San Joaquin Delta College is committed to providing excellent postsecondary education that serves the needs of students and the community. The College aims to achieve this overarching goal by providing high-quality educational programs, promoting institutional renewal, encouraging respect for cultural diversity, and fostering an appreciation for lifelong learning. In order to ensure the College is making progress toward these goals, all of the College’s departments and programs must engage in an ongoing assessment and continuous improvement process.

By definition, assessment involves the collection, analysis, and interpretation of data in order to determine if institutional performance is meeting expectations. At the institutional level, the College conducts an annual assessment of student outcomes, College operational accomplishments, and resource allocation. The Institutional Effectiveness Report, completed annually, draws data from several internal and external sources to measure the College’s performance.

At the instructional program level, program reviews are completed regularly (every two years for career technical programs and every six years for non-vocational programs) in order to assess program demand, measure student outcomes, and identify any needed resources. Instructional program reviews have been central to the curriculum planning and development process for many years, but more recently, there has been an increased emphasis on college-wide program review and assessment in higher education.

College-wide assessment is not limited to academic programs or even programs that provide direct services to students. Every Delta College department or unit plays an important role in supporting student success and providing high-quality educational experiences to students and the community. The push for assessment centers on 1) the desire to know how well each department or unit is doing relevant to its mission, and 2) the need to inform strategic planning and resource allocation at the College. Most importantly, assessment provides valuable feedback to departments regarding their own achievements, and the assessment process engages unit staff and leadership in discussions about the department’s goals and strategic plan.

Delta College Institutional Learning Outcomes (ILOs)
In fall 2010, Delta College identified several Institutional Learning Outcomes (ILOs), derived from the College’s mission statement. ILOs serve as the foundation for each department’s core functions at the College. Below is a summary of the major ILO categories at Delta College (a full list of ILOs is provided in Appendix A).

1. Human Culture and Physical World
   a. Awareness and Appreciation of Social Institutions
   b. Environmental Responsibility
2. Discipline, Career and Technical Competence
   a. Discipline Specific Knowledge
   b. Application and Analysis of Knowledge
3. Quantitative, Scientific, and Communication Skills
   a. Quantitative Competency
   b. Scientific Competency
   c. Communication Competency
4. **Personal and Social Development**
   a. Development and Demonstration of Personal Responsibility
   b. Development and Demonstration of Civic and Social Responsibility
   c. Development and Demonstration of Interpersonal and Cultural Responsibility

5. **Lifelong Learning**
   a. Informational and Technological Competency
   b. Intellectual Competency
   c. Engagement in Lifelong Learning

Every College department supports the College’s mission and contributes to the College’s ILOs; however, these relationships may not be documented well enough to be assessed in a meaningful way. The assessment process allows for College units, instructional or non-instructional, to review the department mission, core functions, and relationship to the College’s mission, and provides a basis for College planning and resource allocation. The College-wide assessment model includes six key phases, including establishment (or refining) of a department mission, development of department goals and objectives, measurement of outcomes, review of results, planning for improvement, and allocation of resources based on the assessment results and recommendations for change (see Figure 1).

*Figure 1. Assessment Process at Delta College*

As the figure shows, assessment at the department level is a continuous improvement process that ties the mission, goals, and outcomes to strategic planning and resource allocation. These components of the assessment process are essential not only for institutional improvement and renewal but for the College’s accreditation. The Accrediting Commission for Community and Junior Colleges (ACCJC) Standards include assessment requirements for instructional programs, student services, and administrative services. Specifically, ACCJC Standard III states that administrative and support units or resources should facilitate the continuous improvement of academic and student support programs and the achievement of learning outcomes.¹ To that end, San Joaquin Delta College is committed to continuous quality improvement for all departments, programs and services.

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Administrative Unit Review and Assessment

The purpose of program review is to allow department faculty, staff and/or leadership to 1) examine program outcomes, 2) reflect on department achievements and areas for improvement, and 3) make data-driven resource allocation decisions. College-wide program assessment and data-driven planning and budgeting help ensure the College is using its resources effectively and progressing toward its mission. Similar to instructional program reviews, Administrative Unit Reviews (AURs) bring together quantitative and qualitative data to provide a summary of unit performance during a specific review period.

At Delta College, AURs are completed by units or departments on an annual basis (by fiscal year). The annual unit assessment cycle provides information that is essential to the College’s planning and budgeting process. AURs should be completed for each functional department or unit. This means that one administrative department (i.e. Business Services) may need to complete several AURs, one for each functional area (i.e., Budget Office, Purchasing, etc.). For example, the College’s Human Resources department includes an Employment and Employee Relations unit and an Employee Services unit. These two units serve different functions and provide different services to the College and the community, so each unit would submit a separate AUR. Administrative Unit Review is intended to be a collaborative process. Each AUR cycle is an opportunity for unit leadership and staff to reflect on unit achievements and develop strategies for unit improvement. The result of the annual assessment process should be an AUR report that summarizes unit outcomes and recommendations.

The AUR report includes the following key components:

1. Unit Overview
2. Administrative Unit Outcomes
3. Key Performance Indicators
4. Resource Allocation Analysis
5. Summary and Recommendations

The overarching goals of the AUR report are to 1) assess unit performance, 2) document unit outcomes, 3) use data to inform unit planning, and 4) integrate strategic planning with resource allocation at the College. The five report components are described in more detail below.

Unit Overview

The Unit Overview is essentially an introductory narrative, usually ranging between one to two pages that provides a brief summary of the unit or department's accomplishments during the review period. This section should include a description of current department staff or faculty assigned to the unit, any background information relevant to the department mission and its achievements, and an explanation of the unit’s relationship to the College's mission. Specifically, the Unit Overview should include the following information:

- Unit mission statement
  - Why does the unit exist?
  - What are the unit's overarching goals?
- Current staffing
  - Managers
  - Faculty
  - Staff
- Historical background as it applies to the unit
  - Unique characteristics of the unit
  - Relationship to the College's mission
- Current trends in the unit's industry area (if applicable)
- Accomplishments since the previous AUR
Administrative Unit Outcomes (AUOs)

Each College department or unit exists to serve one or more specific goals, functions or objectives. The unit or department mission states the general purpose of the unit, and the unit goals outline the impact the unit hopes to make at the college and community levels. Objectives are the specific results a unit seeks to achieve and are derived from the unit's mission and goals. Examples of Information Technology Operations unit goals, objectives and outcomes are provided below.

Table 1. Sample Mission, Goals, Objectives and Outcomes for IT Operations Unit

<table>
<thead>
<tr>
<th>Department:</th>
<th>Information Technology Operations</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mission:</td>
<td>The Information Technology Operations unit's mission is to support the College's information technology infrastructure and provide industry-leading technological resources and support for the campus community.</td>
</tr>
</tbody>
</table>
| Goals:      | - Promote equity and equal access to IT resources  
              - Provide a reliable, efficient College data and telecommunications infrastructure  
              - Serve as a leader in technological innovation in the California Community Colleges  
              - Provide high-quality technological tools, resources and training to the campus community |
| Objectives: | - The IT Operations unit will provide high-quality technical support to College administrators, faculty, staff, and students.  
              - The IT Operations unit will improve online student service utilization by completing the Liferay portal upgrade project in the 2011-2012 academic year.  
              - The IT Operations unit will provide high-quality training to College administrators, faculty, and staff on new software implemented at the College. |

At the unit level, the term “outcome” is often used interchangeably with “objective” but usually include additional information about assessment methods and criteria for success. The mission and goals serve as the foundation of the unit, and unit objectives guide organization or unit structures, processes, and priorities. The College’s instructional programs identify and assess Student Learning Outcomes to guide program and curriculum development, and the College’s non-instructional programs use Administrative Unit Outcomes (AUOs) to set operational priorities and establish or refine unit processes. Each of these outcome assessment processes is intended to measure unit or department progress toward overarching institutional goals. Each of these processes includes the collection, analysis, and interpretation of data for departments at the College. The goals of these assessments are to 1) initiate dialog between different members of the campus community, 2) foster innovation to improve services, and 3) inform resource allocation decisions at the College.

Developing Unit Outcome Statements

Student Learning Outcomes (SLOs) refer to knowledge, skills, behaviors, or feelings that “students” are expected to gain as a result of an educational experience. The term “student” refers to any individual or group of individuals who engage in learning, such as community members, trainees, students (in the traditional sense), faculty members, and anyone else who might benefit from an educational experience. SLOs need not be linked to a course. SLOs can exist at the program and institutional level, and SLOs can be used to assess student learning as a result of participation in a student service or program. Below is an example of an SLO for a financial aid workshop:

*Upon completion of the workshop, students will be able to identify two sources of need-based aid.*

SLOs pertain to student learning, whether in a formal class setting, workshop, online module, or other format. By contrast, Administrative Unit Outcomes (AUOs) refer to what a “client” (consumer, user, etc.) will understand, experience, or obtain as a result of a specific service. “Clients” may include students, faculty, staff, trainees, community members, or others who are served by a college department. So, how do you determine if a given department should use SLOs or AUOs to measure service quality? There are several factors that indicate whether an SLO or AUO is appropriate to a department or service. To determine which type of outcome statement is appropriate for your unit, review each of your unit’s objectives and consider the following:
Does the objective pertain to learning?
If it pertains to learning, it’s probably best addressed by an SLO.

Does the objective relate to a service?
If it pertains to a service and does not specify learning that is expected to occur, an AUO may be a more appropriate means of assessment.

Although SLOs are used across many campus programs and services, AUOs are exclusive to non-instructional departments, programs, and services at the College. AUO assessment is an essential piece of the College’s planning process. Every department provides a service, direct or indirect, in support of the College’s mission, and client experiences with these services must be examined in order for the service (and the College’s overall performance) to improve. AUOs are specific to the department or unit’s mission and service area and should be feasible to achieve in the performance review period. AUO statements often mention the quality of a service or the satisfaction of clients with a specific process or service provided by the unit. Below are a few examples of AUOs for different college departments and units:

Information Technology Operations Unit Sample AUO

*Technical support is adequate to meet the needs students, faculty, staff, and administrators.*

Planning, Research and Institutional Effectiveness (PRIE) Unit Sample AUO

*Internal and external clients are satisfied with the outcomes of their research requests.*

Accounting Unit Sample AUO

*Campus clients are satisfied with the turnaround time on check reimbursements for staff travel.*

The number of AUOs developed for each unit will depend on the scope of the unit’s mission. Each AUO should reflect department goals, as well as the overall mission and Institutional Learning Outcomes of the College. In addition, AUOs should be directly related to the core functions of the unit. To assist your department in identifying AUOs, a Unit Goals and AUOs Worksheet is provided in Appendix B.

Outcome Assessment

Unit AUO documentation should include a list of current outcomes, the methods that will be or were used to measure the outcome, the criteria for the outcome to be considered successful, and the timeline for assessment. AUOs may be measured in a variety of ways and on many different timelines. Perhaps the most common means of assessing AUOs are client surveys or interviews/focus groups. These tools can provide your department with feedback about unit structures, processes, and the client experience. Internal and external data sources may also provide the information needed to determine if the outcome was successful.

The timeline for AUO assessment depends on the number of AUOs for the department, the means of assessment data collection, and availability of department resources. Units do not need to assess all AUOs simultaneously—unless the unit deems such a timeline necessary and realistic given unit resources. Units may alternate the assessment of AUOs over months, quarters, or years. For example, if the College’s Accounting department identifies six AUOs, the unit may assess two AUOs per year, resulting in a three-year assessment cycle for a given AUO.

The primary purpose of AUO identification and assessment is continuous improvement. Assessment results should provide a means for refining structures, processes, and strategies to better meet unit objectives or AUOs. After your unit identifies and assesses AUOs, the assessment results should be compiled and discussed with unit staff. The purpose of these discussions is to reflect on outcomes, brainstorm strategies for unit service improvement, and analyze unit objectives or AUOs to determine

Administrative Unit Review Toolkit
if adjustment is necessary. AUO assessment results should also be documented in a formal report, or the annual Administrative Unit Review report.

AUOs represent an important component of the AUR. The AUO section of the AUR report should provide a list of all AUOs and describe the results of any AUOs assessed during the reporting period. The AUR report should also describe how and when the outcomes were measured (survey, internal data, etc.), determine if the unit was successful in achieving each outcome (and how that determination was made), and how the results will be used to improve unit performance in the future. A sample AUR (including AUOs and AUO results) is provided in Appendix E.

**Key Performance Indicators**

In addition to AUOs, departments should collect data on service utilization and other quantitative data pertaining to department performance. These measures are referred to as **Key Performance Indicators (KPIs)**. KPIs can be as simple as the number of clients served per year or as complex as the average number of days required to complete a type of task or project (i.e., processing travel claims, approving new policies). For example, an Information Technology Operations department may decide to measure the number of technical support requests fulfilled each year, as well as software licenses maintained or renewed. Similarly, the PRIE office might decide to measure the number of completed research requests or the number of grant applications submitted each year. KPI data helps examine trends and track process efficiency, demand for services, and unit achievements. Tables 2a and 2b provide two examples of KPI summaries for administrative units/departments.

**Table 2a. Key Performance Indicator Summary for Planning and Research Unit (Example)**

<table>
<thead>
<tr>
<th>Performance Indicator</th>
<th>2009</th>
<th>2010</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Number of ad hoc data requests completed in academic year (internal tracking logs)</td>
<td>46</td>
<td>53</td>
</tr>
<tr>
<td>2. Major reports completed for state and federal purposes (IPEDS, ACCJC, ARCC, CCCCO, USDOE)</td>
<td>7</td>
<td>8</td>
</tr>
<tr>
<td>3. Number of public information/records requests completed</td>
<td>3</td>
<td>6</td>
</tr>
<tr>
<td>4. Conference or workshop presentations (external audiences such as AIR, CAIR, RP Group)</td>
<td>3</td>
<td>4</td>
</tr>
<tr>
<td>5. Number of manuscripts submitted to peer-reviewed journals</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>6. Board presentations of research or planning information</td>
<td>6</td>
<td>7</td>
</tr>
<tr>
<td>7. Number of grant applications completed/awarded to the District</td>
<td>4 applications 2 funded</td>
<td>9 applications 2 funded</td>
</tr>
<tr>
<td>8. Number of Policies/Procedures revised in the shared governance process</td>
<td>183</td>
<td>68</td>
</tr>
</tbody>
</table>

**Table 2b. Key Performance Indicator Summary for Human Resources Unit (Example)**

<table>
<thead>
<tr>
<th>Performance Indicator</th>
<th>2009-2010</th>
<th>2010-2011</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Number of New Staff Appointments Processed (fiscal year)</td>
<td>43</td>
<td>25</td>
</tr>
<tr>
<td>2. Number of New Faculty Appointments Processed (fiscal year)</td>
<td>32</td>
<td>18</td>
</tr>
<tr>
<td>3. Number of New Management Appointments Processed (fiscal year)</td>
<td>5</td>
<td>3</td>
</tr>
<tr>
<td>4. Number of Adjunct Appointments Processed (fiscal year)</td>
<td>299</td>
<td>257</td>
</tr>
<tr>
<td>5. Number of Leave Cards processed (fiscal year)</td>
<td>1,456</td>
<td>1,388</td>
</tr>
</tbody>
</table>
KPIs should be drawn from unit’s mission and identified and discussed by department staff and leadership. KPIs vary greatly from unit to unit, based on the department’s mission and industry area (accounting, information technology, facilities maintenance, etc.). Most importantly, KPIs should reflect the unit’s core functions and should be measured regularly in order to track performance and progress. To assist your department in developing KPIs, a **Key Performance Indicator Worksheet** is provided in **Appendix C**.

**Resource Allocation Analysis**

The Unit Overview provides a background or context for unit operations, and AUOs and KPIs represent two major assessment processes in Administrative Unit Review. These three sections focus on the unit’s mission, services, and performance. In contrast, the fourth component of AUR reporting (Resource Allocation Analysis) is comprised largely of unit budget and resource information. The **Resource Allocation Analysis** component of the AUR allows administrative units to document current service capacity (as well as anticipated demand for services) and complete a self-assessment pertaining to three resource areas:

- Staffing
- Facilities
- Equipment and technology

Resource Allocation Analysis (RAA) represents a unit’s ability to identify whether its budget and resources are adequate to accomplish its core functions. A completed RAA allows a department to make the case for budget augmentation by documenting the need for staff, equipment, or space to expand service capacity. Above all, the RAA is intended to help units use assessment data to inform resource allocation recommendations.

The RAA is an integral piece of the Administrative Unit Review report and should be completed by unit staff and leadership annually. The RAA consists of a narrative describing current staffing, space, major equipment, and technological resources. The ARR also includes a comparison of current resources and service capacity to current and anticipated service demand. Unit staff and leadership should review AUO results, KPIs, and consider any pertinent background information about the unit to determine if any additional resources are required. Current and proposed resources (staff, facilities, equipment, and technology) may be summarized in table format, but the narrative component of the RAA should explain the need for the each type of resource requested. An example RAA is provided in the sample AUR Report in **Appendix E**.

The unit supervisor should review and approve the AUR prior to submitting the final report to the College’s Administrative Program Review Committee. The Administrative Program Review Committee will review each AUR and, based on the results of the AUR, make resource allocation recommendations to the College’s Planning and Budget Committee (PBC). The PBC will then make any needed changes in priority and submit final resource allocation recommendations to the Executive Cabinet. Figure 2 illustrates the College’s resource allocation model.
Summary and Recommendations
The purpose of the final section of the AUR is to summarize the findings of the unit’s self-assessment (AUOs, KPIs, and other unit accomplishments) and provide recommendations for change based on these results. The Summary and Recommendations section of the AUR should answer the following questions:

- Was the unit successful?
  - How did the unit contribute to the College’s mission/ILOs?
  - Did the unit achieve its objectives (refer to AUO and KPI results)?
    - Why or why not?
  - What evidence was used to support these conclusions?
- What changes are necessary for the unit to be more successful?
  - Are any additional resources required to achieve these improvements?
  - What impact do you expect these changes to have on the College?

It may be helpful for your unit to conduct a SWOT analysis based on the AUO and KPI results, context of unit performance, and anticipated organizational changes at the College. SWOT refers to the strategic planning activity of reflecting on and documenting a unit or organization’s:

- **Strengths**
  - What did the unit do well? What can we learn from these successes?
- **Weaknesses**
  - What is not functioning as well as it could be? How can the unit improve its performance/service to the campus and community?
- **Opportunities**
  - What factors provide the means for the unit to succeed?
- **Threats**
  - What factors present challenges for the unit?

Strengths and weaknesses refer to internal characteristics or factors related to performance that are within the control of the unit. In contrast, opportunities and threats represent external factors that may enhance or impede unit performance. To assist your unit in conducting a SWOT analysis, a SWOT template is provided on the following page.
<table>
<thead>
<tr>
<th></th>
<th>+</th>
<th>-</th>
</tr>
</thead>
<tbody>
<tr>
<td>Internal</td>
<td><strong>Strengths:</strong></td>
<td><strong>Weaknesses:</strong></td>
</tr>
<tr>
<td>External</td>
<td><strong>Opportunities:</strong></td>
<td><strong>Threats:</strong></td>
</tr>
</tbody>
</table>

Examples of unit **strengths** may include (but are not limited to) the following:
- Training, educational background, and experience of unit staff
- Advantages of existing resources (technological, facilities, location, etc.)
- Established rapport/reputation with clients
- Efficiency of processes
- Unique services provided to the campus and community.
- Service capacity

Examples of unit **weaknesses** may include (but are not limited to) the following:
- Structural and functional gaps
- Lack of necessary staff training
- Service capacity limitations
- Unrealistic timelines for projects
- Lack of client awareness of unit services
- Limited reliability of equipment/technological resources

Examples of unit **opportunities** may include (but are not limited to) the following:
- Realistic staff training opportunities
- Industry trends
- Lowered cost for needed equipment or technology
- Revenue-generation opportunities
- Development of new tools/technology to help manage workload

Examples of unit **threats** may include (but are not limited to) the following:
- State, regional, or institutional economic/budget climate
- Loss of key staff
- Seasonal fluctuations in workload
- Loss of support services (from vendors or other campus units)

Although your unit is not required to submit your entire SWOT analysis, the key findings should be included in the Summary and Conclusions narrative (see Appendix E for an example). The final section of the AUR report should also include a summary of resource recommendations for your unit.
based on 1) AUO results, 2) KPI results, and 3) findings from the SWOT analysis (if applicable). In short, the Summary and Recommendations section serves as the executive summary of the entire AUR report.

**Assistance with AUO Reporting**

The AUR process is intended to be informative and engaging for unit staff and leadership, and the College is committed to using AUR results to inform college-wide decision-making. The purpose of this document is to provide an overview of the Administrative Unit Review assessment and reporting processes and provide examples of key AUR components. In addition, several worksheets, templates, and examples are provided in the appendices of this document. These resources are intended to help your unit move forward with the AUR process.

Should your department or unit require additional assistance, the College's Planning, Research and Institutional Effectiveness (PRIE) office is available to assist you in identifying and measuring AUOs and KPIs that are appropriate for your unit. To request PRIE assistance, simply visit the PRIE office in Forum 202 on the Delta College Stockton campus or contact the PRIE office at (209) 954-5038. Additional resources, examples, and tools from other institutions, including the sources reviewed during the development of this toolkit, are provided below.

**References and Resources**


Appendix A: Delta College Institutional Learning Outcomes

1A: Human Culture and Physical World – Awareness and Appreciation of Social Institutions
   i. Historical perspectives: Understand the growth and evolution of social, political, economic, religious, and cultural systems.
   ii. Arts & Culture: Recognize the essential nature of the arts in affecting thriving cultures
   iii. Cultural Diversity: Appreciate the primary significance of cultural diversity as a factor in the formation and success of society

1B: Human Culture and Physical World – Environmental Responsibility
   i. Understand how to use resources responsibly
   ii. Understand why human population growth is an important environmental issue
   iii. Understand how natural processes and human activities contribute to climate change

2A: Discipline, Career and Technical Competence – Discipline Specific Knowledge
   i. Develop knowledge of a discipline, set of related disciplines, or a career/technical field

2B: Discipline, Career and Technical Competence – Application and Analysis of Knowledge
   i. Apply, analyze, synthesize, and evaluate concepts, principles, and practices in a variety of real world settings.

3A: Quantitative, Scientific, and Communication Skills – Quantitative Competency
   i. Apply mathematical concepts and principles in a variety of real world contexts
   ii. Demonstrate knowledge of 21st Century economic, business, and personal financial concepts, principles, and processes and effectively apply it in real-world settings.

3B: Quantitative, Scientific, and Communication Skills – Scientific Competency
   i. Demonstrate knowledge of fundamental scientific principles, concepts, and processes (e.g., scientific method) and apply it in real-world settings.

3C: Quantitative, Scientific, and Communication Skills – Communication Competency
   i. Demonstrate effective and appropriate methods of communication (e.g., reading, writing, listening, speaking, signing, performing and visual arts, and utilizing electronic media).

4A: Personal and Social Development – Development and Demonstration of Personal Responsibility
   i. Demonstrate responsibility for one's own health, safety, and well-being.
   ii. Demonstrate economic self-sufficiency
   iii. Prioritize family, work, and leisure effectively
   vi. Manage the college experience to achieve academic and personal success
   v. Set and achieve personal, educational, and life goals.

4B: Personal and Social Development – Development and Demonstration of Civic and Social Responsibility
   i. Demonstrate a commitment to public life through engagement in organizations
   ii. Exercise leadership and appropriate behavior as a member of groups
   iii. Practice ethical behavior through appropriate choices

4C: Personal and Social Development – Development and Demonstration of Interpersonal and Cultural Responsibility
   i. Act with civility and respect for people of diverse cultures, socioeconomic and political backgrounds, sexual orientations, disabilities, ideas, and viewpoints
   ii. Engage in meaningful relationships with peers, instructors and others
   iii. Demonstrate cooperation and collaboration with others in academic, artistic, athletic, and other settings

5A: Lifelong Learning – Informational and Technological Competency
   i. Find, evaluate, ethically use, and appropriately cite information in a variety of formats (e.g., print, multimedia, and electronic resources)

5B: Lifelong Learning – Intellectual Competency
   i. Think, reason, and reflect critically; generate questions and explore ideas; and analyze and synthesize information

5C: Lifelong Learning – Engagement in Lifelong Learning
   i. Update knowledge and skills to maintain currency in a discipline(s) or a career/technical field
   ii. Engage in learning for intellectual stimulation and recreational activities
### SAN JOAQUIN DELTA COLLEGE
Unit Goals and Administrative Unit Outcomes Worksheet

Department: 

Unit (if applicable): 

Major Division:  
- [ ] Instruction  
- [ ] Administrative Services  
- [ ] Student Services  
- [ ] Other: ____________________________

Unit/Department Mission:

Unit/Department Goals:

### Core Functions/Services and Outcomes

<table>
<thead>
<tr>
<th>No.</th>
<th>Function/Service</th>
<th>Who does this function serve?</th>
<th>What should the client gain from this service? OR What operational efficiency should be achieved?</th>
<th>Related ILO (see Appendix A)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
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<td>2.</td>
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<td>4.</td>
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<tr>
<td>5.</td>
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</tr>
</tbody>
</table>
### Administrative Unit Outcomes Matrix

Use the previous table to fill in each outcome statement, and include answers to the following questions:

- Now that you've determined what your clients should gain OR what operational efficiency should be achieved, how will you measure this?
- What is the minimum expected value for the outcome to be considered successful?
- What is the time frame for assessment?

<table>
<thead>
<tr>
<th>No.</th>
<th>Outcome Statement</th>
<th>How will this be assessed?</th>
<th>What is the criterion for success?</th>
</tr>
</thead>
</table>
| Example | Faculty, staff and administrators will demonstrate increased levels of self-sufficiency after participating in a Professional Development Center Zimbra Calendar workshop. | Surveys with workshop attendees; tracking of PDC helpdesk calls and emails from workshop attendees | 1. At least 80% of Workshop attendees will feel comfortable proposing meetings with other users.  
2. On average, workshop attendees will make fewer helpdesk calls regarding Zimbra Calendar than similar non-attendees in the two months following the training. |
| 1. | | |
| 2. | | |
| 3. | | |
| 4. | | |
Key Performance Indicators (KPIs) quantify the specific items that reflect an institution’s progress in reaching its objectives. At the highest level KPIs are derived from the College’s and unit’s mission statements. At the unit level, KPIs refer to the specific characteristics that will be measured to demonstrate unit accomplishments and progress toward intended goals and objectives.

The department mission represents the general intention and purpose of the unit. Goals, which are derived from the mission, list the broad actions the unit intends to take to fulfill its mission. Objectives or outcomes identify the specific intended results of the unit’s products or services, and actions or strategies represent the steps the unit will take to achieve its objectives. Performance indicators describe the specific items that will be measured in order to determine if the unit’s actions, services or strategies are effective in meeting unit objectives.

Typically, units employ multiple indicators to determine if a single objective has been met. Performance indicators are often quantitative in nature but may include qualitative components. For example, a Human Resources unit may wish to track the number of applicants for open positions in a given year to assess the effectiveness of application and recruitment processes. In this example, the average number of applicants per position may be used as a quantitative performance indicator. The HR unit may also wish to measure employee understanding of the grievance process. This performance indicator is qualitative (e.g., employees have a thorough understanding of the grievance process) but will likely be measured by employee survey responses (in quantitative summary form).

Key performance indicators should follow the SMART rule, meaning they should be Specific, Measureable, Attainable, Relevant, and Time-bound. The matrix on the following page should help you identify and define SMART KPIs for your department.
Key Performance Indicators Matrix
To identify KPIs for your unit, consider the unit’s mission, goals, objectives, and the services the unit offers to the College and the community.

- Which services or deliverable products best reflect the units’ objectives and the College’s Institutional Learning Outcomes (ILOs)?
- Which of these items could realistically be measured to determine if the unit is reaching its objectives?

Department: 
Unit (if applicable): 
Major Division:  ☐ Instruction  ☐ Administrative Services  ☐ Student Services  ☐ Other: 

<table>
<thead>
<tr>
<th>No.</th>
<th>Objective</th>
<th>Actions/Services or Strategies</th>
<th>Performance Indicator</th>
<th>Criteria for Success</th>
<th>Related ILO</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
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<td>10.</td>
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</tr>
</tbody>
</table>
A. DEPARTMENT/UNIT INFORMATION

<table>
<thead>
<tr>
<th>Department Title:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Unit (if applicable):</td>
<td></td>
</tr>
<tr>
<td>Major Division:</td>
<td></td>
</tr>
<tr>
<td>Fiscal Year:</td>
<td></td>
</tr>
</tbody>
</table>

B. ANNUAL REPORT

1. Unit Overview (1 to 2 pages)
Briefly describe the context for your unit’s operations, including any background or historical information. Please include your unit or department mission statement, major unit functions as they relate to the College’s mission, list of current staff, recent industry trends or changes that impacted your unit during the review period, and a summary of previous Administrative Unit Review findings.

2. Administrative Unit Outcomes (1 to 2 pages)
List all the AUOs for your department or unit and specify which AUOs were assessed during the review period. Describe how the method(s) of assessment, criteria used to determine success, and timeline for assessment. If applicable, compare outcomes to previous assessment results.

3. Key Performance Indicators (1 page)
List each KPI for your department or unit, as well as the summary data for each KPI for the fiscal year. Include previous KPI benchmarks and any targets for the following fiscal year. KPIs may be summarized in table or bullet format as appropriate, but be sure to describe any changes or findings of particular interest.
4. Resource Allocation Analysis (1 page)
Describe your unit or department’s current resources, including staffing, service capacity, technological resources, operational space/facilities, and any major equipment or supplies. Describe any necessary staffing adjustments, as well as the expected impact of the changes. Consider the current space allocation for your unit/department. Is there appropriate space for the unit to carry out its mission? Does your unit require additional technological resources (software, hardware, etc.) or specialized equipment to meet its objectives? You may use the table below to illustrate current budget allocations and proposed allocations for your unit. Be sure to reference the AUO and KPI results that informed the proposed changes in the table and narrative.

<table>
<thead>
<tr>
<th>Resource Type</th>
<th>Current Allocation</th>
<th>Proposed Allocation</th>
<th>Evidence/Justification</th>
</tr>
</thead>
<tbody>
<tr>
<td>Example Space</td>
<td>400 square feet (mail room) in Admin Building</td>
<td>600 square feet facility in Danner Hall</td>
<td>AOU Survey results: Clients expressed a need for additional mailbox capacity</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>KPI results: Increased utilization of campus mail services</td>
</tr>
<tr>
<td>1.</td>
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<tr>
<td>2.</td>
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<td>3.</td>
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<td>4.</td>
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</tbody>
</table>

5. Summary and Recommendations (1 page)
Explain the key findings of your unit’s self-assessment, including AUO results, KPI results, and any significant accomplishments, in the context of your unit’s current resources. How does your unit’s performance measure up to the unit goals? How do these results compare to the results of the previous AUR? What strategies, actions, resources, or other changes would help the unit improve its services to the College and the community? Consider using SWOT analysis (Strengths, Weaknesses, Opportunities, and Threats) to summarize the unit’s current status, plan the unit’s next steps, and set goals for next AUR.
Appendix E: Sample Administrative Unit Review Report

SAN JOAQUIN DELTA COLLEGE
ADMINISTRATIVE UNIT REVIEW REPORT (SAMPLE)

A. DEPARTMENT/UNIT INFORMATION

<table>
<thead>
<tr>
<th>Department Title:</th>
<th>Employment and Employee Relations</th>
</tr>
</thead>
<tbody>
<tr>
<td>Unit (if applicable):</td>
<td>Human Resources</td>
</tr>
<tr>
<td>Major Division:</td>
<td>Administrative Services</td>
</tr>
<tr>
<td>Fiscal Year:</td>
<td>2010-2011</td>
</tr>
</tbody>
</table>

B. ANNUAL REPORT

1. Unit Overview (1 to 2 pages)

Briefly describe the context for your unit’s operations, including any background or historical information. Please include your unit or department mission statement, major unit functions as they relate to the College’s mission, list of current staff, recent industry trends or changes that impacted your unit during the review period, and a summary of previous Administrative Unit Review findings.

The Employment and Employee Relations unit fosters respect for individuals and diverse cultures, encourages teamwork across the College, and encourages innovation in the campus community by providing high-quality, culturally sensitive services to faculty, staff, administrators, and the Delta College community. In support of the College and the Human Resources department missions, the Employment and Employee Relations unit enables all College employees to contribute to student success by providing efficient and effective recruitment, orientation, and grievance resolution services.

The Employment and Employee Relations unit is comprised of two major areas: Employment and Employee Relations. The Employment sub-unit works with College search committees to develop accurate job descriptions and requirements and conduct effective searches for qualified applicants. The Employee Relations sub-unit coordinates employee evaluation, staff development, and grievance resolution efforts at the College. The Employment and Employee Relations unit also manages the employee data system and is responsible for federal and state data submissions.

At present, the Employment and Employee Relations unit includes the following staff:

- 1 Human Resources Analyst (1.0 FTE)
- 2 Human Resources Technicians (2.0 FTE)
- 1 Senior Office Assistant (1.0 FTE)

The 2010-2011 Employment and Employee Relations unit review revealed several important findings about the unit’s operational strengths and possible areas for improvement. A survey conducted in fall 2010 showed that new-hire faculty and staff did were highly satisfied with the recruitment, interview, and employee orientation programs offered by the unit. However, the same survey revealed that staff (and faculty to a lesser extent) were rather dissatisfied with the College’s professional development opportunities. This finding led the Employment and Employee Relations unit to collaborate with the Employee Services unit to research low-cost and no-cost options for employee training. Staff were successful in scheduling benefit vendor workshops for employees at no cost to the College. A total of 10 workshops were provided in fall 2010 and spring 2011, with topics ranging from Healthy Choices in the Workplace to Retirement Planning. These workshops were attended by a total of 165 College employees.

In addition, over the past fiscal year, the Human Resources department purchased an online storage and scanning system to expand electronic access to personnel files and reduce the paper filing and storage requirements. To date,
the system has only been piloted with a small set of employee files; however, this limited implementation has been successful in improving the speed and efficiency of personnel file storage and access. Although the new system will impact both units within the Human Resources department, the Employment and Employee Relations unit will play a particularly important role in the full implementation of the new system. The goal of the system is to transition the College’s Human Resources operations to a nearly paperless storage system, in which documents are easily searchable and accessible to not only Human Resources staff but employees and the campus community (when appropriate).

2. Administrative Unit Outcomes (1 to 2 pages)
List all the AUOs for your department or unit and specify which AUOs were assessed during the review period. Describe how the method(s) of assessment, criteria used to determine success, and timeline for assessment. If applicable, compare outcomes to previous assessment results.

In the 2009-2010 fiscal year, the Human Resources Employment and Employee Relations unit identified three Administrative Unit Outcomes (AUO), with a three-year measurement cycle (one AUO measured per year). AUOs for the unit include the following:
1. The Employment and Employee Relations unit will provide quality professional development opportunities to staff each fiscal year.
2. The Employment and Employee Relations unit will maintain accurate personnel records and information for internal and external purposes.
3. The Employment and Employee Relations unit will clearly, accurately, and effectively communicate job duties, descriptions, and application procedures and requirements to applicants and potential applicants.

In 2010-2011, the Employment and Employee Relations unit assessed AUO Number 3 (“The Employment and Employee Relations unit will clearly, accurately, and effectively communicates job duties and descriptions to applicants and potential applicants”). Individuals who completed and submitted an application for any open positions in the 2010-2011 academic year were invited to complete a brief online survey about their application experiences. The AUO would be considered successful if at least 70% of survey respondents would indicate they were somewhat or very satisfied with the following:
- Employment (job duties, requirements) information provided on the College’s web site
- Application process

Just over one in three (84 of 242) applicants responded to the Employment and Employee Relations Survey. Among those who responded to the survey, the 78% said they were very or somewhat satisfied with the employment information provided on the College’s web site. A smaller percentage (48%) said they were satisfied with the application process. Open-ended survey responses indicated applicants preferred an online application system over a paper-based system. Several comments revealed that applicants would like to be able to check the status of their application (and print the completed packet) and store application responses on a web-based system.

In addition, many respondents preferred electronic communication (via email) and recommended that the College move to an online application process. The results of the survey indicate that the AUO was somewhat successful in that nearly four in five survey respondents were satisfied with the job description and information available on the College’s web site. However, the survey results also revealed a significant area for improvement: the application process. Based on these results, it may be helpful for the Employment and Employee Relations unit to explore low-cost options for improving the application process and assess the feasibility of moving to an online application.
4. Key Performance Indicators (1 page)
List each KPI for your department or unit, as well as the summary data for each KPI for the fiscal year. Include previous KPI benchmarks and any targets for the following fiscal year. KPIs may be summarized in table or bullet format as appropriate, but be sure to describe any changes or findings of particular interest.

<table>
<thead>
<tr>
<th>Performance Indicator</th>
<th>2009-2010</th>
<th>2010-2011</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Number of New Staff Appointments Processed (fiscal year)</td>
<td>43</td>
<td>25</td>
</tr>
<tr>
<td>2. Number of New Faculty Appointments Processed (fiscal year)</td>
<td>32</td>
<td>18</td>
</tr>
<tr>
<td>3. Number of New Management Appointments Processed (fiscal year)</td>
<td>5</td>
<td>3</td>
</tr>
<tr>
<td>4. Number of Adjunct Appointments Processed (fiscal year)</td>
<td>299</td>
<td>257</td>
</tr>
<tr>
<td>5. Number of Leave Cards processed (fiscal year)</td>
<td>1,456</td>
<td>1,388</td>
</tr>
<tr>
<td>6. Average number of work days required to establish new positions</td>
<td>12</td>
<td>11</td>
</tr>
<tr>
<td>7. Average number of work days required to fill new/open positions</td>
<td>40</td>
<td>39</td>
</tr>
<tr>
<td>8. Number of Grievances/Investigations filed (fiscal year)</td>
<td>11</td>
<td>10</td>
</tr>
<tr>
<td>9. Employment and Employee Relations FTE</td>
<td>5</td>
<td>4</td>
</tr>
<tr>
<td>10. Faculty/Staff Headcount</td>
<td>854</td>
<td>788</td>
</tr>
</tbody>
</table>

Due to the recent economic downturn, the College has undergone significant changes in hiring patterns. Vacant positions not considered critical to the College’s mission have gone unfilled, and some positions have been reclassified to reflect the combination of multiple vacant positions. With this in mind, the College has limited the posting of new positions, which in part explains the decreases in KPIs 1, 2, 4, and 10. The Employment and Employee Relations unit itself experienced a reduction in staff due to employee turnover and elimination of the vacant position (1.0 FTE Human Resources Technician). Even with these reductions, the unit maintained a level of service similar to previous years, as shown in KPIs 6, 7, and 8.

5. Resource Allocation Analysis (1 page)
Describe your unit or department’s current resources, including staffing, service capacity, technological resources, operational space/facilities, and any major equipment or supplies. Describe any necessary staffing adjustments, as well as the expected impact of the changes. Consider the current space allocation for your unit/department. Is there appropriate space for the unit to carry out its mission? Does your unit require additional technological resources (software, hardware, etc.) or specialized equipment to meet its objectives? You may use the table below to illustrate current budget allocations and proposed allocations for your unit. Be sure to reference the AUO and KPI results that informed the proposed changes in the table and narrative.

Even with the unit’s recent decrease in staff, the Employment and Employee Relations unit appears to be functioning well overall. At present, staffing appears to be nearly adequate to meet the needs of the College and the community. However, as demand for services increases, additional staffing may be required in the future. The space currently allocated for the unit meets or exceeds the total required for staff offices and workstations, especially after the loss of a staff member. The previous staff member’s work space will be used by part-time student employees in the future. However, additional resources are needed to improve services to applicants and the campus community. A summary of the proposed resource allocations is provided in the table below.

In sum, the Employment and Employee Relations requests funds to develop or purchase an online employment application system. This recommendation is based on the assessment of the Employment and Employee Relations AUO pertaining to the accuracy and efficiency of the application process and on several KPI results. Survey results revealed the need for and online employment application and tracking process. KPI results show that in the months following the loss of one staff member, unit staff were able to maintain similar levels of service quality and quantity. However, the long-term impact of the reduction in staff remains to be seen. With that in mind, automation of repetitive, time-consuming processes may free up staff to work on more critical projects and provide service to a larger number of clients.
Unit staff have researched possible vendor solutions and estimated the cost to be approximately $80,000 in the first year and $10,000 annually for maintenance and support. Information Services staff costs for the development and implementation of a homegrown system have not yet been assessed but are assumed to be similar that of vendor-supplied systems. The online application system is expected to improve documentation and communication between the unit, College, and applicants. In addition, the system is expected to reduce staff time required for applicant data entry and record management. It should be noted that a stand-alone application system would cost less if purchased as part of a larger Human Resources information system. The Employment and Employee Relations unit recommends the exploration and consideration of this option in the next two fiscal years.

<table>
<thead>
<tr>
<th>Resource Allocation Proposal Summary</th>
</tr>
</thead>
<tbody>
<tr>
<td>Resource Type</td>
</tr>
<tr>
<td>1. Space</td>
</tr>
<tr>
<td>2. Staffing</td>
</tr>
<tr>
<td>3. Technology</td>
</tr>
</tbody>
</table>

*Potential savings if purchased as part of a larger human resources information system

6. Summary and Recommendations (1 page)

Explain the key findings of your unit’s self-assessment, including AUO results, KPI results, and any significant accomplishments, in the context of your unit’s current resources. How does your unit’s performance measure up to the unit goals? How do these results compare to the results of the previous AUR? What strategies, actions, resources, or other changes would help the unit improve its services to the College and the community? Consider using SWOT analysis (Strengths, Weaknesses, Opportunities, and Threats) to summarize the unit’s current status, plan the unit’s next steps, and set goals for next AUR.

In the 2010-2010 fiscal year, the Employment and Employee Relations unit began implementing a new document imaging and storage process, processed applications for 25 staff positions and 275 faculty positions (total), and investigated 10 grievances, all while functioning with one less full-time Human Resources Technician. Overall, the unit appeared to maintain a high level of service and continuous improvement. Based on the results of the 2009-2010 administrative unit review, the unit successfully scheduled 10 professional development workshops at no cost to the College.

College- and state-wide budget reductions have resulted in fewer position openings, meaning the unit completed the review and screening of applications for a smaller number of positions and provided services for a smaller number of College faculty and staff. The unit assessed its performance via 10 Key Performance Indicators and one Administrative Unit Outcome. Key Performance Indicator data show that the unit maintained a similar level of service in 2010-2011 as in the previous year. Results of an AUO survey indicated that applicants were generally satisfied with the information the unit provides on job duties, descriptions and requirements, revealing a major strength of the unit. However, survey results also indicated a need for a more efficient, online application process.

With these survey results in mind, and given the unit’s recent reduction in staff, it is the recommendation of the Employment and Employee Relations unit that $80,000 in the 2012-2012 academic year be allocated to the purchase and implementation of such a system. The unit aims to evaluate several different human resources application management systems and vendors, in the hope that a new system may be implemented in fall 2012. In the interim, unit staff will examine and analyze the current application process and suggest low- or no-cost improvements to the
process. The unit's reduction in staff provides an opportunity for remaining staff to examine current structures and processes and make suggestions for improvements in efficiency. The unit's ultimate goal is to provide efficient service of the highest quality. To that end, staff will continue to improve the presentation of job information on the College's Human Resources web site and will work to enhance the College's online application system with or without the requested funding.