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Overview

In support of the University and Division mission, the Division of Technology & Communication (T&C) adopts this Assessment Plan in order to ensure the continuous improvement of programs and services offered to the University community.

The plan is organized into 3 sections, corresponding to general assessment goals defined by the campus Assessment Council. Each section describes processes and procedures that support each assessment goal.

Part 1. Creating a Culture of Assessment

Process to document and describe the assessment process & plan

The Division has assigned a position to coordinate the development and documentation of a Division-wide assessment process and plan. Under the direction of the Vice President, the position incumbent shall coordinate the creation and maintenance of the assessment plan documentation.

The assessment process and plan shall be built in consultation with the Vice President and division managers.

Assessment within the Division takes place at many levels, from executive strategic planning to measurement of individual project and operations outcomes. The model is generally represented by the following 4-stage diagram:
Diagram 1. Assessment Model

The cycle for this assessment model includes the following steps:

1. Define goals and objectives, and answer the question “what are we trying to do?”
2. Determine success metrics for goals and objectives, and complete measurement of outcomes.
3. Interpret data obtained level of success by comparing outcomes with goals and objectives defined in Step 1.
4. Determine what can be improved, and adjust activities.

Process to establish and maintain an administrative structure for assessment (e.g., assigned staff, training, budget)

The Vice President for Technology & Communication shall assign responsibility for assessment activities to appropriate staff. The Vice President shall designate an Assessment Program Administrator (APA) for the Division.

The responsibilities and administrative structure for the Division’s assessment program shall be reviewed during the regular review cycle for this Plan as described in the Assessment Calendar (see Appendix), or on an annual basis, whichever is more frequent.
Roles & Responsibilities

The Vice President for Technology & Communication (VP T&C) is ultimately responsible for the assessment efforts of the Division.

The Assessment Program Administrator (APA) (as appointed by the VP T&C) supports the Vice President in regular review and update of the Division assessment plan by

- distributing the plan (and subsequent updates) to Division managers and staff
- representing the Division in campus assessment efforts; and
- coordinating the reporting of assessment activities to organizations outside of the Division.

The APA shall participate in trainings, meetings, and other professional development activities to keep abreast of current and emerging models, practices, standards and trends related to assessment activities for the Division.

Managers in each Division unit are responsible for all assessment activities related to their unit and their direct staff reports, including gathering data and providing progress reports at regular, designated intervals.

Process to define the division’s criteria for assessment

The Division shall engage its leadership in determining assessment criteria for each division unit as follows:

1. Each unit manager shall document a list of measures for assessment of that unit’s activities, and provide this list of measures to the APA. The Unit manager shall choose measures which help to tell the story of the successes and challenges of each unit, which ultimately answer the following question: “How effective are we at enhancing the educational experience and University operations for our customers?” (see Exhibit “Metrics Development Questionnaire”).

2. The APA shall review these measures to ensure that they correspond to the Division’s strategic planning and assessment goals, and work with the corresponding manager to adjust measure selection accordingly.

3. The APA shall assemble and maintain a master list of assessment measures for each area.

4. The Vice President shall review and approve the master list of assessment measures according to the schedule for updates to this Plan.

The Division may choose to participate in external assessment activities (such as TechQual, Educause Core Data Survey, ECAR Student Survey, etc.) as necessary to continuously improve its offerings & service and/or provide opportunities for benchmarking, at the discretion of the Vice President.
Assessment criteria for each unit and the process to define the Division’s criteria for assessment shall be reviewed during regular Plan reviews.

**Process to identify goals that are aligned with the University Mission and/or priorities.**

The Division shall establish a strategic planning process that ensures that its strategies and tactics are aligned with the University mission, strategies and priorities.

The Division shall create one or more strategic plans which describe and guide its activities. Because of the unique composition of Division roles, responsibilities and staffing (which include information technology and communication & marketing), the Division shall likely develop at least two plans (one for IT and one for Communication & Marketing).

Each strategic plan developed by the Division shall ensure that strategy and tactics are aligned with University strategy using the following model:

![Diagram of University Strategy, Division Strategy, Division Tactics]

For each strategic plan, the Division shall create a matrix which shows the relationship between the strategies listed in each plan and University strategy. An example of the matrix is available in the Appendix. In addition and as resources permit, the Division shall also map its tactics to the strategies it has outlined in the strategic plan.

The Division’s strategic plans and corresponding mapping matrices shall be reviewed, updated and distributed by Division management to Division employees on an annual basis.

**Process to disseminate division goals throughout all divisional units.**

The Division shall disseminate its goals via its strategic planning process as follows:

1. On an annual basis, the VP T&C shall distribute its updated strategic plan documents to all Division employees.
2. As necessary, the Division shall create promotional collateral (such as posters, flyers, narrated presentations or other communication pieces) and conduct activities (such as
meetings or presentations) to promote awareness and understanding of the Division’s goals.

Process to establish a common language to discuss assessment within the division

To establish a common language for assessment with the Division, the Division shall develop a glossary of terms related to assessment and assessment activities.

The glossary shall be published alongside the Assessment Plan.

This glossary shall be reviewed and updated annually during Plan review.

Part 2. Creating a Feedback Loop

Process to ensure activities produce observable and measurable outcomes.

The presence of observable, measurable outcomes is required to determine how successful the Division has been in achieving its goals and objectives.

The Division shall take the following steps to ensure observable and measurable outcomes through its project and portfolio management process:

1. During the project intake phase, measures used to determine project success shall be documented in project documentation and approved by the project customer and the supervising manager assigned to the project.
2. The Division shall establish a Project Review Board to review all project requests.
3. Measures for each project shall be shared with the Division’s Project Review Board and Division employees before or immediately after the approval of any project request.
4. Project success measures for each approved project shall be documented and made available to all Division employees in a central, electronic repository.
5. At the close of each project, the supervising manager assigned to the project shall document project outcomes and lessons learned.
6. Project outcomes and lessons learned for each completed (or cancelled) project shall be documented and made available to all Division employees in a central, electronic repository.
7. The Project and Portfolio Management Program administrator shall create forms, documentation and support processes that facilitate creation of and reporting of project data and project outcomes.
The Division shall take the following steps to ensure observable and measurable outcomes through its operations support:

1. Requests for operations support shall document the name of the support requestor and requirements for the request, either formally (e.g., in work order or Help Desk ticket software) or informally (e.g., via direct email contact, in person, via phone). Formal documentation is recommended for all operations support requests.
2. Each Division unit shall create forms, documentation, support processes and tools that facilitate creation of and reporting of operations support data and outcomes.

Through its strategic planning process, the Division shall take the following steps to ensure observable and measurable outcomes:

1. Initiatives incorporated into each strategic plan shall be tied to tactics, and the relationship between Division strategies and tactics shall be documented. A matrix map between strategies and tactics is recommended (see Appendix).
2. Each strategic plan shall contain a list of measures used to gauge success of each plan.
3. The Division shall use the measures listed in each strategic plan to evaluate its success on a regular basis, according to the review and update schedule for each plan.

**Process to ensure data are collected according to an established timeline**

External requirements shall continue to drive T&C data collection. In addition, there are internal processes which have data collection requirements, such as internal project and portfolio management processes.

To ensure data are collected according to an established timeline, the Division shall establish and maintain an Assessment Calendar. The Assessment Calendar shall contain a complete list of assessment requirements for the calendar year, and shall include activities specified within each unit’s metrics plan. The Assessment Calendar shall be reviewed and updated monthly by Division management.

The Assessment Calendar shall contain:

1. The assessment or reporting requirement;
2. The frequency of reporting (e.g., one-time, weekly, annual, bi-annual, etc.);
3. The due date (or regular reporting date) for the assessment and/or report;
4. The source/driver of the assessment (whether it is an internal requirement, an external requirement, or both);
5. Whether there is an audit requirement associated with a given assessment and/or report; and
6. A list of Division unit(s) associated with the requirement.
Other fields may be added to the calendar as necessary.

The Assessment Calendar shall be stored electronically in a central location, and administered by the APA.

Evidence of completed assessment activities (including data, documentation and reports as required) will be attached in archive format (such as ZIP) electronically to individual items in the Assessment Calendar.

**Frequency of data collection**
Frequency of data collection shall be defined in the Division Assessment Calendar as well as in each unit’s metrics plan. Data shall be collected on regular intervals appropriate to the measurement or reporting requirement. The Division recommends monthly data collection for most assessment and reporting activities. At minimum or in absence of other direction, data for any measure or report shall be collected annually.

**Process to analyze data according to the division’s criteria**

Each unit manager shall analyze data they have gathered according to the Assessment Calendar as well as the metrics plan that has been defined for their unit.

**Frequency of data analysis**

The frequency of data analysis shall be defined in each unit’s metrics plan. At minimum, data analysis shall be conducted once per year. Exceptions to this analysis interval must be approved by the Vice President.

**Process to adjust divisional processes based on assessment results.**

The Division shall adjust its processes according to its assessment results as follows:

1. Each T&C unit shall regularly evaluate outcomes of project and operations support activities, and make adjustments to processes as necessary. In addition, each T&C unit shall initiate new project activities to support changes to Divisional processes as necessary.
2. During regular strategic plan review and updates (as specified in the Assessment Calendar), the Division shall review how it has updated its processes based on assessment results during the reporting interval.
3. During regular T&C unit review, each T&C unit shall review and document how it has updated its processes based on assessment results during the reporting interval.
Process to document and communicate evidence of changes made as a result of the assessment process.

1. During the regular strategic plan review and updates (as specified in the Assessment Calendar), as well as the annual Division reporting, the Division shall document how it has updated its processes based on assessment results during the reporting interval. 
2. During regular T&C unit review, each T&C unit shall document how it has updated its processes based on assessment results during the reporting interval. 
3. The Division will publish evidence of changes made as a result of unit and Division assessment activities on its web site on a regular basis; at minimum, this evidence will be published annually.

**Part 3. Enabling Process Review**

The Division shall review this Plan and its assessment processes and structure on an annual basis, or according to the schedule defined by the Assessment Council, whichever is more frequent.

Process review shall be led by the APA.

Recommended changes to the Assessment Plan shall be provided to Division management for feedback. The Vice President shall approve all Assessment Plan changes.

Completion of the Division’s process review shall coincide with the Assessment Council’s Annual Evaluation of Division Assessment Process.

**Exhibits**

IT Strategic Plan 2011-2014
IT Strategic Plan, “Exhibit A. Mapping IT Strategic Initiatives”
Division Assessment Calendar: Example shown in Appendix. Latest version located at: [https://sharepoint.csuci.edu/sites/its/SiteDirectory/assessment/](https://sharepoint.csuci.edu/sites/its/SiteDirectory/assessment/)
“Metrics Development Form” (MS Word format)

**About this Document**

Revised on: 2012-03-14, v1.6
Prepared by: Peter Mosinskis, Director of IT Strategy
Created on: 2011-05-04
Appendix

**Division Assessment Calendar Example**

Latest version located at: [https://sharepoint.csuci.edu/sites/its/SiteDirectory/assessment/](https://sharepoint.csuci.edu/sites/its/SiteDirectory/assessment/)

### Table 1. Division-wide Assessment and Reporting Schedule

<table>
<thead>
<tr>
<th>Requirement</th>
<th>Frequency</th>
<th>Due Date(s)</th>
<th>Requirement type (internal/external/both)</th>
<th>Audit Requirement? (Y/N)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Assessment plan updates</td>
<td>Annual</td>
<td>March 1</td>
<td>Internal</td>
<td>N</td>
</tr>
<tr>
<td>Strategic plan update - Spring</td>
<td>Bi-annual</td>
<td>February 28</td>
<td>Internal</td>
<td>N</td>
</tr>
<tr>
<td>Strategic plan update - Fall</td>
<td>Bi-annual</td>
<td>November 15</td>
<td>Internal</td>
<td>N</td>
</tr>
<tr>
<td>Strategic plan review</td>
<td>Annual</td>
<td>June 30</td>
<td>Internal</td>
<td>N</td>
</tr>
<tr>
<td>Division Annual Report to President</td>
<td>Annual</td>
<td>August 31</td>
<td>External</td>
<td>N</td>
</tr>
<tr>
<td>Security review</td>
<td>Annual</td>
<td>December 1</td>
<td>Internal</td>
<td>Y</td>
</tr>
<tr>
<td>Business continuity review</td>
<td>Annual</td>
<td>December 1</td>
<td>Both</td>
<td>Y</td>
</tr>
<tr>
<td>Disaster recovery review</td>
<td>Annual</td>
<td>December 1</td>
<td>Both</td>
<td>Y</td>
</tr>
<tr>
<td>Employee evaluations</td>
<td>Annual</td>
<td>June 30</td>
<td>Both</td>
<td>N</td>
</tr>
<tr>
<td>PC Inventory – Computer re-verification</td>
<td>Annual</td>
<td>June 30</td>
<td>Both</td>
<td>N</td>
</tr>
<tr>
<td>Budget reconciliation</td>
<td>Annual</td>
<td>May 25</td>
<td>Both</td>
<td>Y</td>
</tr>
<tr>
<td>Educause Core Data Service (Survey)</td>
<td>Annual</td>
<td>June 20</td>
<td>External</td>
<td>N</td>
</tr>
<tr>
<td>Project Portfolio reports</td>
<td>Monthly</td>
<td>1st Tuesday of the Month</td>
<td>Internal</td>
<td>N</td>
</tr>
<tr>
<td>Campus Computing Survey (campuscomputing.net, Kenneth Green)</td>
<td>Annual</td>
<td>Sept 30</td>
<td>Internal</td>
<td>N</td>
</tr>
<tr>
<td>Annual notification of Audible Magic disclosure</td>
<td>Annual</td>
<td>Sept 15</td>
<td>Both</td>
<td>Y</td>
</tr>
<tr>
<td>Security awareness training review</td>
<td>Annual</td>
<td>November 1</td>
<td>Both</td>
<td>Y</td>
</tr>
<tr>
<td>Assessment Calendar Review</td>
<td>Monthly</td>
<td>1st Wednesday of the month</td>
<td>Both</td>
<td>Y</td>
</tr>
</tbody>
</table>

### Table 2. T&C Unit Assessment & Reporting Schedule
<table>
<thead>
<tr>
<th>A&amp;IT Unit Name</th>
<th>Requirement</th>
<th>Frequency</th>
<th>Due Date(s)</th>
<th>Requirement type (internal/external /both)</th>
<th>Audit Requirement ? (Y/N)</th>
</tr>
</thead>
<tbody>
<tr>
<td>All units</td>
<td>T&amp;C unit report</td>
<td>Annual</td>
<td>August 1</td>
<td>Internal</td>
<td>N</td>
</tr>
<tr>
<td>All units</td>
<td>Weekly Flash Report</td>
<td>Weekly</td>
<td>Mondays</td>
<td>Internal</td>
<td>N</td>
</tr>
<tr>
<td>All units except C&amp;M</td>
<td>Project documentation updates (intake, execution, closure)</td>
<td>Weekly</td>
<td>N/A</td>
<td>Internal</td>
<td>N</td>
</tr>
<tr>
<td>ATS</td>
<td>Accessible Technology Initiative (ATI) report</td>
<td>Annual</td>
<td>November 1</td>
<td>External</td>
<td>Y</td>
</tr>
<tr>
<td>All units except C&amp;M</td>
<td>Security analysis</td>
<td>Per project</td>
<td>August 31</td>
<td>Internal</td>
<td>Y</td>
</tr>
<tr>
<td>Application Services</td>
<td>Segregation of Duties (SOD) compliance report</td>
<td>Monthly</td>
<td>Last business day of the month</td>
<td>Both</td>
<td>Y</td>
</tr>
<tr>
<td>Application Services</td>
<td>Segregation of Duties (SOD) compliance report</td>
<td>Quarterly</td>
<td>Last business day of the quarter</td>
<td>Both</td>
<td>Y</td>
</tr>
<tr>
<td>Application Services</td>
<td>Basic Security Review</td>
<td>Bi-annual</td>
<td>Last business day in June and December</td>
<td>Both</td>
<td>Y</td>
</tr>
<tr>
<td>VP T&amp;C</td>
<td>DMCA compliance review</td>
<td>As needed</td>
<td>December 31</td>
<td>Both</td>
<td>Y</td>
</tr>
<tr>
<td>ATS</td>
<td>Personal Response Plan evaluation and review</td>
<td>Bi-annual</td>
<td>December 31</td>
<td>Both</td>
<td>Y</td>
</tr>
<tr>
<td>Infrastructure</td>
<td>Annual notification of Audible Magic disclosure</td>
<td>Annual</td>
<td>October 31</td>
<td>Both</td>
<td>Y</td>
</tr>
</tbody>
</table>
Information Technology Assessment Categories

The following categories represent major categories of Division operations:

Academic & Instructional Technology
Budget
Coding and Programming
Communication & Marketing
Communication Management
Compliance
Customer Support & Confidence
Emerging Technology & Innovation
Human Resource Management
Information Security
Mobile Device Management
Networking and Telecommunication
Personal Computer (PC) Management
Planning, Policy & Assessment
Procurement
Project and Portfolio Management
Resource Management
System and Service Design
Systems and Operations
Training and Professional Development

TechQual+ Assessment Categories

Connectivity and Access
Technology & Collaboration Services
Support & Training

Self-Assessment Questions

1. Planning
   a. Strategic and long-range planning
   b. Operational planning
   c. Disaster recovery planning
   d. Project planning
2. Policies & Procedures
   a. Customer service
   b. Service level agreements
   c. Status reports
   d. Priority setting
   e. Standards
   f. Security
   g. Problem tracking
   h. Inventories
3. Facilities & Staff
   a. User access
   b. Utilization reports
   c. Capacity planning
   d. Productivity tools
   e. Research and development
   f. Staff background and experience
   g. Staff training
   h. Staff attitude
   i. Staff turnover
   j. Student employees
4. Products and Services
   a. Direction
   b. Architecture
   c. Applications Development
   d. Delivery
   e. User training
   f. Quality assurance
   g. Backlog
   h. Outreach
5. Organization and External Relationships
   a. Organization
   b. Reporting
   c. Advisory committees
   d. User groups
   e. Data security and integrity
   f. External support
   g. User expectations
   h. User satisfaction
   i. Management satisfaction
   j. Communication
   k. Credibility
6. Funding
   a. Level
   b. Funding requests
c. User awareness
d. Gifts
e. Capital budgeting
f. Generating income
g. Outsourcing

**IT Infrastructure Library (ITIL) v3 Assessment Categories**


1. Service Strategy
   a. Financial Management
   b. Service Portfolio Management
   c. Demand Management
2. Service Design
   a. Service Catalogue Management
   b. Service Level Management
   c. Capacity Management
   d. Availability Management
   e. IT Service Continuity Management (ITSCM)
   f. Information Security Management
   g. Supplier Management
3. Service Transition
   a. Change Management
   b. Service Asset and Configuration Management
   c. Knowledge Management
   d. Transition Planning & Support
   e. Release & Deployment Management
   f. Service Validation and Testing
   g. Evaluation
4. Service Operation
   a. Event Management
   b. Incident Management
   c. Request Fulfillment Process
      i. Access Management Process
   d. Problem Management Process
5. Continual Service Improvement