

# Administrative Regulation 1:4

## Institutional Planning and Effectiveness Policy

### Index

---

[Introduction](#)

[Entities Affected](#)

[Definitions](#)

[Responsibilities for Institutional Effectiveness Activities](#)

[Planning](#)

[Assessment and Evaluation](#)

[Budgeting](#)

## I. Introduction

---

This *Administrative Regulation* establishes the responsibilities and reporting requirements for institutional planning and effectiveness activities at the University. Decisions regarding institutional effectiveness activities are a collaborative and consultative process among University stakeholders and are guided by three key goals:

- Aligning the processes and functions of administrative, educational, and academic and student support services units with UK's strategic goals and mission;
- Fully engaging all University units, as part of this process, in the goal and work of continuous improvement; and
- Informing the budget process to support the University's mission.

## II. Entities Affected

---

All designated administrative units, educational units, academic programs, and academic and student support services units are expected to participate in planning and assessment activities as a demonstration of continuous improvement. A complete list of designated units is maintained by the Office of Strategic Planning and Institutional Effectiveness.

These units and services include:

1. Academic programs and, as applicable, the educational units that create and deliver these programs (see SACSCOC standard 8.2.a)
2. General education (e.g., UK Core) (see SACSCOC standard 8.2.b)
3. Academic and student support services (e.g., libraries, faculty resource centers, tutoring, writing centers, academic computer centers, student disabilities support centers, financial aid, residence life, student activities, dean of student's office, etc.) (see SACSCOC standard 8.2.c) and,
4. Administrative support services (e.g., finance and procurement, facilities and physical plant, administrative services, admissions office, development, research, the Office of the President, etc.) (see SACSCOC standard 7.3)

### III. Definitions

---

For the purposes of this *Administrative Regulation (AR 1:4)* the following definitions apply:

#### A. Institutional Planning and Effectiveness Activities

Institutional Planning and Effectiveness is the ongoing and institution-wide planning and evaluation process through which the University monitors the effectiveness of its units, programs, and services to inform decision-making and resource allocation to support the University's mission. It is critical that the University's administrative, educational, academic and student support services perform effectively for the institution to meet its mission. Each unit must evaluate how efficiently and effectively it performs its duties to identify areas of improvement or success. These evaluations must occur routinely for a continuous assessment process to be effective.

The following review and evaluation activities fall under the definition of Institutional Planning and Effectiveness:

- University strategic and operational planning, tracking, and reporting
- Periodic review of academic programs
- Assessment of academic program student learning outcomes
- Assessment of administrative effectiveness
- Assessment of academic and student support services effectiveness, including student learning outcomes

#### B. Educational Unit

An "educational unit" has as its primary mission the performance of educational activities in instruction, research, and service. An educational unit is subject to the University Senate review process. (*Governing Regulation VII*). Major educational units are assigned primary responsibility for implementing and coordinating institutional effectiveness activities for their areas. Examples of major educational units are colleges, the Graduate School, Libraries, and other educational units as designated by the Provost.

#### C. Academic Programs

"Academic programs" are a combination of courses and related activities organized for the achievement of student learning and for awarding a respective academic credential (degree or certificate).

#### D. Administrative Units

For the purposes of this *Administrative Regulation* the following definitions of an administrative unit are used in order to align with SACSCOC's Principles of Accreditation:

1. Administrative Support Units (SACSCOC Standard 7.3)

“Administrative Support Units” are those units that service the institution by providing support services necessary to supporting the strategic goals and operational efficiency of the institution. They indirectly support the University’s educational mission. Examples of these units include finance and procurement, facilities and physical plant, the Office of the President, human resources, and the office of the Vice President for Research. For the purposes of this *Administrative Regulation*, college Dean’s offices are included as an administrative support unit.

2. Academic and Student Support Services Units (SACSCOC Standard 8.2.c)

“Academic and Student Support Services Units” are those units that provide support to students and faculty as related to their educational programs, indirectly support student learning, or a co-curricular mission that supports the university experience. Examples of these units include tutoring, residence life, financial aid, learning/information resources, and faculty resource centers. For the purposes of this *Administrative Regulation*, the Libraries are included as an Academic and Student Support Services/Unit.

## IV. Responsibilities for Institutional Effectiveness Activities

---

A. Board of Trustees

The Board of Trustees is responsible for approving the University mission, strategic plan, and annual operating and capital budgets.

B. The President

The President is responsible for initiating the development of the University Strategic Plan and annual operating budget. The President is accountable to the Board of Trustees for assessing and documenting institutional effectiveness.

C. Chief Administrative Officers

Chief Administrative Officers (CAOs) have general delegated responsibility for ensuring that all designated units and services participate in an institutional planning and effectiveness process that is linked to decision making and resource allocation in support of the institution’s mission. To identify the departments and services that follow the published Institutional Effectiveness and reporting cycles, CAOs work with the Office of Strategic Planning and Institutional Effectiveness. (See *AR 3:16, Review of Chief Administrative Officers*, for the definition for CAOs).

D. The Office of Strategic Planning and Institutional Effectiveness (OSPIE)

The Office of Strategic Planning and Institutional Effectiveness:

1. Directs the successful completion of University assessment cycle timelines and deadlines;
2. Maintains the University’s central repository for program and unit review results (i.e., periodic reviews, program student learning outcomes (PSLOs), administrative assessments) and annual progress reports;
3. In consultation with appropriate University constituents, develops, publishes, and disseminates information about the designated units, schedule, procedures, and activities to be used in University planning and assessment processes;
4. Participates, as needed, in the implementation and evaluation of University strategic planning;
5. Supports assessment and institutional effectiveness activities and initiatives;

6. Provides feedback to designated units on periodic assessment plans to ensure alignment with overall University mission, goals, and outcomes
7. Provides training in planning and assessment processes.

## V. Planning

---

The planning component of the Institutional Effectiveness cycle is used to identify and prioritize the actions the University and its units can take to help the University accomplish its goals and fulfill its mission. Through planning, the University defines its direction and makes decisions on allocating resources.

### A. University Strategic Planning

1. The President is responsible for initiating the University's strategic planning process. This includes determining the period of time covered by the plan and appointing a committee(s) to develop an updated strategic plan.
2. The University's strategic plan is reviewed or revised at regular intervals
3. The University's strategic plan includes the following core components: University mission statement; measurable goals or objectives; strategies; and measures of progress.

### B. Unit Planning

1. All CAO-designated administrative, educational, academic and student support services must develop individual goals and objectives that align with and support the University Strategic Plan. These unit plans must include the following components (as appropriate): a mission statement, goals, and measures of progress.
2. Following any revision of the University strategic plan, designated units may adjust individual plans, as needed, to ensure alignment with the University Strategic Plan.

## VI. Assessment and Evaluation

---

Assessment is an ongoing process through which units use assessment data to plan, evaluate and seek improvement of the effectiveness of programs, operations, and resource and service utilization in meeting the University's mission and strategic initiatives. Once goals, objectives, and measures for progress are established, the University and its units must assess whether or not the outcomes are achieved and provide action plans for continuous improvement based on the analysis of the results.

All designated units must participate in the following assessment processes, as applicable:

### A. Periodic Academic Program and Unit Review

1. All academic programs, including degree programs, undergo a formal periodic review that aligns to institutional and state-level requirements. Academic programs housed within departments undergo review as part of their department assessment. Academic programs housed at the college level undergo review separate from review of their college.
2. The periodic review process uses a systematic, comprehensive self-study of the unit and its academic programs in order to assess the performance and effectiveness with respect to the quality of the content and delivery of all academic activities (including those involving the degree and certificate programs, curriculum, instruction, research, service, extension, and outreach activities, student success, faculty and staff, administration, governance, budget and facilities.

3. Self-studies are reviewed by the provost's office, dean, college administrators, and an external peer review committee. The results of the external peer review should be reviewed with the dean, and University and college administrators as appropriate. Findings from the self-study and external review committee are used to develop strategic planning and unit initiatives. Accreditation review satisfies this requirement.
4. The appropriate CAO will determine the appropriate extent and scope of administrative and educational unit reviews, in consultation with OSPIE, and the President, Provost, or appropriate administrative designee.
5. For academic programs, the review must occur no less frequently than once every eight (8) years. Between reviews academic programs are expected to implement recommended improvements and conduct annual student outcome assessments.

#### B. Academic Program Student Learning Outcomes

1. Each academic program (see definition III.C) is required to define a set of learning outcomes, assess the extent to which it achieves these outcomes, and provide evidence of seeking improvement based on an analysis of the results. Learning outcomes are statements that identify the knowledge, skills, attitudes, and/or values students are expected to meet at the time of graduation or the completion of their program of study. Programs may use accreditor-defined learning outcomes, if appropriate, for the University student learning outcomes assessment process.
2. Academic programs must develop, periodically (at least every eight (8) years) review, revise, and implement plans to assess the student learning outcomes.
3. New academic programs must provide a draft student learning outcomes plan as part of the new program proposal. A final plan is to be provided to OSPIE no later than the end of the first year in which the new program has enrolled students.
4. Academic programs are to provide regular reports to OSPIE that document student learning outcomes assessment procedures, results, and actions taken that are expected to improve outcome performance.
5. Student learning outcomes are assessed on a cycle established by OSPIE in partnership with the University Assessment Council.

#### C. Annual Administrative Assessment

Administrative and academic and student support services units (see definition III.D.2) must participate in an annual assessment cycle. The assessment cycle is used to evaluate unit goals and objectives and to report on outcomes that align with the University strategic plan. Designated units must report annually on the following (as appropriate): mission statement, goals, objectives, measures of progress and results, and evidence of seeking improvement. The Office of Strategic Planning and Institutional Effectiveness guides the annual planning and reporting cycle.

In addition to administrative outcomes, Academic and Student Support Service Units are required to participate in Student Learning Outcomes assessment as appropriate to their unit. Requirements for these unit's student learning outcomes are as follows:

1. Each CAO-designated unit will be required to assess the extent to which it achieves these outcomes and provide evidence of seeking improvement based on an analysis of the results. Learning outcomes are statements that identify the knowledge, skills, attitudes, and/or values students are expected to meet as a result of the participation of a service or program from an academic or student support service
2. Academic and student support service units must develop, periodically review, and revise, and implement plans to assess the student learning outcomes.

3. Academic and student support service units must develop a final plan to be provided to their respective CAO or designee no later than the end of the first year in which it serves students.
4. Academic and student support service units are to provide regular reports to OSPIE that document student learning outcomes assessment procedures, results, and actions taken that are expected to improve outcome performance using evidence generated by the university assessment database.
5. Student learning outcomes are assessed on a regular cycle established by OSPIE in partnership with the unit's CAO.

## VII. Budgeting

---

- A. Institutional Planning and Effectiveness is the ongoing and institution-wide planning and evaluation process through which the University monitors the effectiveness of its units, programs, and services to inform decision making and resource allocation to support the University's mission. Resource allocation occurs through a standard budget process used to translate institutional plans into action and foster accountability. The University budget process is aligned with the University's planning and assessment activities and ensures all budget matters follow the general organizational structure of the University. The University's fiscal plans and resource allocations are informed by and aligned with the University's strategic plan. As part of the overall budget process, designated units develop fact sheets that provide, as applicable:
1. A mission statement;
  2. Unit description and services;
  3. High level organizational structures;
  4. Accomplishments over the past year;
  5. Enrollment and degrees awarded over the past four years;
  6. Sponsored research awards over the past five years;
  7. Engagement in public service; and
  8. Goals for the coming year.
- B. The University Budget Office has the responsibility for developing, implementing, and monitoring the current funds budgets. UK operates an annual operating budget process, referred to as the Budget Development Cycle, to develop the operating budget for the fiscal year. Each major area (President, Provost, EVPFA, EVPHA and Research) has an Area Fiscal Officer with responsibility for the budget, compliance, and finances of that area. Responsible persons at the unit-level ensure that expenditures under their control align with institutional mission and priorities and do not exceed budgets. Each year, the Budget Cycle Calendar is distributed to all Area Fiscal Officers and business officers and is accessible via the University Budget Office website. The University Budget Office works in conjunction with University Financial Services to ensure that appropriate budgetary reporting and management are in place and function as intended.

## References and Related Materials

---

GR Part II, Governance of the University of Kentucky

GR Part VII, University Organization

GR Part IX, Reviews of Organizational Units and Their Chief Administrative Officers

Administrative Regulation 8:9

Administrative Regulation 3:16

SACSCOC Core Requirement 2.5 and Comprehensive Standard 3.3.1, The Principles of Accreditation: Foundations for Quality Enhancement, 2012 Standards 8.2a, 8.2.b, 8.2.c, 7.1, 7.3

Kentucky Council on Postsecondary Education, New Academic Programs Approval: Policy and Procedures September 15, 2020

## **Revision History**

---

AR II-1.5-1 - 1/1/2001

AR II-1.5-2 - 8/23/1993

AR 1:4 - 11/15/2006, 9/9/13, (Updated Unit Titles/Website 11/17/2015), 8/26/2022

For questions, contact: [Office of Legal Counsel](#)