The ABCs of Institutional Effectiveness
Summer Institute 2014

Presented By
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Objectives

- Discuss the role of institutional effectiveness in the *Principles of Accreditation*
- Identify the elements of institutional effectiveness per the SACSCOC expectations
- Review some methods of engaging in and documenting institutional effectiveness
- Address the concerns of Core Requirement 2.5, Comprehensive Standard 3.3.1 Documenting compliance with CR 2.5, CS 3.3.1,

Challenges of IE
Identified by Participants

- Not sure what IE really is
- Establishing understanding that each element of IE is important
- Faculty buy-in
- Administration support
- Convincing others about the importance of IE
- Meaningful strategic/unit planning
- Writing measureable outcomes – to include Student Learning Outcomes
- Data Collection

Challenges of IE
## Identified by Participants

- Using results for improvement
- Ensuring/Documenting compliance with the standards
- Consistent interpretation/definitions of standards
- Duties/responsibilities of IE/Assessment Committee
- Time
- Requirements of IE for institution/SACSCOC
- Creating a culture of assessment

What is Institutional
Effectiveness?

- It is the "systematic, explicit, and documented process of measuring performance against mission in all aspects of an institution…."
- "A commitment to continuous improvement is at the heart of an ongoing planning and evaluation process. It is a continuous, cyclical process that is participative, flexible, relevant, and responsive."

  Resource Manual, SACSCOC (Revised 2012)

Institutional Effectiveness
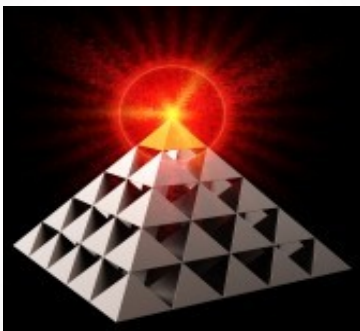
Institutional Effectiveness

The pyramidal model

- _____
- _____
- _____
- _____
- _____
- _____
- _____
- _____

Institutional Effectiveness

Active

Institutional Effectiveness

Active
- always in motion
- engaged
- energetic
- Participative

Institutional Effectiveness

Institutional Level

Unit Level

Institutional Effectiveness

- **At the institutional level**, IE relates to:
  - o Institutional Mission,
  - o Strategic /Long Range Plan

- Sets the direction for the institution as a whole
- Provides a framework for planning at the "unit" level
- Identifies priorities for the institution
- Is informed by research
- Is reviewed and modified as appropriate on a systematic basis

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Institutional Effectiveness

At the Unit level- IE relates to:
  - o Program – to include student learning outcomes
  - o Department

- Has outcomes designed to fulfill the mission/purpose of the program/department
- Ensures alignment between unit/program goals/outcomes and the mission/strategic goals of the institution
- Is informed by research
- Is reviewed and modified as appropriate on a systematic basis

Institutional Effectiveness

Ongoing

Institutional Effectiveness

Ongoing -
- Has consecutive cycles of the complete IE system
- There is no gap between the implementation of cycles
- There is a clearly identifiable system, the elements of which are implemented in sequence within a defined timeframe
- Each succeeding cycle flows seamlessly from the preceding cycle carrying with it elements of the previous cycle

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Institutional Effectiveness

Integrated

Institutional Effectiveness

Integrated

- Planning is not done in isolation
- There is interaction among/between units, especially in the planning process
- There is interaction among/between units in evaluation where applicable
- Program/unit priorities (goals) are clearly connected to the institutional goals
- The budget for the institution and units reflects the priorities of the institution

Institutional Effectiveness

Institution Wide

Institutional Effectiveness

Institution Wide

- Each unit/program is engaged in the IE process as set out in the institution's IE system
- Each unit/program is able to, and contributes to the fulfillment of the institution's Strategic/Long Range
- Each unit/program has outcomes/goals that relate to the institution's mission

Institutional Effectiveness

Research Based

Institutional Effectiveness

Research Based
- Planning incorporates data obtained from internal assessment of goals/objectives/expected outcomes
- Planning utilizes data, generated external to the institution, that relate to institutional/unit mission or priorities
- Decisions are made based on data generated from internal assessment and external data

Systematic Review Process

Mission

Use of Results for Improvement

Goals/ Objectives/ Expected Outcomes

Assessment followed by Analysis

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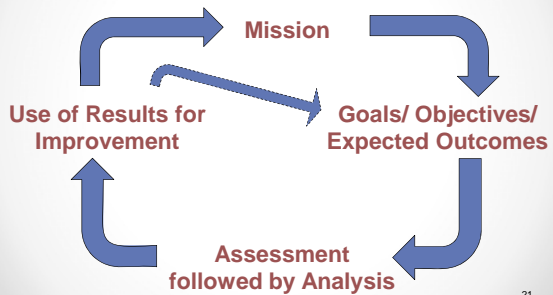
Institutional Effectiveness

Continuous Institutional Improvement -

Institutional Effectiveness

Continuous Improvement -

- After data analysis, findings that indicate a need for improvement are integrated into the plan for the next years planning and assessment cycle
- Goals related to the projected improvement are established, assessed and analyzed by the end of the next IE cycle
- The extent to which improvement has occurred are examined and
- The cycle restarts or is completed depending on the nature of the improvement required

Institutional Effectiveness

Institutional Effectiveness

Mission Accomplishment -
- Examine the extent to which the institution is achieving its strategic goals/priorities
- Institutional Mission is operationalized through the Strategic/Long Range Plan
- The extent to which the institution is achieving its mission is measured through the extent to which the institution is achieving its strategic priorities as set forth in its strategic goals

Institutional Effectiveness

Meaningful

Institutional Effectiveness

Meaningful –
- Relates to the mission of the institution
- Expresses the extent of mission accomplishment
- Provides data that can be used for improvement
- Is critical to the objective planning and assessment for mission accomplishment
- Is important to constituents/regulators
- Identifies and ensures resources for mission accomplishment
- Guides institutional decision making

Institutional Effectiveness

Necessary

Institutional Effectiveness

Necessary for-
- Direction
- Comprehensive planning
- objective decision making
- Checks and balances
- Informed Growth
- Planned advancement/improvement
- Sustainability

Institutional Effectiveness

Required

Institutional Effectiveness

Required for –
- Providing objective data for funding
- Access to Financial aid
- Public perception of the institution
- Marketing/Recruitment
- Accreditation

Institutional Effectiveness

Useful

Institutional Effectiveness

Useful for –
- Situational analysis
- Providing data for institutional change
- Determining needs
- Evaluating the effective use of resources
- Determining direction
- Establishing timelines
- Rationalizing decisions
- Knowing and dealing with reality

The Importance of IE

The Importance of IE

- Provides a blue print for effective and efficient institutional operation
- Provides a basis for self-evaluation
- Provides a basis for quality improvement and advancement
- Allows an institution to demonstrate the extent to which it is attaining its mission

Key Elements of IE

Institutional Mission

Institutional Strategic Plan

Institutional Goals/Objectives

All Units Goals/Objectives

Who Is Involved?

Who Is Involved?

- The CEO who ensures that everyone knows this is important and is an integral part of the life of the institution
- The individual who oversees institutional effectiveness activities
- Everybody at the institution in one way or another

The Challenge

The Challenge

How does an institution demonstrate the extent to which it is achieving its mission to -

- you (for motivation and sustainability)
- your students (current and potential)
- the public in general (support)
- Accreditors, state and federal governmental entities (recognition and support)

Core Requirement 2.5
(Institutional Effectiveness)

The institution engages in ongoing, integrated, and institution-wide research-based planning and evaluation processes that (1) incorporate a systematic review of institutional mission, goals, and outcomes; (2) result in continuing improvement in institutional quality; and (3) demonstrate the institution is effectively accomplishing its mission.
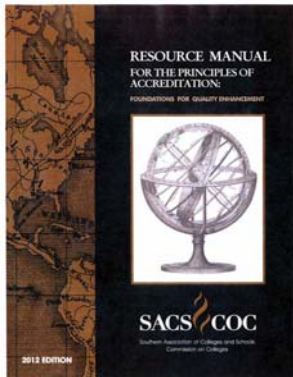

CR 2.5 - Institutional Planning

The Institutional Level

Laying the Foundation for Compliance at the Institutional Level

- Ensure you use the most current SACSCOC documents and guidelines
- Ensure there is a well-defined structure for planning and evaluation at the institutional level
- Ensure everyone is familiar with this structure and how it works
- Ensure everyone understands and responds appropriately to the requirements of the process

Review of Some Documents Used To Demonstrate Compliance

- Principles of Accreditation: Foundation for Quality enhancement
- Example of Institutional response to CR 2.5
- Compliance administrative systems
- Supporting institutional documentation

Examples of Compliance Management Systems

Trac Dat	Xitracs	Comp Assist	Task Stream	Weave	Google Docs	Live Text	Home Grown

- Institutional Effectiveness Manual
- Institutional Effectiveness Cycle
- Operational Planning Forms

Review Questions – group work, 15 minutes

- Was a planning and assessment structure evident? Give a brief description of the structure.
- What elements of institutional effectiveness were addressed?
- What was the timeline for the completion of an institutional effectiveness cycle?
- For how many cycles were data presented?
- What documentation did the institution use as evidence of compliance with CR 2.5?
- Who is responsible for planning and evaluation?
- In what way, if any, did the planning process intersect with the budgeting process?

Demonstrating Compliance

- Provide a narrative describing the institutional planning and assessment process which addresses the institution's mission, goals, and expected outcomes (strategic plan or long range plan)
- The narrative should be clear, logical and responsive to each element in the standard

Demonstrating Compliance

Provide evidence of -

- The institutions application of the institutional effectiveness structure as it addressed
- The appropriate and timely assessment of mission, goals, and expected outcomes, analysis of findings, and the use of results for improvement of the institution in a systematic way
- Method of disseminating results to constituents

Ongoing

Demonstrating Compliance

Evidence of "Ongoing":

- The planning and evaluation process is continuously taking place
- Results of findings are used in subsequent planning cycle(s)
- There is more than one completed cycle of continuous institutional effectiveness activities

Integrated

Demonstrating Compliance

Evidence of "Integrated" :

- The planning and evaluation process intersects with different/multiple units of the institution
- Unit goals (priorities) are clearly connected to the institutional goals (priorities)
- The budget for the institution reflects the priorities of the institution

Institution-Wide

Demonstrating Compliance

Evidence of Institution-Wide:

- Planning and evaluation documents for each unit showing the relationship to the institutional goals/objectives and the fulfillment thereof

Research-based

Demonstrating Compliance

Provide evidence of Research-Based:

- Planning and assessment processes are supported by research data – internal and external
- Data follow the identification of goals and objectives and learning outcomes or competencies
- Data reflect assessment of achievement of goals/objectives
- Data reflect use of findings for improvements

Demonstrating Compliance

Prepare visually effective matrices so that a reader can quickly see that:

- Goals/objectives relate to the mission
- Goals/objectives are clear and measureable
- Goals/objectives have been appropriately assessed on a systematic basis
- Findings of assessment have been analyzed
- Results have been used for quality improvement
- Appropriate sampling has been used to make the case for compliance

Demonstrating Compliance

Examples of documents used to establish compliance:

- Institutional Plans – strategic, operational
- Mission, Goals/Objectives
- Minutes – board, administration, faculty, staff, students where applicable
- Reports – annual, unit, programs, audits
- Manuals
- Charts, tables, figures

Demonstrating Compliance

Documents used to establish compliance:

- Statistical Reports – internal, external,
- Bylaws/policies, manuals
- Copies of actual used forms that relate to the IE process
- Presentations, reports that relate to the strategic goals/objectives

Demonstrating Compliance

Documents used to establish compliance:
- Catalogs
- Handbooks
- Matrices
- Photographs
- Agenda

Comprehensive Standard 3.3.1

Comprehensive Standard 3.3.1.

The institution identifies expected outcomes, assesses the extent to which it achieves these outcomes, and provides evidence of improvement based on analysis of the results in each of the following areas:

Comprehensive Standard 3.3.1

- 3.3.1.1 educational programs, to include student learning outcomes
- 3.3.1.2 administrative support services
- 3.3.1.3 academic and student support services
- 3.3.1.4 research within its mission, if appropriate
- 3.3.1.5 community/public service within its mission, if appropriate

The Cyclical Nature of the IE Process

Purpose [implied]

Expected Outcomes

Assessment, Analysis of Results

Use of Results for Improvement

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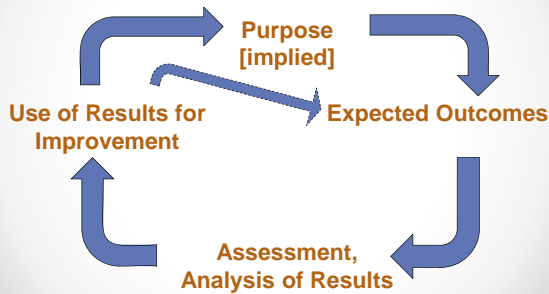
CS 3.3.1.1

The institution identifies expected outcomes, assesses the extent to which it achieves these outcomes, and provides evidence of improvement based on analysis of the results in:

- Educational Programs (certificates, diplomas, degrees)
- To include student learning outcomes

First Requirement of 3.3.1.1

Assessment of educational programs –

What expected outcomes do you have for your educational program?

Examples -

- Increase the number of graduates who go on to advanced/professional programs
- Obtain program accreditation
- Increase student success rate on professional examinations – e.g. Teacher Certification, Nursing Board Examinations, Bar Examinations

Program Outcomes May Be…

- Process Outcomes
  - o The Sociology Department will provide internships
  - o The Honors College will provide opportunities for students to study abroad

- Attitudinal Outcomes
  - o Graduates will report that their academic major provided them with the skills that they need for their future careers
  - o Students graduating with a degree in Philosophy will indicate that they have deepened their interest in learning and strengthened their intellectual autonomy

Second Requirement of 3.3.1.1

What do you expect students to know when they complete each academic program – including general education?

- Identify student learning outcomes for each program regardless of instructional modality or location
- Student learning outcomes should focus on knowledge, skills, values and attitudes
- Student learning outcomes should be specific and measureable

Student Learning Outcomes (SLOs)Contain Words Such As …

- Analyze
- Apply
- Articulate
- Calculate
- Categorize
- Demonstrate
- Choose
- Classify
- Compare
- Compute
- Contrast
- Create
- Defend
- Define
- Demonstrate
- Describe

- Design
- Develop
- Devise
- Differentiate
- Discuss
- Distinguish
- Earn
- Explain
- Identify
- Illustrate
- Indicate
- Initiate
- Interpret
- Integrate
- Judge
- Label

- Name
- Operate
- Order
- Organize
- Plan
- Predict
- Prepare
- Produce
- Propose
- Recall
- Restate
- Score
- Solve
- List
- Tell
- Translate

Examples of Student Learning Outcomes

- Students will <u>demonstrate</u> computer competence by using a computer to <u>generate</u> and <u>edit</u> a <u>document</u>, <u>search</u> for information in an electronic database, <u>communicate</u> via email, <u>analyze</u> data, and <u>present</u> information to an audience.

- Students will <u>complete</u> an independent research project in which they <u>design</u>, <u>conduct</u>, and <u>communicate</u> the findings of a study to address a specific psychological hypothesis or research question using appropriate research methods.

SLOs May Include Expected Levels of Performance

- Accounting graduates will produce effective business communication in written form by obtaining <u>at least 70% </u>of possible points on written assignments in AC 312.

- At least 80% of senior psychology majors will score at the <u>50th national percentile or better </u>on a national standardized test such as MFAT, which will be given at least every four years.

Questions to Ask About Outcomes You Have Written

- Is there an articulated goal for the program?
- Are the outcomes tied to that goal?
- Are the outcomes stated such that they are clear and can be measured?
- Would you be satisfied if students who complete the program can demonstrate achievement of the outcomes you have listed?

Issues Related to Satisfying CS 3.3.1.1

- Not establishing a general context for the institution's Institutional Effectiveness processes for educational programs by:
  - Not describing the types of credit and non-credit programs offered
  - Not establishing the delivery strategies used

Issues Related to Satisfying CS 3.3.1.1

Not adequately and appropriately addressing :
- Program outcomes
- Student learning outcomes

Issues Related to Satisfying CS 3.3.1.1

Not responding to each element of the standard:

- Not identifying expected outcomes (to include student learning outcomes at the program level)
- Not assessing the extent to which it achieves these outcomes
- Not providing evidence of the use of results to improvement based on analysis of results

Issues Related to Satisfying CS 3.3.1.1

Sampling:

- Not a representation of the institution's mission
- Not a valid cross-section of programs from every school or division
- Not making a compelling case as to why the sampling and assessment findings are an appropriate representation of the institution's educational programs
- Not adequately and appropriately describing the sampling technique used to ensure a valid sample

Indicators of Good Practice: Educational Programs

- Programs have a clear purpose statement linked to the institutional mission
- All programs leading to diplomas, certificates, and/or degrees have clearly defined student learning outcomes that are published and measureable
- Expectations for graduate programs are progressively more complex than undergraduate student learning outcomes in the same degree program

Indicators of Good Practice: Educational Programs

- Departments evaluate the effectiveness of their educational programs and services
- Departments obtain data to assess the students' achievement of the learning outcomes.
- Direct assessment of student learning through testing and evaluation of student work is a prominent feature in departmental assessment processes

Indicators of Good Practice: Educational Programs

- Assessments tools are directly related to the outcomes being evaluated
- Departments document that assessment results are used to change or sustain the excellence of program activities and further student gains in professional and attitudinal skills and experiences

Issues Related to Satisfying…

CS 3.3.1.2 – The institution identifies expected outcomes, assesses the extent to which it achieves these outcomes, and provides evidence of improvement based on analysis of the results in **administrative support services**

CS 3.3.1.3 – The institution identifies expected outcomes, assesses the extent to which it achieves these outcomes, and provides evidence of improvement based on analysis of the results in **academic and student support services**

Issues Related to Satisfying…

CS 3.3.1.4 – The institution identifies expected outcomes, assesses the extent to which it achieves these outcomes, and provides evidence of improvement based on analysis of the results in **research within its educational mission, if appropriate**

CS 3.3.1.5 – The institution identifies expected outcomes, assesses the extent to which it achieves these outcomes, and provides evidence of improvement based on analysis of the results in **community/public service within its mission, if appropriate**

Issues Related to Satisfying Comprehensive Standards 3.3.1.2, 3.3.1.3, 3.3.1.4, 3.3.1.5

Not establishing the context for the institution's institutional processes for educational support services:

- Not describing the organizational structure of educational support services units
- Not describing the system which is used to guide the processes

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Examples of Expected Outcomes for Administrative Support Services (CS 3.3.1.2)

Office of Institutional Research
- Publish the 2014 -2015 Fact Book
- Provide workshops in operational planning for administrative units

Business Office
- Review and modify policies and procedures for efficiency and adherence to internal controls
- Complete all internal audit processes by June, 30th

Examples of Expected Outcomes for Administrative Support Services (CS 3.3.1.2)

President's Office
- Develop and implement a comprehensive master plan through streamlined operations that focus on efficiency and strong customer service
- Increase fundraising by 25% in 2014 – 2015

Provost's Office
- Increase the number and type of articulation agreements with appropriate institutions to broaden students learning experiences
- Develop professional development sharing forums for faculty

Examples of Expected Outcomes for Educational Support Services (CS 3.3.1.3)

Library
- Students on academic probation who use the library resources academic assistance program will improve their academic status

Office of Academic Assistance
- Develop a study skills course to assist students who self identify or are identified by faculty to need this service to improve their academic achievement

Examples of Expected Outcomes for Research within its Educational Mission (CS 3.3.1.4)

- Promote the scholarship of discovery by encouraging collaborative research and publication between basic science and clinical faculty
- Increase the number of faculty involved in sponsored research by 10% annually
- Increase the number of students who present scholarly research at approved conferences

Examples of Expected Outcomes for Community/Public Services
(CS 3.3.1.5)

- Increase the level of community satisfaction with the services provided through the Center for Community Advancement
- Promote leadership and service through faculty and student participation in community and professional activities

Indicators of Good Practice

- Units/programs have a clear purpose statement linked to the institutional mission
- Units/programs have clearly defined expected outcomes that are published and measureable
- Expected outcomes are representative of the institution's mission
- Assessment of student learning is done **if** they are included in programs/services offered in a unit/ program
- In large institutions, information provided represents a valid cross-section of units/ programs from every division

Indicators of Good Practice

- Units/programs engage in a systematic planning and assessment process to obtain data that describes the extent to which they are achieving their expected outcomes
- Assessments tools are directly related to the outcomes being evaluated
- Units/programs provide documented evidence that assessment results are used for improvement based on analysis of the results

Behavioral Objectives

According to Alberto and Troutman (1999), each behavioral objective should identify the following elements:

- person(s) for whom the objective is written (the learner),
- behavior targeted for change,
- conditions under which a behavior will be performed
- criteria for determining when the acceptable performance of the behavior occurs.

SMART Goals

- **S**pecific
- **M**easurable
- **A**chievable
- **R**esults-focused
- **T**ime-bound

Finding Resources

- http://www.abet.org/assessment.shtml
- http://www2.acs.ncsu.edu/UPA/assmt/resource.htm (Internet Resources for Higher Education Outcomes Assessment) Has 1100 links and links to over 400 colleges and universities.
- Google "assessment," "assessing student learning outcomes," "student learning outcomes and assessment"
- Developing SMART Goals

Resources

- Other resources:

Michael Middaugh, Planning and Assessment in Higher Education: Demonstrating Institutional Effectiveness (Jossey-Bass, 2009)

Linda Suskie, Assessing Student Learning: A Common Sense Guide, 2nd Edition (Jossey-Bass, 2009)

Barbara Walvoord, Assessment Clear and Simple: A Practical Guide for Institutions, Departments, and General Education (Jossey-Bass, 2004)

Make Sure Everyone Is Engaged in the Identification of Outcomes and Assessment Methods

- It is important that everyone is included in the discussion about outcomes
- It is important that everyone understands the value of assessment and use of those outcomes
- If the process is not meaningful, it will be a waste of time

Meaningful Outcomes and Assessment

- Red flags that the outcomes and assessments are not meaningful or useful and/or that no one has taken the process seriously
  - Same number of outcomes for all programs
  - Same "target" (for example "70% of students will score 70% on a test)
  - Assessment does not go beyond course grades/tests/objectives

Assessment

- Assessment is not an end in itself but a means to an end---improving student learning
- Assessment lets you know whether the things you have said are important (i.e. the program outcomes) are being achieved
- Assessment lets you know something about the graduates you are sending out into the world

Examples of Assessment Methods

- Satisfaction Surveys (limited use)
- Nationally devised pre and post tests
- Results on board examinations
- Institutionally devised pre and post tests
- Advisory Committee Evaluations
- Student success in more advanced courses at the institution
- Student success as transfers
- Student success in jobs
- Employer Evaluations
- Capstone Courses

Choosing Assessment Methods

- Tie assessment method to outcome
- Consider how often you will need to assess achievement of an outcome
- What will yield the most useful results?
- How will you conduct the assessment?
- How will you access the data in a useful form?
- How will you disseminate the data?
- How will you ensure that the data is used for improvement and use is recorded and tracked?

Documenting Compliance with Accreditation Requirements

▸ How can we present what we are doing so that peer evaluators will see that we are in compliance with 3.3.1.1?

Matrix or table clearly identifying the outcome, the "target," the means of assessment, and the use of assessment is one way.

Demonstration of Compliance

- Look at examples of what others are doing to demonstrate compliance
- Devise your own system and method of demonstrating that the process is functioning and yielding usable information that allows you to improve programs

CS 3.3.1.2

- Administrative Support Services
- Examples of "units" often included under 3.3.1.2 -
  - President's Office
  - Office of Vice President (or Provost)
  - Admissions/Registrar's Office
  - Business & Finance Office
  - Financial Aid Office
  - Maintenance/Building/Grounds

CS 3.3.1.3

- Academic & Student Support Services
  - Library/Learning Resources Center
  - Student Services
  - Information Technology
  - Academic Support Services (learning centers, tutors, etc.)
  - Support for Distance Learning (whether off-campus sites or online courses/programs)

CS 3.3.1.4

Research within the institution's mission, if appropriate

For example: Part of a university's mission reads as follows: "a commitment to excellence in research, scholarship, and creative endeavors that are focused on organized programs to create, maintain, and apply new knowledge and theories; that promote instructional quality and effectiveness; and that enhance institutionally relevant faculty qualifications"

CS 3.3.1.5

Community/public service within an institution's mission, if appropriate

For example: "Quality community partnerships that serve as the foundation for the development of relevant workforce, cultural and civic programs to foster community service and create a pervasive understanding throughout the community of the essential importance of education"

Distance Learning Programs and Other Initiatives

- It is very important that these be included in planning and identification of outcomes as well.
- If distance education is offered, it should be addressed in all standards that relate to the academic program and the provision of resources and services
- Where should evidence be placed regarding outcomes for these "other" initiatives?

Additional standards in which institutional effectiveness is expected to be used - CS 3.5.1 and FR 4.1

Comprehensive Standard 3.5.1

The institution identifies college-level general education competencies and the extent to which students have attained them.

CS 3.5.1

- Refer to Core Requirement 2.7.3 for requirements concerning general education.
- General education requirements should be based on a "coherent rationale." This would, presumably, "drive" the identification of competencies.

CS 3.5.1

- Competencies should be published and all references to the competencies should be consistent.
- Competencies should be measurable.
- Assessment measures should be used which allows the institution to identify the extent to which graduates achieve them.

How to Measure Achievement of Competencies (CS 3.5.1)

- 1. Relate general education course outcomes to the competencies.
- 2. Provide "end" measures. That is, as the student advances in their program, such assessments as exit tests, essays, portfolios, capstone courses may include assessment of general education competencies.

Federal Requirement 4.1

The institution evaluates success with respect to student achievement consistent with its mission. Criteria may include: enrollment data; retention, graduation, course completion, and job placement rates; state licensing examinations; student portfolios; or other means of demonstrating achievement of goals. (Student achievement)

FR 4.1

- Note that this requirement (mandated by the federal government) is quantitative. While information concerning "how many" students do this or that is certainly desirable to have and use, it does not usually tell us about the quality of the experience.

FR 4.1

- It is possible for state licensing examinations to be linked back to student learning outcomes (a qualitative matter) as assessment instruments.
- It is possible to use employer satisfaction ratings (a qualitative matter) as an assessment instrument.

Pitfalls in Demonstrating Compliance

Pitfalls in Demonstrating Compliance

- Lack of definitions/explanations for clarity
- Lack of context
- Assumptions
- Inadequate response – not all elements in the standard are addressed comprehensively
- Inadequate supporting documentation

Pitfalls in Demonstrating Compliance

- Limited scope of responses
- Limited application of the standard
- Inability to make the case for compliance in the narrative
- Rush to submit Compliance Certification without thorough review

Overcoming the Pitfalls

Overcoming the Pitfalls

- Review examples of compliance certifications that reflect quality, comprehensive and successful responses
- Ensure you respond comprehensively to each element in the standard
- Provide adequate evidentiary documentation support your case for compliance
- Make your case for compliance in the narrative and use supporting documents to verify the case

Overcoming the Pitfalls

- Do not assume the reviewer knows or understands your process; therefore be clear in describing your process and the assumptions.
- Provide adequate supporting documentation. One cycle does not usually make the case for compliance
- Your vice president is a resource; so do not be afraid to consult with your vice president to ensure the correct understanding, interpretation and expectations of the standard

Prepare Well

Prepare Well

- Do not take anything for granted
- This is your opportunity to tell your story and demonstrate your embrace of excellence. Use it.
- Become informed about good practices and emulate them as appropriate to make your case.
- Plan well and follow your plan
- Implement systems/processes that will demonstrate each element in the standard to which you must respond. Work on the front end is what provides good results.
- Utilize an administrative system that will allow you to document your activities well.