**Northern Michigan University**

**OUTCOMES ASSESSMENT PLAN/REPORT FORM**

**Administrative or Educational Support Unit**

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| Name of Department or Unit | | Finance and Planning | | | |
| This document is the | 🞎 PLAN or 🗹 REPORT for July 1, 2011 to June 30, 2012 | | | Date Submitted: | July 24, 2012 |
| Submitted by (Unit Representative) | | | Sherri Towers | | |

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| **Department or Unit Mission Statement: Was this mission statement revised this year? Yes \_X\_ No** |
| Develop and implement both short and long-term budget and financial strategies that assist the University in identifying and managing the necessary resources to implement initiatives and operational changes to achieve quality programs in a high-tech, high-touch learning environment. |

**Functions within the University:**

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| In addition to being part of NMU’s continuous improvement process, outcomes assessment plays a direct role with the AQIP Systems Portfolio (100-page document submitted every four years). To increase awareness and help gather Portfolio information, **please type “X” for all AQIP categories directly related to your unit’s core mission**. Some functions appear in more than one category. This is a first round collection of this information so do the best you can with the selection; if you want help, ask S. Poindexter. (Note: this section of the form is short-term; it will be deleted once functions have been mapped between units and the Systems Portfolio.)  **🞎** AQIP Category 1: Helping Students Learn documents the curricular and co-curricular processes and student learning support.  **🞎** AQIP Category 2: Accomplishing Other Distinctive Objectives documents the key non-curricular functions by which NMU serves the region, e.g. community engagement initiatives of students and employees, and department outreach.  **🞎** AQIP Category 3: Understanding Students’ and Other Stakeholders’ Needs documents how NMU builds relationships with students, alumni and employers and identifies, targets and meets their needs.  **🞎** AQIP Category 4: Valuing People documents NMU personnel recruitment, training, satisfaction, services and programs.  **🞎** AQIP Category 5: Leading and Communicating documents processes that guide NMU in setting directions, making decisions, seeking future opportunities, and communicating decisions and actions.  **X** AQIP Category 6: Supporting Institutional Operations documents student and administrative support services, safety, and facilities.  **X** AQIP Category 7: Measuring Effectiveness documents IT systems and institutional research NMU employs to collect, analyze, and distribute, and how departments use them to manage improvement, e.g. use of charts, “cubes,” dashboards.  **X** AQIP Category 8: Planning Continuous Improvement documents NMU’s strategic and administrative planning processes.  **🞎** AQIP Category 9: Building Collaborative Relationships documents how NMU works with external organizations from which we receive students (school systems) or goods and services (vendors and utilities), send our graduates (schools and employers), and support or regulate our programs (agencies).  (A full description of the Portfolio’s categories and its detailed topics are available at [www.nmu.edu/aqip](http://www.nmu.edu/aqip) under the Current Document tab.) |

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| **Administrative Objective #1** *(State an ongoing goal by which the unit gauges its overall performance in a key role year after year, i.e. your “bottom line” measure.)* |  | **Means/Evidence of Assessment for Objective** *(Describe the statistic or criteria that measures success in achieving this goal. What is the desired and/or minimum target you expect*? *What method is used to collect the data for the statistic*?) |
| 1. Annually evaluate requirements, document timelines and procedures and complete all compliance reports for the State of Michigan, Integrated Postsecondary Education Data System (IPEDS), Higher Learning Commission, and other agencies by the reporting due dates. 2. Prepare, input and monitor all university budgets for compliance with Board of Trustee approval allowing management and university departments to make strategic decisions regarding operations and resource management. |  | 1. Review requirements, timelines and reporting changes for compliance reports once available. 2. Compile all required data and submit all reports to the appropriate agency by the reporting due dates. 3. Document reporting timelines and procedures for all reports. 4. Board of Trustee approved budgets are loaded into the Banner system as soon as possible following the Board of Trustee meeting. 5. All subsequent adjustments are reviewed and entered in a timely manner. 6. Departmental balances are periodically reviewed and followed up on if necessary. |
| **Summary of Data Collected** *(Provide trend data and summarize)* |  | **Describe how results were used to improve services** |
| a.b.c. We have created a Compliance Report Timeline (see attached) which tracks the report, the due date of the report, and the date the report was completed or filed. This Timeline will be updated for any new reporting requirements that occur in the new fiscal year. All required reports were filed on time. We have not yet begun to document our procedures but plan to do so in the next fiscal year.  d. Board of Trustee approved budgets for the Auxiliary Fund were loaded into the Banner system in July 2011 and the approved budgets for the General Fund and Designated Fund were loaded in September 2011 following the Board of Trustee meetings that the budgets were approved at.  e. Throughout the fiscal year adjustments are made to the budget by individual departments. These adjustments are reviewed and entered into Banner soon after they are received in our office, most often within a couple of days after they are received.  f. ReportNet reports were written to review all departmental budget balances and these reports were run every few weeks. Departments were contacted regarding any questions that arose. |  | a.b.c. The Compliance Report Timeline has been a very useful tool this year in tracking our reporting timelines especially with many new reporting requirements for the State of Michigan, as listed in the appropriation bill. This timeline has allowed us to track all deadlines in order to review all reporting changes and stay compliant with State and Federal reporting.  d.e. Loading Board of Trustee approved budgets into the Banner system as soon as possible after approval allows us to provide university departments with accurate data allowing them to make informed financial decisions. This is also true for all budget revisions received by our office throughout the year. We also implemented a new software component within the Banner system, spreadsheet budgeting, which allows us to more efficiently balance, review and programmatically upload these new year budgets into Banner. This system also provides us with the ability to run reports on these budgets prior to the final load.  f. Periodically running monitoring reports allows our department to better identify if any specific financial or budget action needs to take place. These reports also allow us to monitor the university’s financial position in order to make informed management decisions. |
| **Administrative Objective #2** *(State a 1-2 year objective intended to improve a unit process, service, or output.)* |  | **Means/Evidence of Assessment for Objective** |

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| *Objective*: Create a new HEIDI database and develop key performance indicators in order to more easily compare ourselves to the other 14 State of Michigan Universities.  HEIDI - Higher Education Institutional Data Inventory. This report required by the State of Michigan as part of the appropriation act includes financial and student data for each of the 15 state universities.  *Rationale (Why you are setting this objective; mark with “X”)*:  X Effectiveness/quality action X Efficiency/cost action  Compliance issue Satisfaction measure Create baseline  Other (explain):  *Does this objective relate to a Road Map goal? (Refer to last page for the Road Map goals). If yes, type the related Road Map codes here*: CA-2 |  | *Describe timetable plans to achieve objective*.  a. By October 2011 - determine which HEIDI key performance indicators to include and work with AdIT on implementation of new indicators.  b. December 2011 - update HEIDI database with new year information.  c. February 2012 - review HEIDI preliminary key performance indicators for accuracy and make any necessary adjustments.  *Beyond completing the above steps, how will you judge whether the objective was a success?[[1]](#endnote-1) Examples: If the rationale was Efficiency/cost, what is the desired and/or minimum target criteria for savings in time or cost? If the rationale was Satisfaction, what is the measure and what increase is desired*? |
| **Summary of Data Collected** (*Summarize the evidence)* |  | **Use of Results to Improve Unit Services** |
| As noted below, we were able to accomplish steps a and b but not step c.   1. We identified several key performance indicators relating to Expenditures, Enrollment, Facilities, Retention, Graduation Rates, Degrees Granted, Student Access, Instructional Programs Offered, Staffing and Affordability. Met with the Adit Staff in November 2011 to determine what data was required to begin the development of these indicators. 2. Fiscal year 2011 HEIDI (most current) information was downloaded to the database as of February 14, 2012. 3. Judy Hopper (Adit) has begun developing the reports for Expenditures but has run in to some complications with the new software. |  | During this process we have determined that the development of the Cognos reports are going to take some time. Once we have developed the reports in the desired format, then we will begin to determine what the thresholds would be for needed change and or improvement in comparing ourselves to the other 14 State of Michigan Universities.  Our state legislators use the HEIDI information in making some  strategic decisions regarding operations and resource management, therefore this remains an important objective for our department and we will continue with this objective on our next year’s plan. |
| **Administrative Objective #3** *(State a 1-2 year objective intended to improve a unit process, service, or output.)* |  | **Means/Evidence of Assessment for Objective** |
| *Objective*: Work with Vice President of Academic Affairs office on the adjunct and overload position budgeting process in order to get position budgets entered earlier in the semester so academic departments can better monitor their departmental budgets.  *Rationale (Why you are setting this objective? Mark with “X”)*:  X Effectiveness/quality action Efficiency/cost action  Compliance issue X Satisfaction measure Create baseline  Other (explain):  *Does this objective relate to a Road Map goal? (Refer to last page for the Road Map goals). If yes, type the related Road Map codes here*: CA-2 |  | Describe timetable plans to achieve objective.  a. August 2011 - meet with VPAA office to discuss current adjunct/overload budgeting process and discuss and develop improvements in the current process.  b. During fall 2011 semester, begin implementing improved process.  c. By winter 2012 semester adjunct/overload positions are prepared, submitted and entered at the same time as approval of the EPS paperwork.  d. By May 2012, communicate the changes implemented to impacted departments.  *Beyond completing the above steps, how will you judge whether the objective was a success*?1  Academic departments are able to review position lines for accuracy throughout the semester and not just at the end of the year. |
| **Summary of Data Collected (**Summarize the evidence) |  | **Use of Results to Improve Unit Services** |
| 1. Met with Debbie Violetta in the VPAA office on 9-1-11 to discuss the current adjunct/overload budgeting process and discussed suggestions for improving the process. 2. Due to personnel changes in the Human Resources department and reassignment of duties for Debbie Violetta involving the hiring of adjuncts and overloads, we were unable to complete this objective for this year. |  | The departments do not have control as to when these positions are budgeted, so processing these in a more timely matter will help them to evaluate their budgets earlier in the semester.  This remains an important objective for our department and we will continue to work closely with the VPAA office to implement this process in the coming fiscal year. We will not include this objective on our next year’s plan.   |  | | --- | |  | |

Many service units already use an evaluative measure and this approach is now more common in assessment theory– not everything we try works out the way as hoped and creating a target and/or success/bail out threshold is appropriate. In cases where this is a new approach for a unit, in the 2011-12 Plan consider how you *might* measure the added value of an objective; however, it is not yet a requirement. The OA committee will provide suggestions in its feedback for this year. During the year, dialogues, additional resources, one-on-one meetings and/or seminars will be held to evolve our OA process.

**Road Map Codes to Tie to Unit Objectives**

Some unit objectives may address specific operational issues. Other unit objectives are strategic initiatives that align with goals in the University strategic plan - Road Map to 2015. These latter unit objectives are potential AQIP Action Projects – giving a little more recognition to unit efforts. Listed below are Road Map categories and goals, preceded with a code. Use these codes when describing Objectives #2 and #3. (Note: Even if your objective is not an exactly itemized as a Road Map priority, still use the code if it applies to that goal.) The full Road Map is at [www.nmu.edu/roadmap2015](http://www.nmu.edu/roadmap2015).

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| ***Road Map to 2015 Goals*** | |
| ***Code*** | ***Innovation Goals*** |
| **I-1** | Balance successful programs with new offerings |
| **I-2** | Professional development program that rewards innovation and collaboration |
| **I-3** | A growing portfolio of corporate collaborations that exploit NMU’s technical expertise, enhance academic programs and facilitate global engagement for students and faculty both on campus and abroad |
| **I-4** | Develop the financial resources to support innovation and student success |
|  | ***Meaningful Lives Goals*** |
| **ML-1** | A Liberal Studies Program that provides students with the abilities and knowledge necessary for lifelong learning and effective citizenship in a challenging and rapidly changing world |
| **ML-2** | Develop a new academic advising system that integrates the advising assets of academic departments and student services to contribute to a new, effective retention management network—similar to our enrollment management network |
| **ML-3** | Integrate the highest possible level of information technology skills and competencies throughout the university |
|  | ***Campus Attributes Goals*** |
| **CA-1** | Utilize the Campus Master Plan and related initiatives to continue to build and develop a greener and more learner-centered campus |
| **CA-2** | Enhance processes throughout campus operations to guide the use of resources and inform resource allocation |
| **CA-3** | Enhance the portfolio of academic programs, research and other activities that leverage the university’s location |
| **CA-4** | Be a model community for sustainable education and practices |
|  | ***Community Engagement Goals*** |
| **CE-1** | Include all units of the campus in the process of community engagement for the mutually beneficial exchange of knowledge and resources in a context of partnership and reciprocity. |
| **CE-2** | Increase faculty, staff and student involvement in the Superior Edge program, academic service learning and other community engagement and leadership development initiatives. |
| **CE-3** | Put into action a commitment to be an inclusive community where differences are recognized as assets of the institution, respected attributes of the person and a valuable part of the university experience |
| **CE-4** | Increase collaboration with local communities, schools, governments, development groups and other partners to enhance community and economic development in the Upper Peninsula. |

1. [↑](#endnote-ref-1)