal audit every six years. Internally, CGTC evaluates program and service performance. Program faculty participate in a compliance review every three years or annually depending upon accreditation status as well as participate in evaluation and assessment activities including student learning outcome review. Assigned faculty and staff participate in the College's operational assessment planning annually.

Action Plans

Each division and departmental units assigned as planning units, develop action plans that describe how specific Institution-wide objectives and long-range goals will be achieved. The planning process for a new fiscal year begins in August. The division or department plan is based upon overall institutional goals, and program-specific objectives. The department supervisor and division head monitor the department's annual operational plan. Each division head monitors progress for all assigned planning departments/units within his/her division. The Leadership Team monitors progress of operational plans in January and June with assistance from the Vice President and Director for Institutional Effectiveness.

The Research Function

I. Designated Responsibility

The Vice President for Institutional Effectiveness has primary responsibility for ensuring that reports and data coordination services are provided. The Office of Institutional Effectiveness serves as the official source for all information developed through institutional information systems, with the exceptions of personnel and financial data, for dissemination internally and to the appropriate external agencies and organizations, to ensure conformity of data released. The Office of Administrative Services shall serve as the source for all official financial information and the Office of the Executive Vice President serves as the source for all personnel information.

2. Definition of Services

The Institutional Effectiveness and Chief Information officers will work with other institutional officers, e.g. teams, committees, and professional personnel to:

- Identify information needs and ways and means of satisfying such needs.
- Gather and organize institutional and environmental data and recommend ways to apply the data in a meaningful context.
- Develop and administer surveys for the purpose of data gathering and input in the institution's planning and evaluation process.
- Provide analytical support and data synthesis for a broad range of institutional needs.

3. Components

- < Planning Report Series - A series of reports are produced on a quarterly basis providing the various divisions and departments of the institution with relevant data to be used for decision-making.
- < Data Assessment - The Office of Institutional Effectiveness provides the various divisions

and departments of the institution with an opportunity to assess the relevant data and determine appropriate actions to be taken as a result of the data analysis.

- < Clearinghouse - The Office of Institutional Effectiveness will maintain data/research reports and serve as a clearinghouse for institutional data discovery and analysis.
- < Research Projects - The Office of Institutional Effectiveness will provide technical assistance with special request research projects as directed by the President and/or requested by Vice Presidents.
- < Consultation - The Vice President for Institutional Effectiveness will be available or provide staff to advise and assist other institutional personnel with institutional research matters.
- < Liaison-The Vice President for Institutional Effectiveness will ensure the College is aware of and in compliance with requirements and standards of its accrediting body, the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) as well as provide support for programmatic accreditation.

4. Process for Data Coordination and Requests

Requests for data, reports, surveys, and other forms of information services shall be handled in the following manner:

- a. Internal requests for major projects will be discussed with the Vice President for Institutional Effectiveness. If the request involves extensive use of personnel/time and effort, a follow-up written request must be submitted outlining the scope of the services needed and the desired time frame. This report is received by the Director for Institutional Effectiveness and reviewed by the VPIE for approval.
- b. Externally generated surveys, forms, and other requests sent to the institution should be forwarded to the Vice President for Institutional Effectiveness, upon receipt. The Vice President for Institutional Effectiveness will forward the request, or copies of the request, to the appropriate departments for completion or verification. Completed materials must be returned to the Vice President for Institutional Effectiveness, who will ensure that information verification, compilation, and mailing occurs. Copies of materials sent to the external requester will be retained in the Office of Institutional Effectiveness unless otherwise noted.
- d. Required, routine reports prepared by internal offices from their internal files will not be sent to the Vice President for Institutional Effectiveness office unless they are part of the list of inventory of available data that has been identified for institutional planning and evaluation purposes. Single source reports must be completed and maintained by the unit/department/division assigned that responsibility. The Vice President for Institutional Effectiveness will coordinate the collection and filing of data identified as part of the inventory of available data per the established schedule.

Assessment Guidelines

The Office of Institutional Effectiveness is the central location for the development and deployment of surveys. The Office performs the below listed steps based on the type of survey/questionnaire and the owner of the results. In all cases of assessment (internal or external) development and or deployment, the IE should be consulted no less than two months prior to the expected deployment date. Exceptions to this guideline will be made on a case by case basis with priority being given to those assessment projects which require quick student participation and response, e.g. course assessment/evaluations and data needed for new or expanded academic programs.

Type I – Institutional

Institutional surveys are those that are both internal and external assessments which may or may not be developed by the Office of IE.

Examples of external surveys include:

- a. IPEDS
- b. State and National assessment projects
- c. Adhoc requests

Examples of internal surveys include but are not limited to:

- a. Graduate/Exit/Follow-up Surveys
- b. Focus Group Sessions
- c. Student Opinion Survey
- d. Colleague Survey

Type II – Program/Service Specific

Program/Service Specific surveys are those required or requested for information purposes to inform and/or improve practices. At times when such surveys require quick turnaround time, ample development time is requested but exceptions are made based on need.

Examples of internal program/service specific surveys/questionnaires:

- a. Special Population Questionnaire
- b. Library Satisfaction – faculty, staff, and students
- c. Academic Success Center Survey of Student Usage and Success
- d. Workforce development assessment
- e. Student and Employer Follow-Up Surveys
- f. Research for specific Grant Development projects

Type III – Internal or External Research Projects (IRB)

All institutions applying for federal funds must have Institutional Review Boards (IRBs) with clearly defined policies and procedures to ensure that grant-funded research activities protect human subjects. Principal investigators and/or project directors upon being awarded federal funds and whose activities involve research and human subjects must complete required forms and submit the project for IRB review and approval before any research on human subjects is to commence.

Institutional Review Board (IRB) Purpose

The Institutional Review Board (IRB) is a committee established to protect the rights and welfare of human research subjects involved in research activities.

CGTC IRB

The CGTC IRB assures both in advance and by periodic review that appropriate steps are taken to protect the rights and welfare of humans participating as subjects in a research study. To accomplish this purpose, the IRB uses a group process to review research proposals and related materials (e.g. informed consent documents) to ensure protection of the rights and welfare of human subjects of research. The IRB follows FDA regulations and is authorized to approve, require modifications in (to secure approval), or disapprove research.

Any research request for surveying CGTC students, faculty, and or staff whether by an internal or external requestor (in most cases those personnel working on doctoral degrees) shall be subject to IRB approval. See https://intranet.centralgatech.edu/intranet/ie/irb_files/introduction_irb.pdf for college contact and more information.

Timeline for Institutional Planning and Evaluation

1. During Fall - Spring semesters, CGTC faculty and staff are involved in evaluation and planning activities. Activities include review of TCSG and institutional benchmarks, setting of goal and objectives for the coming year, and operational and long-range budget planning.
2. During Fall semester, CGTC's Leadership Team and Strategic Plan Steering Committee review the institution's five year Strategic Plan goals and revises as needed based on outcomes.
3. During the late spring, the Leadership Team meets to finalize the institution's operational budget for the coming year.
4. During late summer, each division/department evaluates current goals and objectives, and uses the results to develop its improvement plans, goals and objectives for the coming year.
5. In summer (May – July)), the institution's Leadership reviews progress on the year's initiatives, goals and objectives. As a result, the Leadership Team sets institutional initiatives, benchmarks, goals, and objectives for the coming year.
7. During Summer (AY Prior year) and Fall (AY current year) semester, the Office of Institutional Effectiveness compiles and disseminates data from the previous academic fiscal year (AFY).
8. During late Spring semester, a mid-year review of institutional initiatives is conducted. Corrective action plans are devised and implemented where necessary.

The Budget Process

CGTC's budget process is an integral component of the total planning effort. It incorporates information on required resources from three action plan levels: institutional, department, and unit. Formal budget planning begins in February in each division. Budget requests are developed from a review of the resources required for implementation of unit and/or department action plans. These budgets are consolidated by the division leaders for their respective functional areas. An institutional needs budget is developed by combining the functional area budgets with the institution's major action plans for the coming fiscal year. The local funds estimate, based on anticipated enrollment, is added to the allocation to determine total fund availability. Fund availability is compared to the institutional needs budget to form a balanced preliminary budget. The review of the preliminary budget by the president and division leaders begins in April and is finalized and presented to the Institution's Board of Directors by July for submission to the Commissioner of the TCSG.

Federal Grants Management Process Flow:

- The College receives an approved grant award notice (GAN). Copies of the grant budget report is distributed to the President's Office by the Vice President of IE and shared with the College's Leadership Team and Local Board.
- The VPIE meets with the assigned internal Project Manager and his or her VP for the grant to discuss the GANS and budgeted activities to determine if plans are the same since the submittal of the grant or if an amendment request is necessary.

If salaries were included in the grant:

- The Human Resources officer prepares a spreadsheet containing the approved positions and their associated salaries indicating the amount, per percentage, that is charged to the grant. Also, a spreadsheet is prepared with the total amount for other allowable cost areas, e.g. equipment, contracts, professional development, travel, etc. (This process is completed to ensure correct projected salaries including benefits are submitted in the first round of budget amendments)
- A grant planning team is formed by the VPIE to ensure that budget expenses and budgeted activities are carried out in accordance with grantor stipulations and TCSG State Board purchasing and accounting procedures: TCSG SB Policy 3.I.16 Purchasing; GA Procurement Manual Online, http://pur.doas.ga.gov/gpm/MyWebHelp/GPM_Main_File.htm

GA Code 50-5-50

The pertinent laws that govern State purchases are generally set forth in the Official Code of Georgia Annotated (O.C.G.A.), Section 50-5-50 through Section 50-5-81. Use the link below to search all Georgia laws and regulations or view specific purchasing related codes.

- The Grant Planning Team periodically, during each semester, corresponds to discuss budget line items that may require an amendment request to Grantor. During this periodic review evaluation and assessment of programs and service area progress towards meeting intended outcomes is documented. Any amendments necessary are determined and a revised budget is created.
- The amended budget request is then submitted by the Project Manager to the appropriate VP, to the VPIE (unless generated by the VPIE) who then submits it to the President for approval and on to the Grantor Officer of Record for approval.

The Project Manager works with other personnel at the College to ensure that all budget activities are carried out in accordance with the specific grant criteria; ensures that all reports are completed and submitted as required; tracks progress towards established outcomes; and keeps all parties informed of grant progress. The Project Manager duties are described within each grant where applicable.

Purchasing

The Office of Administrative Services has a process in place for the request and purchase of federal grant funded items. TCSG SB Policy 3.1.I.6. Purchasing; GA Procurement Manual Online,

http://pur.doas.ga.gov/gpm/MyWebHelp/GPM_Main_File.htm

- Requisitions are submitted through the GA Marketplace system
- Requests for grant funds are forwarded to the appropriate supervisor on to the VPIE from the appropriate VP or designee
- The VPIE, or designee, reviews the current budget against the request to ensure that the requested purchase is a part of the budget and that funds are available
- The VPIE then signs/approves the request and forwards it to the VP for Administrative Services for purchasing. If the request is denied it is sent back to the requestor. If the requested item is not a part of the grant it is denied. If funds available for the requested item are not available do to prior expenditures, the request is denied.

The VPAS will not approve a purchase submitted directly to the VPAS that should have gone through the above checks and balances. In cases where a requisition does not have the required signatures, the request is returned or forwarded to the VPIE, and/or appropriate VP, for approval via email.

If purchase is equipment or supplies:

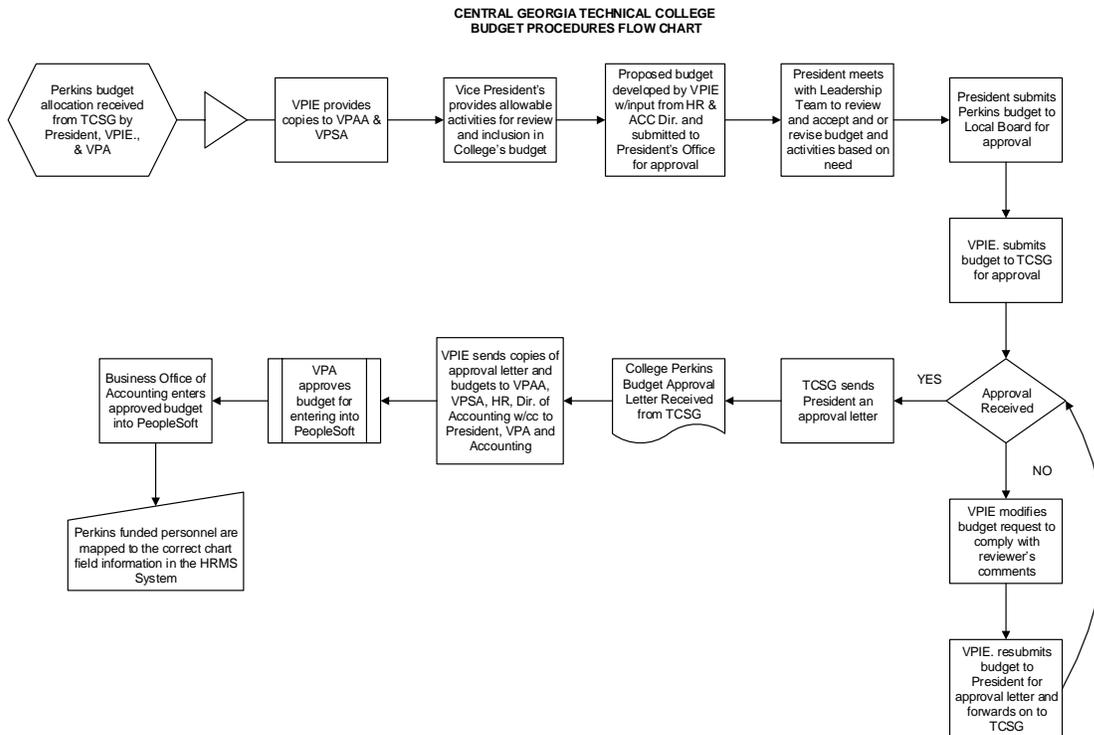
The purchase is received at the College, tagged appropriately for federal grant purchases and delivered to the appropriate College destination.

If personnel:

The position is submitted by the College authority to the Human Resource Executive Director for processing either in-house or externally in accordance with TCSG State Board hiring policy and procedures: SB Policy 4.1.1. Recruiting and Hiring and the associated Procedure. Registrations and travel reimbursements are requested using CONCUR.

BUDGET FLOW

- Approved Budget
- Faculty, Staff, Administrator submits purchase requisition through on-line purchasing system
- Purchase requisition is generated
- Requisition is routed to generator's supervisor for verification of coding and approval
- If approved: Generator's VP submits request to VPIE or designee, which is usually the Grant's Project Manager, for approval
- The VPIE or Project Manager submits the request to the VPAA for submission to Purchasing Tech
- Purchasing Tech creates a purchase order in the accounting system
- Purchasing Tech places the order



Reconciling

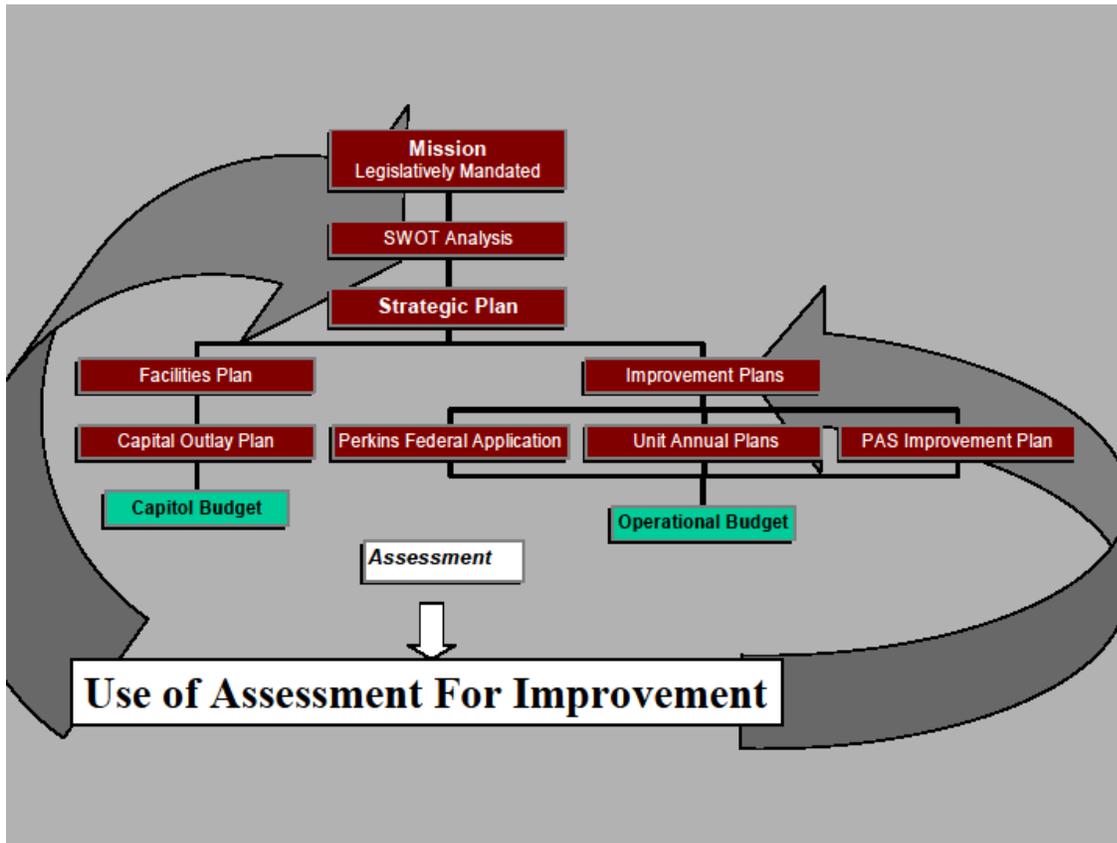
- Director of Accounting or VPAS designee sends a list of expenditures and encumbrances monthly to the VPIE and Project Manager for tracking CP balances to date and reconciling expenditures
- VPIE, Project Manager, VPAS, Director of Accounting, Human Resource Representative and/or grant committee members meet as needed to reconcile the budgets
- The Project Manager then prepares amendments if needed and submits a revised budget to the VPIE and VPAS who serve as the College's President's representatives
- The amended budget is then submitted to the appropriate Grantor officer for approval
- If amended budget is approved, spending will resume in accordance with the amended budget

The Planning and Assessment Calendar

In order to ensure that planning and evaluation activities occur as outlined, an annual schedule of the major institution-wide actions is developed. An abbreviated time-line is produced as follows:

August - January	Institutional statements, including the mission, goals, vision and values statements are reviewed and modifications are made as appropriate.
October - May	<p>During the Fall and Spring semesters, CGTC's faculty and staff are involved in operational and student learning evaluation and planning activities. (includes Summer where appropriate)</p> <p>Activities include reviewing TCSG effectiveness system (PAS) institutional measures and benchmarks, using the results of evaluation in setting of goals and objectives for the coming year, and for two years hence.</p> <p>Activities also include annual and long-range budget planning including midpoint status check of current year annual planning goals, objectives, and activities.</p>
April - May	During late Spring semester, the institution makes its TCSG effectiveness system submission (PAS).
June - August	The President's Leadership Team, with input from functional directorates and College planning teams, evaluate the status of goals and objectives included in the Strategic Plan and suggests institutional objectives for the coming fiscal year.

CGTC Planning Schematic



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Central Georgia Technical College
R: July 2018; May2017; February 2016