5760
2-30

Dr. Michael J. Kiphart
Middle States Commission on Higher Education
3624 Market Street
Philadelphia, PA 19104

Dear Dr. Kiphart:

I am writing in specific response to the Commission's requirement in its June 22, 2006 statement to reaffirm the institutional accreditation of the United States Naval Academy. In that letter, you asked that the Naval Academy document to the Middle States Commission by April 1, 2007 the Academy's "further progress in the development and implementation of a comprehensive plan or the documented process for the assessment of institutional effectiveness and student learning."

Since the receipt of the Visiting Team's oral out-brief and written report nearly a year ago, the Naval Academy has aggressively built on its strong Strategic Plan to tie it more closely to the previously fragmented institutional assessment efforts that we described in our December 2005 self-study, and which were validated by the February 2006 Middle States visiting team. We are proud of our subsequent efforts to establish an exemplary and fully coordinated institutional assessment and strategic planning process, and are pleased to report these to you in enclosure (1).

The guidance from the Middle States Commission has been very helpful in accelerating the Naval Academy's efforts with regard to strengthening our institutional assessment and strategic planning processes, and ensuring compliance with the requirements of our accreditation colleagues. On behalf of the U.S. Naval Academy and the constituencies it serves, I would like to express my gratitude for the Commission's excellent assistance.

Sincerely,

RODNEY P. REMPT
Vice Admiral, U.S. Navy
Superintendent

Prepared by M.C. Halbig, VAD, X31585, 1 Mar 07, tmg

United States Naval Academy
Effectiveness Assessment Plan

Over the last year the Naval Academy has built on the previously separate efforts of planning and assessment to create a unified institutional assessment and strategic planning process. This document describes that revitalized and newly integrated process through:

- Explanation of the Academy's *background and context* as an educational institution and naval officer commissioning source, which influences how the Naval Academy operates and, thus, affects *Academy effectiveness assessment* and *strategic planning*;
- Description of the Naval Academy effectiveness assessment model and structure, illustrating how institutional effectiveness assessment provides both a framework and a goal for strategic planning; and
- Presentation of a five-year plan to make effectiveness assessment a permanent, integral component of Academy strategic planning processes, with accomplishments to date.

Background and Context

The Naval Academy is the Department of the Navy's premier officer accession program dedicated to providing career-minded leaders of character for the Navy and Marine Corps. The mission of the Naval Academy is:

To develop midshipmen morally, mentally, and physically and to imbue them with the highest ideals of duty, honor, and loyalty in order to provide graduates who are dedicated to a

career of Naval service and have potential for future development in mind and character to assume the highest responsibilities of command, citizenship, and government.

This time-tested, enduring mission is provided in Navy Department Instruction OPNAVINST 5450.33O as well as in Secretary of the Navy Instruction 1531.2A. 10 U.S. Code, Chapter 603 provides the statutory foundation for the establishment, operation, and basic governance of the Naval Academy, including information about its location, number of midshipmen, eligibility for admission, discharge and graduation procedures, as well as the service obligation of graduates. Title 10 also establishes the position of Superintendent and charges the Superintendent with the direct governance of the Naval Academy.

Within the Department of the Navy, the Naval Academy is designated an Echelon II shore activity under the Chief of Naval Operations (CNO). The CNO has immediate oversight of the Naval Academy and the Superintendent's performance in his/her position. The Secretary of the Navy and the Secretary of Defense provide more direction, normally in the form of formally promulgated instructions or directives. Department of Defense Directive 1322.22, in particular, requires an annual assessment of the Naval Academy for the Secretary of Defense each November.

In addition to the chain-of-command oversight, the President of the United States also provides oversight, as Commander-in-Chief of the Armed Forces, through a legislatively mandated Board of Visitors (BOV). The authority of the Board of Visitors is established in 10 U.S. Code, §6968. The Board consists of nine members of the United States House of Representatives and Senate, augmented by six Presidential appointees who have distinguished themselves in other walks of life. The Board is specifically charged with inquiring into the state of morale and discipline, the academic curriculum and instruction, physical equipment and

facilities, fiscal affairs, and any other matters relating to the Academy that the Board deems appropriate. The Board meets four times a year and provides an annual, written report to the President of the United States regarding its views and recommendations concerning the Academy.

Like all institutions of higher education overseen by the Middle States Commission on Higher Education, the Naval Academy has its own unique context in which a comprehensive assessment and strategic planning process takes place. In comparison with most other institutions of higher education, the Academy is more focused in its institutional goals, which are tailored to support the officer corps of the United States Navy and Marine Corps, and in the resources it receives, which come primarily from the U.S. Congress via the Defense Department and the United States Navy.

Quality assurance organizations like ABET, the American Chemical Society, the National Collegiate Athletic Association, and the Middle States Commission on Higher Education, place clear and specific requirements on the Academy to set goals, implement programs, gather data, assess outcomes, and apply conclusions toward the betterment of the institution. This environment provides the context for developing and improving an institutional effectiveness assessment process at USNA.

Academy Effectiveness Assessment Structure and Model

In November 2006, the Superintendent of the Naval Academy, Vice Admiral Rodney P. Rempt, chartered an Academy Effectiveness Board *to coordinate the development, maintenance, and execution of the Naval Academy's Effectiveness Plan and its associated assessment processes. The Board will report directly to the Superintendent and produce an annual*

Academy-wide assessment report for use by the Superintendent and the Academy's senior leadership as well as monitor the assessment feedback process and procedures (see USNA Instruction 5420.361, **Appendix 1**). The Academy Effectiveness Board (AEB) has the following responsibilities:

- Set institution-wide expectations in the form of an Academy effectiveness model and implementation timeline.
- Design mechanisms for evaluating the institutional level accomplishment of graduate attributes and capabilities.
- Establish responsibility for assessing the accomplishment of attributes and capabilities, as well as specific student learning outcomes relevant to each aspect of the Academy's officer preparation program in order to create a horizontally- and vertically-integrated assessment process.
- Integrate the Academy's effectiveness assessment results into a revised strategic plan in order to create a formal structure for tracking actions taken in response to assessment results at all levels and within all divisions of the Academy.
- Define the format and process for reporting to the Superintendent and Naval Academy senior leadership team at least semi-annually the assessment results and associated actions taken for continuous improvement.

Academy Effectiveness Assessment Model

Assessment is often characterized as the third element of the following planning-and-assessment cycle:

1. The development of clearly articulated written statements, expressed in observable terms, of key institutional and unit-level goals that are based on the involvement of the institutional community;
2. The design of intentional strategies to achieve those goals;
3. The assessment of the achievement of those key goals; and
4. The use of assessment results to improve programs and services, with appropriate links to the institution's ongoing planning and resource allocation processes.

(Middle State Commission on Higher Education, *Characteristics of Excellence*, 2006, p. 25.)

An early responsibility of the Academy Effectiveness Board was to specify an *Academy effectiveness assessment* model and implementation timeline. The USNA model has four inter-related elements (see Figure 1 below):

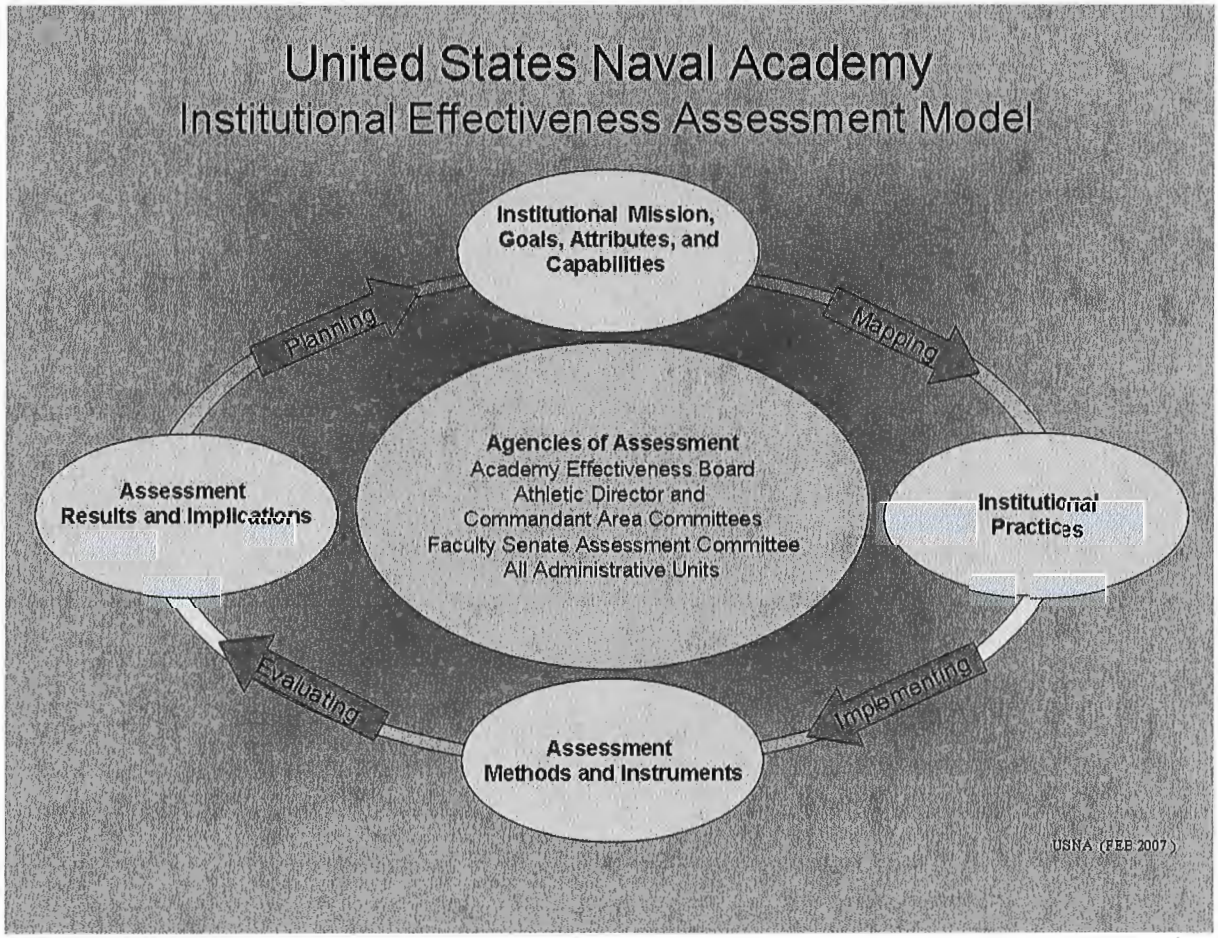
- *Academy mission, goals, and outcomes* that incorporate the attributes and capabilities of our graduates
- *Academy practices*, curricular and administrative, tailored to achieve the goals and outcomes
- *Assessment procedures* that encompass appropriate evaluation methods and instruments
- *Application of assessment results* and their implications in the Academy's fundamental resource decisions through the strategic planning process

This model provides the foundation for assessment at the Naval Academy, from the individual academic course or administrative function level to the institutional level, and for both horizontal and vertical integration of assessment and strategic planning.

The first element of the Academy's effectiveness assessment model is the definition of learning outcomes in the form of the attributes and capabilities of graduates that can guide the

day-to-day operation of the Academy and the process of continuous improvement at all levels: course, program, department, division, mission area (mental, moral, or physical development, as well as administrative-support) and Naval Academy-wide. The attributes and characteristics of graduates are intimately linked to the USNA mission, cited on page (1) of this enclosure.

Figure 1



In descending order **goals, attributes** and **capabilities** define what is to be achieved during the four years that midshipmen attend the Naval Academy: **Goals** are the general, over-arching aspirations for USNA graduates outlined in the **mission** statement cited above. We accomplish these goals by preparing graduates who have desired mission-related **Attributes**.

These desired attributes of graduates are general enough to guide development, implementation, and improvement in educational, training, and administrative departments. **Attributes** are also concrete enough that we can collect qualitative and quantitative evidence of their achievement.

Capabilities are the particular learning outcomes that describe what our graduates will know, be able to do, and value as a direct result of our education and training efforts, and as supported by our administrative functions. **Capabilities** constitute the elemental building blocks for the **Attributes** desired of our graduates. **Capabilities** and their related **objectives, criteria,** and **standards** are the basis of our assessments in the classrooms and laboratories, Bancroft Hall (the residential and primary leadership development area), and athletic venues. **Capabilities** must be measurable so that we can gather direct evidence of their accomplishment.

The second element of the Academy's effectiveness assessment model is the linkage of attributes and capabilities of graduates to Academy education, professional training and administrative practices. By mapping attributes and capabilities to practices, each unit within areas overseen by the Academic Dean and Provost, Commandant, and Athletic Director describes where and how that practice contributes to the achievement of the desired attributes and capabilities of graduates. Just as the academic departments and divisions have mapped the attributes and capabilities of graduates to their curricula and courses, the professional training, athletic, and administrative units will identify the links between the desired attributes and capabilities of graduates and their individual unit practices.

The third element is the selection or creation and application of evaluative methods to assess the development of the *attributes and capabilities of graduates* as practices are implemented. The AEB will coordinate the evaluation of the common **attributes** within areas—for example, within academic divisions and departments responsible to the Academic Dean and

Provost; across areas, e.g., across all activities responsible to the Academic Dean and Provost, Commandant, and Athletic Director; as well as from one level of the Naval Academy organization to the next (e.g., division, mission function area, and Academy-wide).

The fourth element of the Academy effectiveness assessment model is the use of assessment results in those resource-related, curricular and administrative planning decisions that lead to the continuous improvement of midshipman learning and officer preparation. This linkage of assessment results to resource decisions is the function of the strategic planning process. The actual use of results at the highest level will be facilitated, we expect, by the structure of the Academy Effectiveness Board—co-chaired by senior representatives of the Academy's mental, moral and physical mission areas. Re-enforcing its role in this regard, the AEB is a subcommittee of the Senior Leadership Team, which is responsible for the development and implementation of the USNA strategic plan. The various assessment committees throughout the Academy, such as the Faculty Senate Assessment Committee and the Academic Division and Departmental Assessment Committees, will make similar contributions at lower levels.

Academy Effectiveness Assessment, Strategic Planning and Achieving the Mission

The Academy Effectiveness Assessment process thus (1) consolidates, integrates, and coordinates, both horizontally and vertically, the assessment of all mission-related elements of the Academy; (2) delineates assessment and feedback responsibilities and procedures; and (3) establishes mechanisms to integrate assessment and the strategic planning process via subsequent resource allocation decisions so as to continuously improve mission accomplishment.

Institutional assessment, as noted earlier, is both a framework and a goal for strategic planning. The strategic planning process is how assessment results are translated into action, especially in the form of resource allocation, which "closes the loop" of the model. In the process of developing strategic goals and tactics, the lessons learned from assessment are put in priority order and made operational through resource allocation decisions. In this way, we hope to sustain the process of continuously improving mission accomplishment.

Strategic planning at the Naval Academy has varied in form, substance, and process over the past decade. With the establishment of the Academy Effectiveness Board in the fall of 2006, there is a growing consensus within the Naval Academy that strategic goals must be linked to the Academy effectiveness assessment process; that is, they must be assessable—and routinely assessed—in relation to the accomplishment of the mission and related attributes of graduates. In addition, strategic goals must be tied to the allocation of financial and human resources, and the structuring of curricular components; moreover, accomplishment of these strategic goals must be evaluated Naval Academy-wide, in a coordinated fashion.

The major components of the officer preparation process—in budget terms, these are referred to at the Naval Academy as the mission functions—consist of the work that takes place in the academic divisions and departments, in military professional and officer development, and in athletics. Beyond these, however, associated programs in direct support of mission functions—those ancillary areas that directly affect the living and working environment and overall quality of life of the Academy—must also be an integral part of any institutional effectiveness assessment and strategic planning effort. These include, but are not limited to, admissions and enrollment management, facilities management, technology planning, personnel services (human resources), security, and business processes.

A thorough review of assessment information may confirm current goals, plans, and programs and services, or appropriately modify them to reflect the changing needs of the Academy and its community. The ultimate purpose of Academy effectiveness assessment, in other words, is ongoing renewal of the Naval Academy; the mechanism for that renewal is the strategic planning process, which closes the Academy's effectiveness assessment loop.

The Academy effectiveness assessment model will guide the institutionalization of assessment at USNA over the next five years, including the integration of the assessment and strategic planning processes.

Five-year Implementation Plan

A five-year plan for developing and implementing *Academy Effectiveness Assessment* began in the summer of 2006 as the Academy reviewed where it was and established a plan to process. The initial step, in November 2006, was the establishment of the Academy Effectiveness Board and the adoption of the *Academy Effectiveness Assessment* model (Figure 1). The following timeline summarizes the process the Naval Academy will follow over the next five years to institutionalize *Academy Effectiveness Assessment*. (The full implementation plan is shown in the form of a detailed flow chart in Appendix 2.)

Five-year plan (AY indicates academic year)

AY 07/08

- Begin executing the Academy effectiveness assessment model through Pilot Projects that are particularly urgent and/or suitable for the measurement of the revised attributes and capabilities of graduates.

- Begin expanding effectiveness assessment throughout the Academy using lessons learned from the Pilot Projects to integrate assessment results into a revised strategic plan.

AY 08/09

- Implement improvements based on the revised strategic plan and assess results from Pilot Projects.
- Continue expanding the Academy assessment approach into each area (e.g., Academic Dean and Provost, Commandant, and Athletic Director) and at all levels.

AY 09/10

- Continue expanding the Academy assessment approach including the tracking of actions taken in response to assessment results at all levels and within all divisions of the Academy.

AY 10/11

- Fully implement Academy effectiveness assessment resulting in the full integration of goal-based assessment into resource allocation decisions as part of the strategic planning process.

Academy Effective Board Accomplishments

The following AEB tasks underway for AY 2006/2007 are providing the foundation for the *Academy Effectiveness Assessment* five-year implementation plan.

- Anchor *Academy Effectiveness Assessment* in the USNA mission through, first, the creation of an Ad Hoc Committee of the AEB to define measurable attributes related to USNA mission and, second, the review and validation by the AEB of the mission-centric graduate attributes. (See the Ad Hoc Committee materials in Appendix 3.)

- Charge to area committees (e.g., Academic Dean and Provost, Commandant, and Athletic Director) to review attributes in establishing capabilities of graduates relevant to their areas. (See Dean's 14 DEC 06 Memo in Appendix 4.)
- Establish an outside review group to provide advice on current and planned Academy Effectiveness Assessment efforts. (See materials related to the External Review Group, ERG, including their report in Appendix 5.)
- Design and administer alumni and active duty naval service surveys based on desired attributes of graduates. All programs and processes within the Naval Academy must be assessed to measure overall effectiveness in producing graduates with the desired attributes. Even so, the ultimate measure of mission accomplishment and the success of the officer preparation process are the performance and retention of our graduates in the operating forces of the Navy and Marine Corps. Clearly, the Academy's four-year residential program is the primary focus of the Academy's assessment processes; nonetheless, complete assessment of the Naval Academy's effectiveness includes tracking post-graduate performance and providing feedback mechanisms by which our graduates and their supervisors can provide timely input for the continuous improvement of our undergraduate programs and practices. (See DRAFT surveys in Appendix 6.)
- Create illustrative prototypes as models for using the Academy Effectiveness Assessment process as both a framework and goal for strategic planning. (See Appendix 7.)
- Develop a position description for a Dean of Institutional Assessment and Strategic Planning and initiate a national search to hire a subject matter expert to guide the Naval Academy's assessment and strategic planning processes. (See Appendix 8).

Summary

Through the integration of the academy effectiveness assessment and strategic planning processes, the United States Naval Academy will improve the means available for determining its effectiveness based on the contribution that each program or service makes toward achieving the Academy's overall goals. We will also refine the process for allocating our scarce resources in a manner that facilitates the continuous improvement of mission accomplishment. Thus we will be better able to answer these questions to our own and our constituents' satisfaction: How well are we collectively accomplishing our mission? How do we know? And perhaps most importantly: How can we improve?

Appendices

Appendix 1: USNA Instruction 5420.361, Ch-1

Appendix 2: Five-year timeline for the institutionalization of Academy Effectiveness Assessment

Appendix 3: Ad Hoc Committee materials

Appendix 4: Dean's Memorandum for the Division Directors on Assessment of Midshipman Learning in 2007 (14 Dec 06)

Appendix 5: External Review Group materials

Appendix 6: Alumni and Naval Service Survey

Appendix 7: Strategic Plan illustrative prototypes

Appendix 8: Position Description for Dean of Institutional Assessment and Strategic Planning

Appendix 1

Academy Effectiveness Board Instruction, USNA Instruction 5420.36 Ch-1

The purpose of the Academy Effectiveness Board is to coordinate the development, maintenance, and execution of the Naval Academy's Effectiveness Plan and its associated assessment process. The charter is attached as pages 1-2 through 1-5.

USNA INSTRUCTION 5420.36 CHANGE TRANSMITTAL 1

From: Superintendent

Subj: ESTABLISHMENT OF THE ACADEMY EFFECTIVENESS BOARD (AEB)

Encl: (1) Academy Effectiveness Board Membership and Charter

1. Purpose. To update membership of the board.

2. Action. Remove enclosure (1) and replace with new enclosure (1).

3. Cancellation. When the required action has been taken.

HELEN F. DUNN
Deputy Superintendent/Chief of Staff

Distribution:
All Non-Mids (electronically)

ACADEMY EFFECTIVENESS BOARD
MEMBERSHIP AND CHARTER

1. Background. A number of outside review groups, including the Naval Academy's two major academic accreditation associations, found that the Academy lacked a comprehensive and integrated institutional effectiveness assessment plan, and therefore, was deficient in the implementation of institution-wide assessment processes. These reviews confirmed the findings of the Naval Academy's own internal Institutional Self-Study.

2. Purpose. The purpose of the Academy Effectiveness Board (AEB) is to coordinate the development, maintenance, and execution of the Naval Academy's Effectiveness Plan and its associated assessment process. The focus of the Board and the Plan will be the mission of the Naval Academy and our obligation to provide combat leaders of character. Such an institution-wide plan would provide an assessment-based framework for implementing the Academy's current Strategic Plan, and would cover all three mission areas (mental, moral, and physical) as well as all mission-support functions related to our four-year leadership immersion program.

3. Function. The AEB will report directly to the Superintendent and the Senior Leadership Team.
The AEB will work closely with the respective leaders of the Academy's mission areas (Commandant, Academic Dean, and Athletic Director) and mission-support functions (including Admissions, Deputy Superintendent/Chief of Staff, Deputy for Finance and Chief Financial Officer, and Deputy for Information Technology Services). The AEB members will: (1) collaborate in planning and implementing effectiveness assessment within and among the Academy's three mission areas; (2) provide models and support for the development and implementation of effectiveness assessment within the USNA mission-support functions; and (3) monitor the global, Academy-wide effectiveness assessment processes.

The Board co-chairs will represent their respective mission areas and serve as liaisons between the Board and the Senior Leadership Team and Superintendent. The Directors of Academic Assessment, Ethical Leadership Assessment, and Institutional Research will ensure that the work of the AEB is supported with valid, reliable, and timely data and the best professional practices of institutional effectiveness assessment appropriate to the Naval Academy's mission. (A re-evaluation of the function and membership of the Board will be undertaken following a final decision on the overall institutional effectiveness assessment structure.)

a. Membership. The members of the board will represent a cross-section of all areas of the Naval Academy program which directly or indirectly support the Naval Academy's mission and serve as liaison between their respective organization and the AEB. Initial membership of the board is as stated below. A re-evaluation of the membership will be undertaken following a final decision on the overall institutional assessment and effectiveness structure. Board Membership is as follows:

Vice Academic Dean (Co-chair)
Deputy Commandant (Co-chair)
Deputy Athletic Director (Co-chair)
Director of Assessment, Center for Ethical Leadership
Director, Institutional Research
Director, Academic Assessment
Strategic Planning Officer (Secretary)

Support Personnel: The following personnel are on call to assist the Board in their respective areas of expertise as necessary. The membership is supported by the following:

Director, Officer Development
Director, Professional Development
Director of Admissions
Comptroller
Director, Non-Appropriated Funds Activities
Chair, Leadership, Ethics, and Law
Command Evaluation Officer
Chair, Faculty Senate Assessment Committee
Executive Director, Information Technology
Director, Human Resource Division

b. Charter. The purpose of the AEB is to coordinate the development, maintenance, and execution of the Naval Academy's Effectiveness Plan and its associated assessment process. The board will report directly to the Superintendent and produce an annual academy-wide assessment for use by the Superintendent and the Academy's senior leadership as well as monitor the assessment feedback process and procedures.

c. Responsibilities

(a) Schedule. The AEB will meet as frequently as necessary, but not less than once each month, in order to develop and sustain a Naval Academy effectiveness assessment process.

(b) Agenda. The board co-chairs or secretary will prepare the agenda and will present the matters under consideration to the board. Any board member may recommend items for inclusion on the agenda. The agenda will be approved by the co-chairs and be distributed as far in advance as possible prior to the meeting to permit members to obtain an understanding of the subject matter. In this way, any discussions during the meeting can be directed to the substance of the agenda rather than gaining an understanding of what is intended. The AEB is responsible for developing momentum in revising the Naval Academy assessment process and improving its overall effectiveness.

(c) Proceedings. The co-chairs will submit to the Superintendent proceedings of each meeting prepared by the Secretary. The proceedings will list those present, outline briefly matters discussed, briefings given, pertinent comments by members, decisions reached, future action required, and the designated action officers. The AEB will produce an annual academy-wide institutional effectiveness assessment status report for use by the Superintendent and the Academy's senior leadership in guiding overall USNA improvement efforts.

(d) Decisions. Decisions reached at board meetings will be briefly but clearly stated. Endorsement approval by the Superintendent formalizes board decisions. These board memoranda represent the authoritative record of Naval Academy decisions and policy. Endorsement approval of decisions may be signed only by the Superintendent.

Appendix 2

USNA Five Year Timeline for the Institutionalization of Academy Effectiveness Assessment

The attached three page timeline illustrates action steps and progress through 2012.

USNA Academy Effectiveness Assessment Plan
Five-year Timeline AY 07/08 – 11/12

Tasks	AY 06/07 Spring	AY 07/08 Fall	AY 07/08 Spring	AY 08/09 Fall	AY 08/09 Spring	AY 09/10 Fall	AY 09/10 Spring	AY 10/11 Fall	AY 10/11 Spring	AY 11/12 Fall	AY 11/12 Spring
Identify Pilot Projects	X										
Create assessment methods to evaluate accomplishments within Pilot Projects		X									
Start implementing assessment within Pilot Projects			X								
Analyze and interpret assessment results of Pilot Projects				X							
Determine changes to be made and how/when they will be completed within Pilot Projects					X						
Development of planned changes in Pilot Projects						X	X				
Implement changes and assess results								X	X	X	X
Identify next (2nd) set of administrative units where outcomes are or will be accomplished and evaluated		X									
Define measurable attributes and capabilities of graduates related to USNA mission for 2nd set of projects			X								
Identify where and how outcomes are or will be accomplished within 2nd set of projects				X							
Create methods to assess accomplishments within 2nd set of projects					X						
Start implementing assessment methods with second set						X					
Start analyzing and interpreting assessment results of 2nd set							X				

2/26/2007

USNA Academy Effectiveness Assessment Plan
Five-year Timeline AY 07/08 – 11/12

Tasks	AY 06/07 Spring	AY 07/08 Fall	AY 07/08 Spring	AY 08/09 Fall	AY 08/09 Spring	AY 09/10 Fall	AY 09/10 Spring	AY 10/11 Fall	AY 10/11 Spring	AY 11/12 Fall	AY 11/12 Spring
Start development of planned changes in 2nd set								X	X		
Implement changes and assess results of 2nd set										X	X
Identify next (3rd) set of administrative units where outcomes are or will be accomplished and evaluated			X								
Define measurable attributes and capabilities of graduates related to USNA mission for 3rd set of projects				X							
Identify where and how outcomes are or will be accomplished within 3rd set of projects					X						
Create methods to assess accomplishments within 3rd set of projects						X					
Start implementing assessment methods with 3rd set							X				
Start analyzing and interpreting assessment results of 3rd set								X			
Start development of planned changes in 3rd set									X	X	
Implement changes and assess results of 3rd set											X
Identify next (4th) set of administrative units where outcomes are or will be accomplished and evaluated				X							
Define measurable attributes and capabilities of graduates related to USNA mission for 4th set of projects					X						

2/26/2007

USNA Academy Effectiveness Assessment Plan
Five-year Timeline AY 07/08 – 11/12

Tasks	AY 06/07 Spring	AY 07/08 Fall	AY 07/08 Spring	AY 08/09 Fall	AY 08/09 Spring	AY 09/10 Fall	AY 09/10 Spring	AY 10/11 Fall	AY 10/11 Spring	AY 11/12 Fall	AY 11/12 Spring
Identify where and how outcomes are or will be accomplished within 4th set of projects						X					
Create methods to assess accomplishments within 4th set of projects							X				
Start implementing assessment methods with 4th set								X			
Start analyzing and interpreting assessment results of 4th set									X		
Start development of planned changes in 4th set										X	X
Implement changes and assess results of 4th set											
Identify next (5th) set of administrative units where outcomes are or will be accomplished and evaluated					X						
Define measurable attributes and capabilities of graduates related to USNA mission for 5th set of projects						X					
Identify where and how outcomes are or will be accomplished within 5th set of projects							X				
Create methods to assess accomplishments within 5th set of projects								X			
Start implementing assessment methods with 5th set									X		
Start analyzing and interpreting assessment results 5th set of projects										X	X
Full Implementation											X

2/26/2007

Appendix 3

Academy Effectiveness Board Proceedings and Materials

Proceedings of the three recent Academy Effectiveness Board meetings are appended. December proceedings are on page 3-2. January proceedings are on page 3-3 and 3-4. February proceedings are on page 3-5

Academy Effectiveness Board
Proceedings
15 December 2006

Commandant's Conference Room
Bancroft Hall

Members present: Dean Halbig, CAPT Sinnett, COL Fuquea, CAPT Gottschalk, Dr. Gray, Dr. Holmes, CDR Trainor, and Mrs. Warren.

Dean Halbig opened the meeting by giving a status from the External Review Group (ERG). The ERG was pleased with the interactions and comments from all with whom they met last week. The ERG has a requirement to produce a deliverable within 45 days, however, Dean Halbig explained the report may be delivered as early as 18 December. When the report is delivered, he will endeavor to get authority to release the contents to this board.

The three ad hoc groups' leaders, Dr. Holmes, Dr. Gray, and CDR Trainor, each gave brief synopses of progress in their particular focus groups addressing characteristics and attributes of graduates. Philosophic discussions centered on the USNA mission, how to measure intangible attributes, such as patriotism, attributes/skills of graduates, and crafting a meaningful Fleet survey instrument.

Dean Halbig briefed that he is reviewing the USMA Academic Assessment Report of 1 June 1994. The report was authored by Dr. Forsythe, a member of the ERG and a member of the USMA faculty at the time. With regard to what the "right" attributes are, there was consensus by the Board that querying the next prospective Commanding Officers Course and/or the operating forces on what their perception of what the attributes should be would be a good idea.

Dean Halbig adjourned the meeting. The next AEB will convene on 12 January 07, in the Commandant's Conference Room, 1000-1200.

V/R,

Susan Warren, MS
Academy Effectiveness Board

Academy Effectiveness Board
Proceedings
12 January 07

Commandant's Conference Room
Bancroft Hall

Members present: Deal Halbig, COL Fuquea, CAPT Gottschalk, Dr. Holmes, Dr. Gray, CDR Trainor, Mrs. Warren. CAPT Pasko was substituting for CAPT Sinnett.

Dean Halbig opened the meeting by mentioning there is no formal, published report as of yet from the External Review Group. He did mention he had a preliminary report from the ERG that contained four recommendations.

Dean Halbig continued by proposing three agenda items for today's discussion:

a. Status of the three sub-committees that are developing global, assessable institutional attributes;
b. Development of a notional architecture for institution-wide assessment processes at USNA (see attachment); and
c. Draft language for a response to Middle States for a status report on global institutional efforts in the area of assessment and strategic planning.

The three sub-committees have been meeting concurrently creating a list of eight measurable attributes. The sub-committees will convene with the AEB on 26 January at noon in the Commandant's Conference Room and present their findings/analyses. Logistics note: CAPT Pasko will reserve the room and make provisions for a working lunch.

Dean Halbig reiterated that the AEB will be charged with integration of institutional assessment processes at USNA. Much discussion ensued regarding organizational structure, status of hiring the Dean of Assessment, and timing/delivery of requested deliverables to the Superintendent.

The final discussion was with regard to the Middle States letter. Dean Halbig and Dr. Gray will draft a response. AEB members will have the opportunity to review and comment. In a related aside, Dean Halbig and Dr. Gray will attend a seminar on Institutional Assessment and Strategic Planning in late January at the University of Delaware.

The next meeting of the board will be 25 January, 1100 in the Commandant's Conference Room.

V/R,

Susan Warren, MS
Academy Effectiveness Board

Academy Effectiveness Board
Proceedings
9 February 2007
Commandants Conference Room
Bancroft Hall

Attendees: Dean Halbig, COL Sinnett, COL Fuquea, CAPT Pasko, Dr. Gray, Dr. Holmes, Dr Trainor, Mrs. Warren. Sub group members who attended were: Dr. McWilliams, CAPT Rubel, CAPT O'Neill, Dr. Hanna, 1/C Mahan, MAJ Syskal, and Dr. O'Brien.

Prior to meeting with the subgroups, Dean Halbig reviewed the following:

The Superintendent approved the advertisement for the Dean for Institutional Assessment and Strategic Planning. The advertisement will be launched over the weekend on electronic media: Chronicle for Higher Education, AIR, Naval Academy Alumni Association, Middle States, and an electronic listserv from a conference Dean Halbig and CAPT Pasko attended at the University of Delaware. Applications will be due NLT 2 April 07 from candidates.

The Superintendent approved the search committee for the hiring of the Dean's position: Dean Halbig, CAPT Sinnett, CAPT Pasko, Capt Brady, Mr. Rubino, Dr. Masterson, Dr. Barton, Dr. Patty Francis, and Dr. Barney Forsythe.

The members talked about the draft letter to Middle States and agreed that a SWOT analysis is in order. The draft letter is attached. Dean Halbig also provided an Academy Effectiveness Assessment Plan for the group's review and comment (attached).

A portion of the members met last week to review the draft graduate attribute characteristics. An agreed upon list was compiled (attached) and sent to the sub groups for further analysis. During the course of today's meeting, the three sub group spokesmen outlined their thoughts on the draft attributes. It was agreed that Mark McWilliams from the English Department will re-write the attributes and present at the next meeting. It was agreed by all that the list would articulate a foundational skill set, provide a set of expectations that would be publicly available to midshipmen, prospective midshipmen, faculty, staff , as well as Naval Academy customers in the Navy and Marine Corps and be written so that the list is reasonably comprehensive.

The next meeting of the AEB will be 23 February, 1100-1300, in the Commandants Conference Room for a working lunch with the sub groups.

V/R,

Susan Warren, MS
Academy Effectiveness Board

Appendix 4

Dean's Memorandum for the Division Directors on Assessments of Midshipmen

The attached memorandum was published in December 2006 by the Academic Dean and Provost.

26 December 2006

Memorandum for the Division Directors

Subj: Assessment of Midshipman Learning in 2007

Ref: (a) USNA Instruction 5420.36 of 30 November 2006
(b) http://www.usna.edu/StrategicPlan/htmls/sp_graduates.html
(c) Academic Program Review Decision Directive 002 dated 7 November 2006

1. Purpose. Several of you have asked for more explicit guidance regarding assessment of midshipman learning in 2007, specifically with regard to assessment of the core curriculum and divisional requirements. This memorandum outlines our expectations in those areas for 2007 and points the way ahead into 2008.

2. Background. Among the things in which the Navy has developed real expertise is voyage planning and execution. We have well developed practices for laying out our ship's track, picking the most energy-efficient route across the surface of a not-quite-spherical earth, predicting fuel requirements, estimating time of arrival, and a myriad of other details. Once underway, at regular intervals we measure how we are doing along our intended track and make corrections as necessary. If we're blown off track by unexpected climatic events, we fix our new position and plot a course to get back on track. If we change our intended destination enroute, we very confidently lay out a new track, re-compute the necessary parameters, change course, and start monitoring how we are progressing toward our new destination. The most remarkable part about all of this well developed expertise is that we regularly reach our agreed upon destination in a series of 4-hour watches.

We need a voyage plan for midshipman development at the U. S. Naval Academy. We need a commonly accepted perspective on what we expect the midshipmen to learn (their destination) and a well-laid track to get them there. We need to regularly measure their progress along that track. And we need to keep their 4-year destination in mind every day, even if some of us will not be on watch at the Academy when some of our current midshipmen conclude their voyage. In the context of achieving the Naval Academy's mission, midshipman learning goals specify a midshipman's 4-year destination, and assessment provides the tools by which we should be navigating.

3. Institutional Assessment. Earlier this month we hosted an external review group, led by retired Brigadier General Barney Forsythe, formerly Vice Dean for Education at USMA and currently the Provost at Westminster College; the group also included the assessment director for the entire 64-campus SUNY system. Vice Admiral Rempt had commissioned the group to assist us in organizing and implementing a more effective approach to institutional assessment; that is, determining how well the Naval Academy is performing its mission of "develop[ing] midshipmen morally, mentally and physically...." The external review group will provide a written report within a few weeks. In its simplest form, institutional assessment is trying to answer the deceptively simple questions:

"What knowledge, skills, abilities and characteristics do we expect the midshipmen to acquire during their four years at the Naval Academy?"

and

"Are they meeting our expectations?"

A second tier of questions naturally follows:

"How do we know?" (That's the toughest one.)

and

"What are we doing to improve their performance?"

As a follow-up activity to this external review group visit, the Academy Effectiveness Board (newly established by reference (a)) will be conducting focus groups that will engage you and your people to consider whether the "Graduate Attributes" enumerated in the current USNA Strategic Plan (see reference (b)) provide an adequate answer to the first question; namely,

"What knowledge, skills, abilities and characteristics do we expect the midshipmen to acquire during their four years at the Naval Academy?"

After we have reached broad concurrence on what "attributes" we want the midshipmen to develop, these consensus attributes may be considered our top-level midshipman learning goals, and we will be working on (1) what evidence we can gather regarding how well they are meeting our expectations, and (2) how our individual programs (academic, professional, ethical, athletic, experiential) contribute to the midshipman learning goals on which we have agreed.

These institutional assessment activities are the "top-down" part of our overall USNA assessment program. Assessment of midshipman learning as they complete their academic majors and their core and divisional requirements provides a more "bottom-up" complement to institutional assessment.

4. Core and Divisional Requirements. As redefined in the recently completed Academic Program Review (reference (c) is available at http://www.usna.edu/AcDean/sapr/sapr.html), the core curriculum and divisional requirements together provide an educational foundation for midshipmen, both as future naval officers and as well educated citizens. The core courses are essentially common for all midshipmen across all majors. Divisional requirements offer some degree of choice among menus of offerings; they supplement the core curriculum and complement a midshipman's choice of major and intended service assignment. Both the core and divisional requirements come together at the division level within the Academy's organization. Consequently, we ask that during the spring semester, 2007, Division Directors work with their core curriculum committees to develop succinct answers to the question,

"What do we expect the midshipmen to learn from your division's contribution to the core and divisional requirements?"

We are not looking for multiple pages or long lists of facts and formulae; we believe that you should be able to express a coherent answer to this question in about a page. (Aside: Not surprisingly, it may be more challenging for you to write a short answer than a more voluminous

answer to this question.) For example, in the Math & Science Division, what (knowledge, skills, abilities, characteristics) do you expect all midshipmen to develop during the four semesters of mathematics and four semesters of basic science they complete in your division? In Professional Development Division, what (knowledge, skills, abilities, characteristics) do you expect the midshipmen to develop during the four semesters studying mariner skills in your division? Developing broadly accepted answers to such fundamental questions will help define the "destination" part of our "voyage plan" for midshipmen on their four-year journey with us. After you have developed solid perspectives on what you expect midshipmen to learn in your division's contribution to the core and divisional requirements, we ask that you engage your core curriculum committees on how you can determine whether the midshipmen are actually learning what you expect them to learn.

5. Academic Majors, Minors and Tracks. Every department that administers an academic major, minor or track within a major has already developed midshipman learning goals for that academic program and has reported previously to the academic dean their plans for assessing how well the midshipmen are doing in achieving those midshipman learning goals. During spring, 2007 we ask each of these departments to continue their assessment efforts in accordance with their departmental plans and report results to the academic dean by the end of June, 2007.

6. Supporting Efforts. Over the spring semester, Director of Academic Assessment Dr. Peter Gray and his colleagues on the Faculty Senate Assessment Committee will be assisting individual departments and divisions in accomplishing these tasks. In addition, we will continue the Academy's participation in a few national surveys that appear to add value. For example, in spring, 2005, the Naval Academy participated in the National Survey of Student Engagement (NSSE) and the companion Faculty Survey of Student Engagement (FSSE). Subsequently, the Faculty Senate Assessment Committee analyzed and interpreted the results, particularly in those instances in which the midshipmen reported what was happening in classroom differently than did their professors. In fall, 2007 we will host a faculty colloquium to discuss the results of the 2005 NSSE and FSSE surveys, as well as the Faculty Senate Assessment Committee analysis. Then, we plan to participate in the NSSE and FSSE surveys again in spring, 2008 in order to gather data to better inform our judgments regarding midshipman engagement in best learning practices in the classroom during their four years on the shores of the Severn.

7. Action.

a. Division Directors should engage their respective core curriculum committees to develop an assessment plan related to the midshipman learning goals for that division's contribution to the core and divisional requirements. Each plan should include a clear statement of the capabilities (knowledge, skills, abilities, characteristics) that graduates will gain as a result of satisfactorily completing the division's core and divisional courses, methods and timelines that will be used to provide evidence of midshipman development with regard to these learning goals, and the mechanism(s) that will be used to determine any changes that should occur based on the assessment results. Assessment plans should be submitted in writing to the Academic Dean, copy to the Director of Academic Assessment, by Friday 29 June 2007.

b. Academic Departments administering academic majors, minors or tracks within a major should continue to execute their previously developed academic assessment plans and

should report the following in writing to the Academic Dean, copy to the Director of Academic Assessment, by 29 June 2007:

1. What assessment-related activities have taken place this year?
2. What has been learned about midshipman learning from these assessment activities and what, if any, program or assessment changes have occurred or are planned?
3. What are the department's assessment plans for next year?

/signed/

William C. Miller
Academic Dean and Provost

Copy to:
Vice Academic Dean
Associate Dean for Academic Affairs
Associate Dean for Faculty
Department Chairs
Director of Teaching and Learning
Director of Academic Assessment
Director of Research and Scholarship

Appendix 5

External Review Group Materials

This appendix holds the results and recommendations from the External Review Group.

Final Report
External Review Group
United States Naval Academy Assessment and Institutional Effectiveness

January 10, 2007

Mission In a letter dated November 21, 2006, Vice Admiral Rempt, Superintendent of the United States Naval Academy, asked the External Review Group (ERG) to review the Naval Academy's December 2005 reaccreditation self-study report, the Middle States Association follow-on report, and subsequent Naval Academy actions for the purpose of recommending the best structure for institution-wide assessment, given USNA's mission, organization, and personnel mix; ways to integrate institution-wide assessment into already well-established strategic planning processes; and ways to leverage assessment and strategic planning processes to the greatest advantage in making the case for resources.

External Review Group Members

On-campus Team

Dr. George B. Forsythe
Senior Vice President and Dean of Faculty
Westminster College, Missouri

Dr. Patricia Francis
Assistant Provost for University
Assessment and Academic Initiatives
SUNY System Administration

Off-campus Team

Dr. T. Dary Erwin
Associate Vice-President for
Assessment and Public Policy
James Madison University

President George Santiago, Jr.
Briarcliffe College

Methodology All ERG members reviewed the documents provided by the Naval Academy and met in a conference call to plan the review prior to the on-campus visit (December 3 and 4, 2006). During the on-campus visit, Dr. Forsythe and Dr. Francis met with relevant stakeholders to discuss the self-study report, the Middle States findings, and the Naval Academy's overall approach to assessment. The on-campus team conducted interviews with the following individuals:

Vice Admiral Rodney Rempt, Superintendent
Dr. William Miller, Academic Dean and Provost
Mr. Chet Gladchuk, Athletic Director
Captain Bruce Grooms, Commandant of Midshipman
Captain Peg Klein, in-coming Commandant of Midshipman
Members of the Faculty Senate Assessment Committee
Commander Lou Giannotti, USN (ret), Director of Information Technology

Captain Glenn Gottschalk, USN (ret), Director of Institutional Research
Captain Elizabeth Holmes, USN (ret), Center for Ethical Leadership
Commander Steve Trainor, Department of Leadership, Ethics, and Law
Dr. Peter Gray, Director of Assessment for the Academic Dean
Dr. Michael Halbig, Vice Academic Dean
Colonel David Fuquea, Deputy Athletic Director
Captain John Pasko, Professional Development Division
Captain Robert Parsons, USN (ret), Deputy Superintendent for Finance and CFO (telephonic interview)

Following the on-campus visit, members of the ERG discussed the findings and recommendations during several conference calls and assigned responsibility for drafting the final report. All members of the ERG reviewed drafts of the report prior to submission of the final report in January, 2007.

Findings

We concur with the Naval Academy's self-study report and the follow-up findings of the Middle States team. It is clear that USNA has some work to do in terms of institutional effectiveness and assessment, both at the program level and the institutional level. The Naval Academy has made some progress in the academic area, which has the most advanced approach to assessment of the mission areas. However, academic assessment still requires more work, and the faculty and academic leadership know this.

1. Assessment at the Naval Academy is fragmented and uncoordinated. We found many examples of evaluation across the institution, but evaluation is not necessarily assessment, and what passes as assessment is not integrated with planning and budgeting.

2. There is a lack of a shared and well-articulated conceptual framework for the development of midshipman into officers, with clearly specified and agree-upon graduation outcomes. The ERG understands the Naval Academy is beginning a conversation about graduate attributes, and the study team strongly encourages completion of this work as first priority. Everything else—program planning, assessment, and organizational structure should follow from this conceptual framework.

3. The Naval Academy lacks a conceptual framework for program planning and assessment. There is no assessment model and system that connects program planning and assessment.

4. Expertise in assessment is uneven across mission areas. The academic program has more expertise than is formally present with the Commandant and the Athletic Director. A related matter is that there seems to be a lack of understanding of the similarities and differences between institutional research and assessment. While related, and often coordinated on campuses, these activities generally serve different purposes for leaders/decision makers.

5. The ERG found distinct silos with clearly bounded territories. The study team expects that a strong service culture may help account for such territoriality, with very strong authority and responsibility invested in the person in charge—the captain of the ship. While this cultural artifact may serve the Naval Academy and the Navy well in many ways, it may be an obstacle to effective assessment at the institutional level. However, the exercise of articulating a framework for midshipman-officer development may be a mechanism for integration. Members of the Academy Effectiveness Board understand the necessity for such a framework, and they are committed to developing one for the Naval Academy.

6. Assessment and resource allocation are not connected at the institutional level.

Review of Best Practices in Assessment

1. Assessment is not evaluation or institutional research. Rather, assessment is a process for continuous improvement that is inextricably linked to program planning and implementation. In fact, a continuous assessment model involves the gathering and interpretation of data for improvement at each step of the programming planning and implementation cycle. Such a model should have the following components:

(a) Clearly stated and measurable goals, linked to Navy needs and institutional mission. The goals become the basis for assessing midshipman learning and development.

(b) Program planning that orients on the achievement of goals and objectives. Learning models are conceptual frameworks that describe how midshipman learning and development occur for particular goals in all mission areas. At the institutional level, the learning model is the concept for midshipman-officer development. At the program level, a learning model explains how courses and professional development experiences (e.g., seamanship and sea duty, study abroad, chain of command leadership opportunities) are structured, integrated, and implemented to achieve goals and objectives. At the course/experience level, a learning model explains how learning and development activities are selected, organized, implemented, and assessed to achieve pre-specified goals and objectives. Assessment of program design might take the form of outside peer review, benchmarking best practices, or inside peer review where proposed program designs are compared to extant learning models.

(c) Program implementation that is consistent with the overall framework and focuses on the goals and objectives. Assessment of program implementation might take the form of student surveys of teaching, classroom/training site visitations, faculty/staff surveys, or annual surveys of educational processes (e.g., advising or support educational services). The Naval Academy's use of the National Survey of Student Engagement (NSSE) illustrates assessment of program implementation, because it gathers feedback from students on educational processes that are presumed to promote student engagement in ways that foster learning.

(d) Data collection and analysis that focuses on how programs and their implementation achieve the goals and objectives. Often known as outcomes assessment, this component orients on asking the question, "Did the program contribute to goal achievement?" Outcomes assessment might take the form of embedded assessments (actual performance assessment embedded within the program or curriculum, such as senior theses, portfolios, performance examinations), pre-post assessments (the Watson-Glaser or the Collegiate Learning Assessment—CLA), or performance surveys of graduates and their commanders. The learning models for each goal should specify analytical strategies to be deployed in the assessment of outcomes. Common analytical strategies include: (1) competency assessment or percent passing that includes standard-setting on individual assessment instruments; (2) value-added or longitudinal change; (3) course impact – score differences between students who have completed certain courses versus students who have not yet completed those courses at a given point in time; and (4) correlations between outcome measures and respective course grades.

(e) The use of assessment data to make decisions about improving the design and implementation of programs and allocating resources to meet goals and objectives. Assessment results inform decisions at all levels: courses/training experiences, mission-area programs, and the entire midshipman-officer development system.

Figure 1 provides a sample model for program planning and assessment.

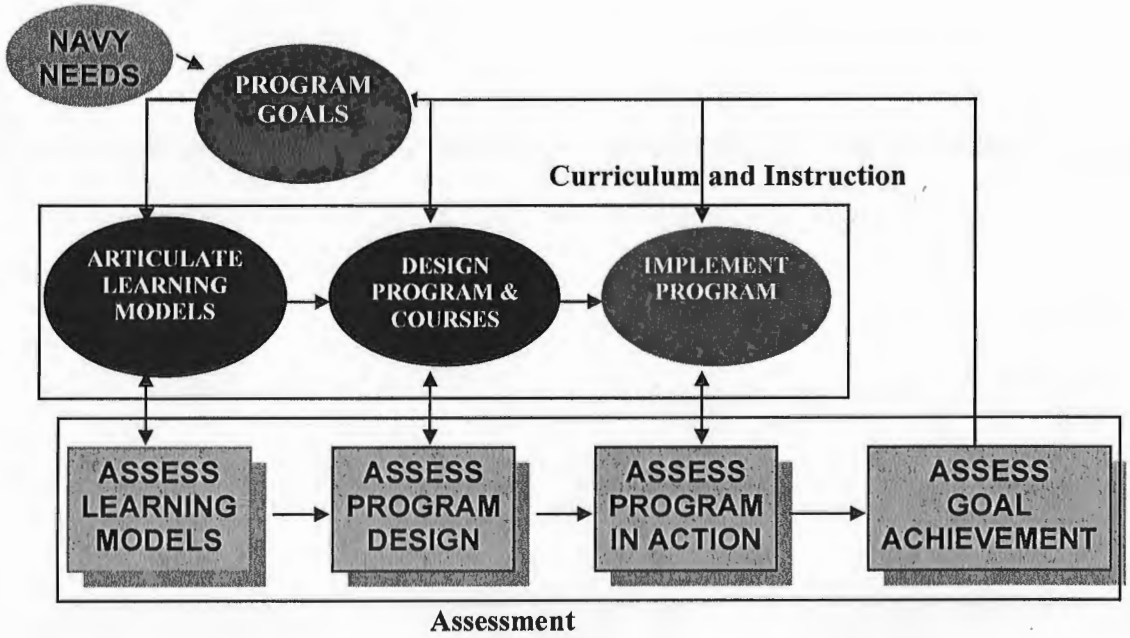


Figure 1
Sample Model for Programming Planning and Assessment

2. Assessment is a line function, not a staff function. It should be a natural component of program planning and should be conducted by those who have responsibility for designing and implementing educational/developmental programs for midshipman. Planning must also include use of assessment results in the consideration of resource allocation or reallocation.

3. Assessment is cultural—it is a way of life and a way of doing business. The Superintendent talked about this when he said during our interview that he wanted to instill an assessment culture at the Naval Academy. This is a great vision, and as he clearly recognizes, cultural change takes time and requires broad participation. Those institutions that succeed in establishing a culture of assessment take the long view, realizing that it takes ten or more years to change an institutional culture in meaningful ways. Such institutions also base decisions at all levels in part on student learning and developmental data.

4. Assessment is about sense-making—understanding how the organization is doing in achieving its mission. In complex organizations sense-making is inherently collaborative. Colleges and universities with effective cultures of assessment are characterized by openness, broad-based participation and collaboration across units, and support from senior leaders. In these institutions, assessment is embedded into the fabric of the institution.

5. The process of building and implementing an assessment system is as important as the outcome: a model, a plan, an assessment. Although there are many models for effective assessment in higher education, successful institutions build an assessment system that makes sense at home. For sure, they benchmark best practices, but they resist the temptation to import another institution's system in total.

Recommendations

1. Coordinate Program Planning and Assessment. Build the Naval Academy's efforts at program coordination and assessment around the Academy Effectiveness Board (AEB). The AEB is an important first step in coordinating and integrating planning and assessment across all midshipman development mission elements. Allow the AEB to function. Initially, charge it with designing (a) a framework for midshipman development (a learning model) around a set of graduate outcomes goals that have been vetted with the Department of the Navy, (b) a model and system that integrates planning and assessment, and (c) a plan for assessment that links and integrates assessment activity all levels of the institution.

2. Accountability. Hold mission chiefs accountable for assessment in their individual areas as it relates to the overall midshipman development mission. Also, hold mission chiefs accountable for integrating their areas at the institutional level through the AEB and allocating resources, in part, based on assessment findings.

3. Structure. The Superintendent asked the External Review Group to consider the ideal structure for developing and administering assessment. Annex A to this report presents our analysis of four alternative options for integrating planning and assessment at the Naval Academy. The ERG believes all options will work, although each has advantages and disadvantages. The senior leaders at the Naval Academy are in the best position to select the option that makes the most sense given its culture and resources.

4. Institutional Effectiveness. We were also asked to consider ways to integrate institution-wide assessment into already well-established strategic planning processes, and to look at ways to leverage assessment and strategic planning to the greatest advantage in making the case for resources. We recommend that the next strategic plan emerge out of the AEB processes as well as from an assessment of the current strategic planning goals. This approach will both connect assessment to strategic planning and provide some degree of continuity in institutional strategic planning across time.

5. Resources.

(a) The ERG recommends the Naval Academy consider allocating additional money for released time and stipends so that faculty and staff can spend the time to interpret assessment data and close the loop on the assessment process. Particularly for the civilian faculty, who are on ten-month appointments, there is no time in the summer to analyze the assessment data. Stipends and released time would help solve this problem, resulting in a tighter connection between assessment and program improvement.

(b) Although there are pockets of assessment expertise at the Naval Academy, the study team recommends the investment in faculty and staff development to build the intellectual bench across mission elements through a combination of off-yard conferences and in-house workshops.

(c) The ERG recommends additional staff hires with specific assessment expertise to support the overall efforts. There are several options for organizing assessment expertise. The Naval Academy might consider assigning one expert in each mission area, but with different specific expertise (quantitative versus qualitative) so they must collaborate. This approach provides each mission director with an assessment support person who also ensures some degree of continuity within the mission element. Alternatively, the Naval Academy may elect to centralize the staff expertise to provide support to the AEB and to work across mission areas.

(d) In the area of resource management, the ERG recommends a careful consideration of assessment findings when deciding how to allocate resources. Cost center directors should be asking about the effectiveness of programs and policies in achieving goals and using this information to decide how to spend the resources entrusted to the Naval Academy.

6. Possible short-term actions. The Superintendent asked the ERG to consider a few short-term actions ("low-hanging fruit") to jump start the assessment efforts. We offer three suggestions.

(a) Talk to your customers. The ERG suggests conducting focus group interviews concerning graduate attributes with officers at the Prospective Commanding Officers School. This would allow the Naval Academy to validate the attributes with the fleet and get a sense for how the attributes are manifested in terms of actual officer performance after graduation. Such information will be very helpful in articulating midshipman-officer developmental goals and designing outcome assessments. This approach will also demonstrate the Naval Academy's commitment to listen to its customers on a continuous basis.

(b) Build off the ABET survey of graduates/commanders to obtain performance assessment data from the fleet. Although the ABET surveys may be more focused on engineering performance, the methods and techniques used to sample graduate performance may provide some insights as the Naval Academy begins to design post-graduation outcomes assessments.

(c) Share the information that is already available. A consistent theme in many of our interviews was the fact that the Naval Academy has plenty of data that simply has not been shared. We recommend doing so immediately. This act of transparency would make stakeholders, particularly faculty, feel in the loop. It is a quick way to build trust and confidence in the senior leaders' commitment to assessment, improvement, and institutional effectiveness.

(d) Scheduled public in-academy reporting of the past year's assessment report, starting with exemplary programs, and posting of these reports on the institution's web site. Such sharing provides the community with important feedback about program effectiveness and illustrates assessment practices that work.

Conclusion

The members of the ERG on-campus team were impressed by the commitment and candor of everyone we interviewed during the campus visit. It is clear the senior leaders, faculty, and staff appreciate the value of assessment, and they desire to establish an assessment system that makes sense for the Naval Academy.

Although the ERG understands the impulse to begin assessment activities immediately, the study team believes that prior work needs to take place if assessment is to become embedded in the Naval Academy culture. The study team encourages the Naval Academy to begin by articulating a set of graduate outcome goals which then become the basis for creating a model for midshipman-officer development. Furthermore, the Naval Academy must design a model and a system that coordinates planning, implementation, and program assessment.

Only when these conceptual frameworks are in place can the faculty and staff begin to design and implement an assessment plan. The study team is convinced that this conceptual groundwork must be in place if assessment activities are to have any meaning.

The ERG members are grateful for the opportunity to work with the faculty and staff of the Naval Academy on this important topic. Thank you for your openness and hospitality during our visit to Annapolis.

Dr. George B. Forsythe
Senior Vice President and Dean of Faculty
Westminster College, Missouri

Dr. Patricia Francis
Assistant Provost for University
Assessment and Academic Initiatives
SUNY System Administration

Dr. T. Dary Erwin
Associate Vice-President for
Assessment and Public Policy
Affiliated Faculty with the Center for
Assessment and Research Studies
James Madison University

President George Santiago, Jr.
Briarcliffe College

Annex A
Structural Options

Option 1 Dean for Assessment and Strategic Planning

Description: Reporting to the Superintendent, USNA, the Dean for Assessment and Strategic Planning is responsible for overseeing the institutional effectiveness (IE) plan, Academy Effectiveness Board, and IE implementation, as well as, related strategic planning and assessment activities and would serve as the point of contact for all Academy issues related to educational assessment, institutional effectiveness, and strategic planning. The Dean will establish effective working liaisons with all USNA departments and divisions, providing assistance that will enable the Academy to improve its effectiveness in enhancing the learning and development of combat leaders of character for the Navy and Marine Corps.

Advantages:

Single agent responsible to the Superintendent for implementing institutional-level planning and assessment at the Naval Academy (torch bearer)

Sends a dramatic message that the Superintendent is serious about assessment

Provides the Superintendent with senior-level assistance for coordinating strategic planning and assessment

Sends the message that assessment is a campus-wide activity not limited to the academic arena; it reinforces the concept of midshipmen development into the institutional culture

Disadvantages:

Difficult to find someone with expertise in both midshipman-officer development (programming) and educational assessment

Relationship to members of the executive leadership team (dean, commandant, director of athletics) is unclear

High cost

Potentially separates assessment from programming, unless the Superintendent empowers this position with both responsibilities

Provides for "form" before the "functions" are clearly identified

Option 2 Academy Effectiveness Board

Description: Composed of the Vice Academic Dean, the Deputy Director of Athletics, and the Deputy Commandant, the assessment staff in each mission element, and the Director of Institutional Research, the AEB oversees all institutional-level strategic planning and program assessment for the Superintendent. Chaired by the Vice Academic Dean, the AEB's first task is to articulate a framework for midshipman development around a set of graduate outcome goals (vetted with the Department of the Navy) and derive a model, system, and plan for assessment at all levels. Once the assessment system and plan are established, the AEB will integrate all institutional-level planning and assessment efforts.

Advantages:

Integrates planning, programming, and assessment

Requires mission elements to collaborate on planning and assessment, thus breaking down stovepipes

Maintains chain of command

Holds all mission element leaders responsible and accountable for planning and assessment, both within their cost centers and across cost centers

Provides multiple torch bearers, with one responsible agent of the Vice Academic Dean as chair of the AEB

Disadvantages:

May unduly burden already senior leaders who are already very busy

Not as dramatic a statement as establishing Dean for Assessment and Strategic Planning

Option 3 Director of Plans and Assessment

Description: The Director of Plans and Assessment is a special staff officer reporting to the Superintendent and is responsible for coordinating and monitoring institutional-level planning and assessment. The Director will be a member of the Academy Effectiveness Board, functioning as a facilitator and subject-matter expert for the AEB for strategic planning and assessment.

Advantages:

Single agent responsible to the Superintendent for implementing institutional-level planning and assessment at the Naval Academy (torch bearer)

Provides Superintendent with staff assistance for coordinating strategic planning and assessment

Disadvantages:

Difficult to find someone with expertise in both midshipman-officer development (programming) and educational assessment

Potentially separates assessment from programming, unless the Superintendent empowers this position with both responsibilities

Option 4 Task Force on Institutional Assessment

Description: This option focuses the Naval Academy's initial efforts on articulating the conceptual framework for planning and assessment. With this option, the Superintendent charters the Task Force on Institutional Planning and Assessment with the mission to design a model and system for institutional planning and program assessment at the Naval Academy that is mission centric and goals-based. The Task Force, chaired by a subject-matter expert at the Naval Academy, will include members of all mission elements (academics, commandant, athletics and physical education, admissions, and institutional research). The AEB will provide strategic guidance and oversight to the Task Force. The Task Force will be the "torch bearer" for Naval Academy assessment initiatives, leading the planning and assessment design effort at the Naval Academy and recommending to the Superintendent and executive leadership team a system and structure for institutional planning and assessment. The Task Force will disband once a system and plan are in place and an institutional structure is established to coordinate and integrate planning and assessment.

Advantages:

Recognizes that before the Naval Academy can begin planning assessment, it must first have a model and system for integrating planning and assessment

Requires mission elements to collaborate on planning and assessment, thus breakdown stovepipes

Integrates planning, programming, and assessment

Provides a respected torch bearer with expertise in assessment who understands Naval Academy culture

Builds a culture of assessment gradually with broad-based participation

Focuses on articulating "functions" before creating "form"

Disadvantages:

Not as dramatic a statement as establishing Dean for Assessment and Strategic Planning

Appendix 6

Alumni and Naval Service Survey Instruments

The purpose of this appendix is to provide current versions of two draft survey instruments intended to go to officers in the Fleet. One survey is intended for graduates who are junior officers while the other instrument will target their supervisors who are both graduates and non-graduates. The surveys are intended to be administered during the summer of 2007. These initial efforts will provide feedback from our primary customers ensuring their assessment of our graduates' abilities is considered in our overall assessment efforts. Ultimately, it is our graduates' performance in both their initial post graduate work and their subsequent military and professional careers which will be the true measure of our fulfillment of the Naval Academy mission.

This initial survey effort is expected to serve as the foundation from which more complete and effective survey instruments can be developed. Initial feedback from our customers is critical in this development and could yield tangible suggestions to further strengthen our curriculum and assessment efforts. Similar surveys have already been utilized in assessing our academic curriculum effectiveness as it relates to certain specific majors, such as, engineering and computer science.

The two draft surveys as they are currently structured are provided on the following pages. Significant revision before initial execution can be expected.

Fleet Survey of Commanding Officers and Senior Enlisted Regarding First Tour USNA Graduates

Section 1. Demographics

1. What is your rank?

- ○ A. 0-6
- ○ B. 0-5
- ○ C. E7/E8/E9
- ○ D. Other

2. What is your warfare area?

- ○ A. Air
- ○ B. Surface
- ○ C. Submarines
- ○ D. USMC
- ○ E. Other

3. This is your _____.

- ○ A. First Command Tour
- ○ B. Subsequent Command Tour
- ○ C. Not applicable/senior enlisted

4. How long have you been at this command?

- ○ A. Less than six months
- ○ B. Six months to a year
- ○ C. More than a year

Section 2. Characteristics/Attributes:

5. Which of these attributes/characteristics are most important for junior officers within your command? (Check your top three.)

- ☐ A. Courageous combat leaders
- ☐ B. Officers who take responsibility for their personal and professional decisions and actions
- ☐ C. Role models of ethical behavior and moral conduct
- ☐ D. Exemplars of academic, technical, and tactical competence
- ☐ E. Individuals with a passion and commitment to lifelong learning and physical fitness
- ☐ F. Highly effective communicators
- ☐ G. Leaders who recognize and value individual excellence regardless of culture, ethnicity, race, religion, or gender
- ☐ H. Familiar with geopolitical complexities and cultural differences that affect decision making across the spectrum of military operations
- ☐ I. Patriots who epitomize the rich heritage, honor, and traditions of the Navy, Marine Corps and our country

6. Which of these attributes/characteristics are successfully demonstrated by first tour Naval Academy graduates in your command? (Check all that apply.)

- ☐ A. Courageous combat leaders
- ☐ B. Officers who take responsibility for their personal and professional decisions and actions
- ☐ C. Role models of ethical behavior and moral conduct
- ☐ D. Exemplars of academic, technical, and tactical competence
- ☐ E. Individuals with a passion and commitment to lifelong learning and physical fitness
- ☐ F. Highly effective communicators
- ☐ G. Leaders who recognize and value individual excellence regardless of culture, ethnicity, race, religion, or gender
- ☐ H. Familiar with geopolitical complexities and cultural differences that affect decision making across the spectrum of military operations
- ☐ I. Patriots who epitomize the rich heritage, honor, and traditions of the Navy, Marine Corps and our country

7. Of these attributes/characteristics, which are least evident in Naval Academy graduates? (Check up to three.)

- ☐ A. Courageous combat leaders

- ☐ B. Officers who take responsibility for their personal and professional decisions and actions
- ☐ C. Role models of ethical behavior and moral conduct
- ☐ D. Exemplars of academic, technical, and tactical competence
- ☐ E. Individuals with a passion and commitment to lifelong learning and physical fitness
- ☐ F. Highly effective communicators
- ☐ G. Leaders who recognize and value individual excellence regardless of culture, ethnicity, race, religion, or gender
- ☐ H. Familiar with geopolitical complexities and cultural differences that affect decision making across the spectrum of military operations
- ☐ I. Patriots who epitomize the rich heritage, honor, and traditions of the Navy, Marine Corps and our country

8. If there are attributes/characteristics other than those listed which you desire your junior officers to possess, please provide in the box below.

Section 3. Professional Skill Development

Below is a list of skills expected of Naval Academy graduates based on professional training provided by USNA. Please indicate your evaluation of these skills in the first tour Naval Academy graduates at your command.

	Excellent	Above Average	Average	Below Average	Poor	No Opinion/Not Observed
9. Basic Seamanship Skills	○	○	○	○	○	○
10. Basic Navigation Skills	○	○	○	○	○	○
11. Basic Watchstanding Skills	○	○	○	○	○	○
12. Overall Management Skills	○	○	○	○	○	○
13. Basic Organizational Skills	○	○	○	○	○	○
14. Overall Leadership Skills	○	○	○	○	○	○

15. Which of these professional skills would you consider most critical for a junior officer's success at your command?

- ○ Basic Seamanship Skills
- ○ Basic Navigation Skills
- ○ Basic Watchstanding Skills
- ○ Overall Management Skills
- ○ Basic Organizational Skills
- ○ Overall Leadership Skills
- ○ All Are Equally Important

How would you rate the following professional attributes as demonstrated by first tour Naval Academy graduates in your command?

	Excellent	Above Average	Average	Below Average	Poor	No Opinion/Not Observed
16. Military Decorum	○	○	○	○	○	○
17. Professional Attitude	○	○	○	○	○	○
18. Personal Integrity	○	○	○	○	○	○
19. Maturity	○	○	○	○	○	○
20. Military Appearance	○	○	○	○	○	○
21. Time Management	○	○	○	○	○	○

	Excellent	Above Average	Average	Below Average	Poor	No Opinion/Not Observed
22. Oral Communications	○	○	○	○	○	○
23. Written Communications	○	○	○	○	○	○
24. Goal Setting	○	○	○	○	○	○

Section 4. Dignity/Respect

Based on your observations how would you respond to the following?

25. USNA graduates within your command possess a strong moral compass.

- ○ Strongly Agree
- ○ Agree
- ○ Neutral
- ○ Disagree
- ○ Strongly Disagree
- ○ Not Observed

26. USNA graduates within your command lead with exemplary character.

- ○ Strongly Agree
- ○ Agree
- ○ Neutral
- ○ Disagree
- ○ Strongly Disagree
- ○ Not Observed

27. USNA graduates within your command carry out their duties with the highest sense of personal integrity and honor.

- ○ Strongly Agree
- ○ Agree
- ○ Neutral
- ○ Disagree
- ○ Strongly Disagree
- ○ Not Observed

28. USNA graduates within your command set and maintain a professional work environment.

- ○ Strongly Agree
- ○ Agree
- ○ Neutral
- ○ Disagree
- ○ Strongly Disagree
- ○ Not Observed

29. USNA graduates within your command demonstrate an appreciation for the value of personnel diversity.

- ○ Strongly Agree
- ○ Agree
- ○ Neutral
- ○ Disagree
- ○ Strongly Disagree
- ○ Not Observed

30. USNA graduates within your command treat others respectfully regardless of race, ethnicity or gender.

- ○ Strongly Agree
- ○ Agree
- ○ Neutral
- ○ Disagree

- Strongly Disagree
- Not Observed

Section 5. Personal Development/Growth

Based on your observations how would you respond to the following?

31. USNA graduates in your command demonstrate the physical toughness required of warriors.

- Strongly Agree
- Agree
- Neutral
- Disagree
- Strongly Disagree
- Not Observed

32. USNA graduates in your command lead by example.

- Strongly Agree
- Agree
- Neutral
- Disagree
- Strongly Disagree
- Not Observed

33. USNA graduates in your command demonstrate a commitment to maintain themselves at the highest level of physical fitness.

- Strongly Agree
- Agree
- Neutral
- Disagree
- Strongly Disagree
- Not Observed

34. USNA graduates in your command ensure their subordinates meet or exceed required physical fitness standards.

- Strongly Agree
- Agree
- Neutral
- Disagree
- Strongly Disagree
- Not Observed

35. USNA graduates in your command operate satisfactorily in demanding and stressful environments.

- Strongly Agree
- Agree
- Neutral
- Disagree
- Strongly Disagree
- Not Observed

36. USNA graduates in your command are team builders and motivate others to excel.

- Strongly Agree
- Agree
- Neutral
- Disagree
- Strongly Disagree
- Not Observed

37. USNA graduates in your command demonstrate responsible personal use of alcohol.

- Strongly Agree
- Agree
- Neutral
- Disagree
- Strongly Disagree
- Not Observed

38. USNA graduates in your command demonstrate continuous self improvement.

- Strongly Agree
- Agree
- Neutral
- Disagree
- Strongly Disagree
- Not Observed

39. USNA graduates in your command achieve professional qualifications at a rate equal to or faster than junior officers from other commissioning sources.

- Strongly Agree
- Agree
- Neutral
- Disagree
- Strongly Disagree
- Not Observed

40. USNA graduates in your command are motivated towards a military career.

- Strongly Agree
- Agree
- Neutral
- Disagree
- Strongly Disagree
- Not Observed

Submit | Clear All Answers

Fleet Survey For Recent USNA Graduates

Section 1. Demographics/Background

1. What is your rank?

- ○ A. 03
- ○ B. 02
- ○ C. 01
- ○ D. Other

2. What is your warfare area?

- ○ A. Air
- ○ B. Surface
- ○ C. Submarines
- ○ D. USMC
- ○ E. Other

3. This is your _____.

- ○ A. First Tour
- ○ B. Subsequent Tour

4. How long have you been at this command?

- ○ A. Less than six months
- ○ B. Six months to a year
- ○ C. More than a year

Section 2. Characteristics/Attributes:

Below is a list of characteristics/attributes expected of Naval Academy graduates. Please provide your confidence level for each.

	Very Confident	Confident	Tentative	Not Confident	Unknown/NA
5. Courageous combat leaders	○	○	○	○	○
6. Officers who take responsibility for their personal and professional decisions and actions	○	○	○	○	○
7. Role models of ethical behavior and moral conduct	○	○	○	○	○

8. Exemplars of academic, technical, and tactical competence	○	○	○	○	○
9. Individuals with a passion and commitment to lifelong learning and physical fitness	○	○	○	○	○
10. Highly effective communicators	○	○	○	○	○
11. Leaders who recognize and value individual excellence regardless of culture, ethnicity, race, religion, or gender	○	○	○	○	○
12. Familiar with geopolitical complexities and cultural differences that affect decision making across the spectrum of military operations	○	○	○	○	○
13. Patriots who epitomize the rich heritage, honor, and traditions of the Navy, Marine Corps and our country	○	○	○	○	○

14. Which of these attributes/characteristics do you feel were most important to your success in your first tour? (Check up to three.)

- ☐ A. Courageous combat leaders
- ☐ B. Officers who take responsibility for their personal and professional decisions and actions
- ☐ C. Role models of ethical behavior and moral conduct
- ☐ D. Exemplars of academic, technical, and tactical competence
- ☐ E. Individuals with a passion and commitment to lifelong learning and physical fitness
- ☐ F. Highly effective communicators
- ☐ G. Leaders who recognize and value individual excellence regardless of culture, ethnicity, race, religion, or gender
- ☐ H. Familiar with geopolitical complexities and cultural differences that affect decision making across the spectrum of military operations
- ☐ I. Patriots who epitomize the rich heritage, honor, and traditions of the Navy, Marine Corps and our country

15. Which of these attributes/characteristics do you feel were least important to your success in your first tour? (Check up to three.)

- ☐ A. Courageous combat leaders
- ☐ B. Officers who take responsibility for their personal and professional decisions and actions
- ☐ C. Role models of ethical behavior and moral conduct
- ☐ D. Exemplars of academic, technical, and tactical competence
- ☐ E. Individuals with a passion and commitment to lifelong learning and physical fitness
- ☐ F. Highly effective communicators
- ☐ G. Leaders who recognize and value individual excellence regardless of culture, ethnicity, race, religion, or gender
- ☐ H. Familiar with geopolitical complexities and cultural differences that affect decision making across the spectrum of military operations

☐ I. Patriots who epitomize the rich heritage, honor, and traditions of the Navy, Marine Corps and our country

Section 3. Professional Skill Development

Below is a list of skills expected of Naval Academy graduates. Please indicate your confidence level in each area at your current command.

	Very Confident	Confident	Tentative	Not Confident	Unknown/NA
16. Basic Seamanship Skills	○	○	○	○	○
17. Basic Navigation Skills	○	○	○	○	○
18. Basic Watchstanding Skills	○	○	○	○	○
19. Overall Management Skills	○	○	○	○	○
20. Basic Organizational Skills	○	○	○	○	○
21. Overall Leadership Skills	○	○	○	○	○

Below is a list of professional attributes expected of Naval Academy graduates. Please indicate your confidence level in each area at your current command.

	Very Confident	Confident	Tentative	Not Confident	Unknown/NA
22. Military Decorum	○	○	○	○	○
23. Professional Attitude	○	○	○	○	○
24. Personal Integrity	○	○	○	○	○
25. Maturity	○	○	○	○	○
26. Military Appearance	○	○	○	○	○
27. Time Management	○	○	○	○	○
28. Oral Communications	○	○	○	○	○
29. Written Communications	○	○	○	○	○
30. Goal Setting	○	○	○	○	○

Section 4. Dignity/Respect

How would you respond to the following statements?

31. I feel an obligation to promote a climate of dignity and mutual respect within the command.

○ Strongly Agree

- ○ Agree
- ○ Neutral
- ○ Disagree
- ○ Strongly Disagree
- ○ No Opinion

32. I am comfortable working with members of different ethnic or racial groups.

- ○ Strongly Agree
- ○ Agree
- ○ Neutral
- ○ Disagree
- ○ Strongly Disagree
- ○ No Opinion

33. I am comfortable working with officers and enlisted of the opposite gender in a professional environment.

- ○ Strongly Agree
- ○ Agree
- ○ Neutral
- ○ Disagree
- ○ Strongly Disagree
- ○ No Opinion

34. I have a strong appreciation for the value of diversity within the military.

- ○ Strongly Agree
- ○ Agree
- ○ Neutral
- ○ Disagree
- ○ Strongly Disagree
- ○ No Opinion

35. I am motivated to promote teamwork and cohesion within my command.

- ○ Strongly Agree
- ○ Agree
- ○ Neutral
- ○ Disagree
- ○ Strongly Disagree
- ○ No Opinion

36. I possess the mental and moral courage to be effective as a leader of character.

- ○ Strongly Agree
- ○ Agree
- ○ Neutral
- ○ Disagree
- ○ Strongly Disagree
- ○ No Opinion

37. My USNA experience provided me with the ability to lead my subordinates with a strong sense of right and wrong.

- ○ Strongly Agree
- ○ Agree
- ○ Neutral
- ○ Disagree
- ○ Strongly Disagree
- ○ No Opinion

38. I stay the moral course regardless of any pressure to do otherwise.

- ○ Always
- ○ Occasionally
- ○ Neutral
- ○ Rarely
- ○ Never

Section 5. Personal Development/Growth

45. The USNA physical education program provided me a good foundation for lifelong fitness.

- ○ Strongly Agree
- ○ Agree
- ○ Neutral
- ○ Disagree
- ○ Strongly Disagree
- ○ No Opinion

42. I am motivated to maintain a high level of physical fitness.

- ○ Strongly Agree
- ○ Agree
- ○ Neutral
- ○ Disagree
- ○ Strongly Disagree

- ○ No Opinion

43. I have the training required to establish a formal fitness program at my command.

- ○ Strongly Agree
- ○ Agree
- ○ Neutral
- ○ Disagree
- ○ Strongly Disagree
- ○ No Opinion

44. I possess the physical toughness required to lead in any environment.

- ○ Strongly Agree
- ○ Agree
- ○ Neutral
- ○ Disagree
- ○ Strongly Disagree
- ○ No Opinion

45. I am motivated to being an exemplary role model in both my personal and professional life.

- ○ Strongly Agree
- ○ Agree
- ○ Neutral
- ○ Disagree
- ○ Strongly Disagree
- ○ No Opinion

46. As a leader of character, I appreciate the importance of using alcohol responsibly.

- ○ Strongly Agree
- ○ Agree
- ○ Neutral
- ○ Disagree
- ○ Strongly Disagree
- ○ No Opinion

47. Overall, my Naval Academy experience prepared me well for my role as a junior officer and leader of character.

- ○ Strongly Agree
- ○ Agree
- ○ Neutral
- ○ Disagree

○ Strongly Disagree

Submit | Clear All Answers

Appendix 7

Strategic Planning Assessment

The purpose of this appendix is to outline the process and methodology the Naval Academy intends to employ to ensure that assessment is an integral part of our Strategic Planning efforts. The approach is to take each goal, establish the intended outcomes for each goal's objectives, development means/criteria/metrics for assessing the intended outcomes, assigning a person/organization responsible for conducting the assessment and provide a formal feedback mechanism/system.

The initial phase of this effort is to review all the goals and their associated objectives over a one year period and establish the initial set of intended outcomes, means of assessment, responsibility for assessment, and feedback mechanism. Once these are established and the first assessment completed, they will be refined, expanded, or modified as appropriate over our five year assessment plan to ensure they are both reasonable and effective in providing continual improvement in the fulfillment of the Naval Academy mission.

The schedule for executing this initial phase is outlined below. Two of the goals had been completed, two are in progress, and the rest are scheduled as indicated. The results of the initial phase for the Admissions goal are provided in pages 7-2 through 7-20 as an example of our approach.

Goal	Status
Admissions	Completed
Professional Training	Completed
Business Processes	In Progress
Officer Development System	In Progress
Physical Development	April-June 07
Facilities	June-August 07
Midshipmen Life/Development	August-October 07
Academic Excellence	October-December 07
Security	December-February 08
Resources (Human and Fiscal)	February-April 08

Admissions

Goal: Provide a streamlined candidate identification and selection process that provides career-motivated men and women who have the potential to develop professionally to meet the diverse needs of the Naval Service.

To achieve this goal we must continually assess the marketing process, the feeder systems, the overall admissions process, and the performance of our graduates in meeting the needs of the Naval Service. The focus of this assessment must be on our effectiveness in identifying candidates who satisfy the education, accession, promotion, and career retention goals for officers in the Naval Service. This includes diversity, career motivation, professional development, physical readiness, academic prowess, and leadership potential.

Assessment of the Naval Academy's admissions process is outlined below:

Marketing
-Candidate Visit Weekends
-Educators/Centers of Influence
-Naval Academy Information Officers
-Naval Academy Summer Seminar
-Operation Information
-Admissions Information Program
-Admissions College Fair
-Congressional Academy Day

Feeder Systems
-Naval Academy Preparatory School
-Naval Academy Foundation Scholarships

Admission Process
-Overall Admissions Cycle
-Record Quick Review
-Candidate Fitness Assessment
-Completed Records
-Medical Process
-Nomination Process

MARKETING/OUTREACH

CANDIDATE VISIT WEEKEND (CVW)

Objective/Project	Intended Outcome	Assessment Means/ Criteria	Assessment Responsibility	Feedback Mechanism/ Distribution
Improve marketing process such that it effectively identifies those candidates who satisfy the education, accession, promotion, and career retention goals for officers in the Naval Service.	1. Candidate Visit Weekend (CVW) is effective in providing information about USNA to candidates who are competitive for an appointment.	1a. 65% of candidates invited to CVW receive offers of appointments to USNA, NAPS, or Foundation.	Director of Admissions	Dean of Admissions SLT
		1b. 90% of candidates who come for CVW and accept offer of appointment ultimately graduate.	Director of Admissions Institutional Research	Dean of Admissions SLT
	2. Additional evaluation of candidate potential as a midshipman.	2. Candidate evaluation form.	Director of Admissions	Dean of Admissions

MARKETING/OUTREACH

EDUCATORS/CENTERS OF INFLUENCE

Objective/Project	Intended Outcome	Assessment Means/ Criteria	Assessment Responsibility	Feedback Mechanism/ Distribution
Improve marketing process such that it effectively identifies those candidates who satisfy the education, accession, promotion, and career retention goals for officers in the Naval Service.	1. Educator/Centers of Influence program are effective in increasing awareness of USNA to students nationwide.	1. Each educator and others attending COI/EOVs identify at least 5 students/contacts yearly who become applicants for admission.	Director of Admissions	Dean of Admissions

MARKETING/ OUTREACH

NAVAL ACADEMY INFORMATION OFFICER (NAIO)

Objective/Project	Intended Outcome	Assessment Means/ Criteria	Assessment Responsibility	Feedback Mechanism/ Distribution
Ensure correct information about USNA is provided to maximum number of potential candidates for admission.	1. Naval Academy Information Officers are properly trained with respect to USNA mission, goals, and current admissions procedures.	1a. Each NAIO has initial training within two years of becoming NAIO.	Director of Admissions	Dean of Admissions
		1b. Each NAIO receives refresher training every five years	Director of Admissions	Dean of Admissions
	2. Naval Academy Information Officers actively recruit candidates for USNA.	2. Each NAIO visits every high school within his/her area of responsibility every year.	Director of Admissions	Dean of Admissions
	3. NAIO effectively communicates information concerning USNA to candidates.	3. Admissions section of Values Survey	Institutional Research	Superintendent Dean of Admissions
Ensure accurate and complete information is received about each candidate whose record is reviewed by the Admissions Board.	4. NAIOs arrange personal interviews with candidates in their area of responsibility.	4. 98% of records reviewed by Admissions Board have NAIO interview.	Candidate Guidance Officer	Dean of Admissions
	5. NAIOs provide accurate written review of candidate interview.	5a. No more than 20% of NAIO interviews in each area have Top five percent evaluation.	Candidate Guidance Officer	Dean of Admissions
		5b. No more than 10% of NAIO interviews are rejected.	Candidate Guidance Officer	Dean of Admissions

MARKETING/OUTREACH

NAVAL ACADEMY SUMMER SEMINAR (NASS)

Objective/Project	Intended Outcome	Assessment Means/ Criteria	Assessment Responsibility	Feedback Mechanism/ Distribution
Ensure a sufficiently large, qualified and diverse applicant pool.	1. NASS attendees receive sufficient information to make an informed decision with regard to pursuing admission to USNA.	1a. 65% of NASS attendees complete the admissions process.	Institutional Research	Dean of Admissions
		1b. Plebe Year voluntary attrition for NASS attendees should be less than the rate of non-attendees.	Institutional Research	Dean of Admissions
	2. Improve diversity within the applicant pool.	2a. Percentage of NASS participants who are minorities should exceed 25 percent.	Candidate Guidance Officer	Dean of Admissions Outreach Coordinator
		2b. Percentage of minority NASS attendees who apply to USNA should be equal to or greater than non-minorities.	Candidate Guidance Officer	Dean of Admissions Outreach Coordinator
		2c. Percentage of female NASS participants should exceed 20%.	Candidate Guidance Officer	Dean of Admissions
		2d. Percentage of female NASS attendees who apply to USNA should be equal to or greater than male attendees.	Candidate Guidance Officer	Dean of Admissions
		2e. NASS attendees should come from all 50 states.	Candidate Guidance Officer	Dean of Admissions
	3. Additional evaluation of candidate as potential to be a midshipman.	3. NASS Candidate Evaluation Form	Candidate Guidance Officer	Dean of Admissions

MARKETING/OUTREACH NAVAL ACADEMY SUMMER SEMINAR (NASS)				
Increase leadership opportunity for midshipmen.	4. Provide quality leadership opportunities for 1/C and 3/C midshipmen. 5. Cadre representation is reflective of Brigade	4. Experience Survey of 1/C and 3/C midshipmen in leadership positions within NASS. 5. Percent of females and minorities in cadre equal to percent in Brigade.	Institutional Research Deputy Commandant	Commandant Officer Development Dean of Admissions Commandant Dean of Admissions

MARKETING/OUTREACH

OPERATION INFORMATION

Objective/Project	Intended Outcome	Assessment Means/ Criteria	Assessment Responsibility	Feedback Mechanism/ Distribution
Ensure a sufficiently large, qualified and diverse applicant pool.	1. Increase awareness in local communities.	1a. Percent of minority midshipmen participating in OpInfo equal to or exceeds percent of minority midshipmen in the Brigade.	Institutional Research	Dean of Admissions
		1b. Percent of female midshipmen participating in OpInfo equal to or exceeds percent of female midshipmen in the Brigade.	Institutional Research	Dean of Admissions
	2. OpInfo areas are those identified by marketing plan	2. Visit 85% or more of areas identified in the Marketing Plan.	Candidate Guidance Officer/Assoc Director of Admissions	Dean of Admissions Outreach Coordinator
	3. Midshipmen increase awareness of USNA in all areas of their community	3a. Midshipmen schedule at least 5 events during OpInfo.	Candidate Guidance Officer/Assoc Director of Admissions	Dean of Admissions Outreach Coordinator
		3b. Midshipmen produce an average of 5 good student contacts per event.	Candidate Guidance Officer/Assoc Director of Admissions	Dean of Admissions Outreach Coordinator
		3c. Midshipmen produce an average of 1 good school official contact per event.	Candidate Guidance Officer/Assoc Director of Admissions	Dean of Admissions Outreach Coordinator

MARKETING/OUTREACH

ADMISSIONS INFORMATION PROGRAM

Objective/Project	Intended Outcome	Assessment Means/ Criteria	Assessment Responsiblity	Feedback Mechanism/ Distribution
Ensure a sufficiently large, qualified and diverse applicant pool.	1. Increase awareness in local communities.	1. Percent of prospective candidates participating in Admissions Information Forums exceeds 10% of mailout.	Candidate Guidance Officer	Dean of Admissions
	2. Admissions Information Program areas are those identified by marketing plan	2. Visit 85% or more of areas identified in the Marketing Plan.	Candidate Guidance Officer	Dean of Admissions
	3. Midshipmen increase awareness of USNA in all areas identified by marketing plan	3a. Midshipmen participate in 75% of Admissions Information Programs.	Candidate Guidance Officer	Dean of Admissions
		3b. Midshipmen produce an average of 5 good student contacts per event.		Dean of Admissions
		3c. Midshipmen produce an average of 1 good school official contact per event.	Candidate Guidance Officer	

MARKETING/OUTREACH

ADMISSIONS COLLEGE FAIR PROGRAM

Objective/Project	Intended Outcome	Assessment Means/ Criteria	Assessment Responsibility	Feedback Mechanism/ Distribution
Ensure a sufficiently large, qualified and diverse applicant pool.	1. Increase awareness in local communities.	1. Produce an average of 5 good student contacts per event.	Candidate Guidance Officer	Dean of Admissions
	2. Attend College Fairs in areas identified by Marketing Plan.	2. Visit 85% or more of areas identified in the Marketing Plan.	Candidate Guidance Officer	Dean of Admissions

MARKETING/OUTREACH

CONGRESSIONAL ACADEMY DAY PROGRAM

Objective/Project	Intended Outcome	Assessment Means/ Criteria	Assessment Responsibility	Feedback Mechanism/ Distribution
Ensure a sufficiently large, qualified and diverse applicant pool.	1. Increase awareness in local communities.	1. 100% participation by Admissions representatives at Congressional Academy Day programs.	Candidate Guidance Officer	Dean of Admissions
	2. Midshipmen increase awareness of USNA in all areas identified by Congressional Academy Day requests.	2a. Midshipmen participate in 75% of Congressional Academy Day Programs.	Candidate Guidance Officer	Dean of Admissions Commandant
		2b. Midshipmen produce an average of 5 good student contacts per event.	Candidate Guidance Officer	Dean of Admissions
		2c. Midshipmen produce an average of 1 good school official contact per event.	Candidate Guidance Officer	Dean of Admissions

NAVAL ACADEMY FEEDER SYSTEMS

NAVAL ACADEMY PREPARATORY SCHOOL (NAPS)

Objective/Project	Intended Outcome	Assessment Means/ Criteria	Assessment Responsibility	Feedback Mechanism/ Distribution
Evaluate effectiveness of Foundation scholarships, NAPS, and other admissions feeder systems in supporting the USNA missions and the needs of the naval service.	1. Provide candidates whose overall performance as midshipmen equal or exceed those of direct entry candidate	1a. USNA graduation rates of NAPS graduates should be equal to or greater than latest five-year class graduation rate.	Institutional Research	SLT Dean of Admissions CO of NAPS
		1b. USNA graduation rates for NAPS graduates in any class should be within three percent of overall class graduation rate.	Institutional Research	SLT Dean of Admissions CO of NAPS
	2. Improve diversity within the Brigade	2a. Percentage of minorities assigned to NAPS exceeds minority percentage within the Brigade.	Director of Admissions	Dean of Admissions
		2b. Percentage of mincrity NAPS graduates exceeds the minority percentage within the Brigade.	Institutional Research	SLT Dean of Admissions CO of NAPS
		2c. Percentage of females assigned to NAPS exceeds female percentage within the Brigade.	Director of Admissions	Dean of Admissions
		2d. Female percentage of NAPS graduates entering USNA should be 20 percent or greater per class year	Institutional Research	SLT Dean of Admissions CO of NAPS
Ensure more Sailors and Marines from the fleet attend the Naval Academy	3. Provide an avenue by which Prior-Enlisted can gain entry into USNA	Number of Prior-Enlisted entering USNA each year via NAPS should exceed 60	Institutional Research	Dean of Admissions

NAVAL ACADEMY FEEDER SYSTEMS

NAVAL ACADEMY FOUNDATION, INC.

Objective/Project	Intended Outcome	Assessment Means/ Criteria	Assessment Responsibility	Feedback Mechanism/ Distribution
Evaluate effectiveness of Foundation scholarships, NAPS, and other admissions feeder systems in supporting the USNA missions and the needs of the naval service.	1. Provide candidates whose overall performance exceeds those of direct entry candidate	1. USNA graduation rates of Foundation graduates should be greater than latest five-year class graduation rate.	Institutional Research	SLT Dean of Admissions Foundation Board
	2. Provide an avenue by which recruited athletes can enhance their qualifications for admission to USNA	2. Recruited athletes entering via Foundation graduate at rates greater than the class as a whole and equal to graduation rates for other recruited athletes	Institutional Research	SLT Dean of Admissions Foundation Board Athletic Director

ADMISSIONS PROCESS

OVERALL ADMISSIONS PROCESS

Objective/Project	Intended Outcome	Assessment Means/ Criteria	Assessment Responsibility	Feedback Mechanism/ Distribution
Improve and simplify Admissions Board process such that it effectively identifies those candidates who satisfy the education, accession, promotion, and career retention goals for officers of the Naval Service.	1. Meet the diversity goals of the Naval Service.	1a. Equal or exceed 20% women in each incoming class.	Director of Admissions	SLT
		1b. Percent of minority representation for entering class should equal or exceed minority representation in U.S. colleges/universities.	Director of Admissions Institutional Research Outreach Coordinator	SLT
		1c. The number of prior enlisted in each incoming class should equal or exceed 8% of the incoming class.	Director of Admissions	SLT
		1d. Prior enlisted comprise 8% (+/- 2%) of each graduating class.	Institutional Research	SLT Dean of Admissions
	2. Meet the USNA accession goals established by CNP.	2a. Commission 950-1050 officers per year with 750-900 USN, 150-250 USMC.	Institutional Research Professional Programs	SLT. Professional Development
		2b. Meet annual service assignment accession goals provided by CNP.	Institutional Research Professional Programs	SLT Professional Development
	3. Meet technical education goals of the Naval Service.	3. Greater than 65% graduates with technical majors per class.	Institutional Research	SLT Assoc Dean Academics
	4. Meet language and cultural requirements of Naval Service.	4. In compliance with Superintendent's Guidance	Director of Admissions	SLT

ADMISSIONS PROCESS OVERALL ADMISSIONS PROCESS				
Implement an efficient, user-friendly, automated candidate identification and admissions process.	5. An effective, user-friendly application process.	5. Admissions Section of the Values Survey	Institutional Research	Dean of Admissions

ADMISSIONS PROCESS

QUICK REVIEW

Objective/Project	Intended Outcome	Assessment Means/ Criteria	Assessment Responsibility	Feedback Mechanism/ Distribution
Improve and simplify Admissions Board process such that it effectively identifies those candidates who satisfy the education, accession, promotion, and career retention goals for officers in the Naval Service.	1. Completed records are properly screened for quick review.	1. Number of records incorrectly identified for full admissions board or quick review does not exceed 5% of quick review records.	Director of Admissions	Dean of Admissions
	2. Identify candidates for early offers of appointment or quick rejection.	2a. Excluding candidates on wait-list, all offers (including Letters of Assurance) made by 30 March.	Director of Admissions	Dean of Admissions
		2b. All quick rejects made by 30 March.	Director of Admissions	Dean of Admissions
	3. Letters of Assurance are effectively managed by Nominations and Appointments Office.	3a. Number of Letters of Assurance does not exceed annual Superintendent's Guidance to Admissions.	Director of Admissions	Dean of Admissions
		3b. Letters of Assurance convert to Fully Qualified Offers at a rate of 80% or more.	Director of Admissions	Dean of Admissions

ADMISSIONS PROCESS

CANDIDATE FITNESS ASSESSMENT (CFA) – FORMERLY PAE

Objective/Project	Intended Outcome	Assessment Means/ Criteria	Assessment Responsibility	Feedback Mechanism/ Distribution
Improve and simplify admissions board process such that it effectively identifies those candidates who satisfy the education, accession, promotion, and career retention goals for officers in the Naval Service.	1. All qualified candidates for admission will have passed the CFA.	1. Entering midshipmen who received a waiver for any component of the CFA are expected to pass all parts of the Plebe Summer PRT.	Physical Education Department	Dean of Admissions, Admissions Board
	2. Satisfactory completion of CFA directly correlates to success in completing USNA Physical Readiness Test (PRT) requirements.	2a. CFA performance should directly correlate to Initial Strength Test (IST) results for Plebe class.	Physical Education Department	Dean of Admissions, Admissions Board Commandant
		2b. Attrition due to not completing PRT graduation requirements should be 1% or less of the entering class.	Institutional Research	SLT Academic Board

ADMISSIONS PROCESS

COMPLETED RECORDS

Objective/Project	Intended Outcome	Assessment Means/ Criteria	Assessment Responsibility	Feedback Mechanism/ Distribution
Improve and simplify Admissions Board process such that it effectively identifies those candidates who satisfy the education, accession, promotion, and career retention goals for officers in the Naval Service.	1. Completed records are processed promptly by Admissions Staff/Board	1a. All completed records with exception of those deferred by CGO receive a board action within 1 week of completion.	Candidate Guidance Officer	Dean of Admissions
		1b. Number of records brought back to board for second or subsequent review should be less than 5% of the total.	Candidate Guidance Officer	Dean of Admissions
		1c. Examiners complete processing of records within 3 days of last document receipt at 98% rate.	Candidate Guidance Officer	Dean of Admissions
		1d. Record processing error rate does not exceed 3% per region.	Candidate Guidance Officer	Dean of Admissions
	2. Mini-multiple properly identifies candidates competitive for admission.	2. Final WPM is within 6,000 points of mini-multiple in 95% of completed records.	Director of Admissions	Dean of Admissions

ADMISSIONS PROCESS

MEDICAL PROCESS

Objective/Project	Intended Outcome	Assessment Means/ Criteria	Assessment Responsibility	Feedback Mechanism/ Distribution
Implement an efficient, user-friendly, automated candidate identification and admissions process, including statistical tools, which improves effectiveness and efficiency	1. Automated medical process that provides timely processing of medical information on each candidate.	1a. All candidates notified of medical examination within 1 week of completing half (4th document) of application package.	Nominations and Appointments Officer	Dean of Admissions
		1b. Begin waiver process within 1 working day for candidates needing medical waiver and identified for offer of appointment	Nominations and Appointments Officer	Dean of Admissions
		1c. Waivers approved/disapproved by Superintendent within 3 working days of BUMED recommendation.	Nominations and Appointments Officer	Dean of Admissions EA/COS
		1d. Notification of waiver decision mailed to candidate within 2 working days of decision	Nominations and Appointments Officer	Dean of Admissions

ADMISSIONS PROCESS

NOMINATIONS PROCESS

Objective/Project	Intended Outcome	Assessment Means/ Criteria	Assessment Responsibility	Feedback Mechanism/ Distribution
Develop an improved and simplified admissions process.	1. Maximize the pool of applicants eligible for consideration for an appointment.	1a. Compare number of total nominations by category to previous years.	Nominations and Appointments Officer	SLT Dean of Admissions
		1b. Identify slates not fully using nomination opportunities.	Nominations and Appointments Officer	SLT Dean of Admissions
	2. Simplify and accelerate the process through automation.	2. Assess on-line nomination process using on-line survey/feedback system.	Nominations and Appointments Officer	SLT Dean of Admissions
	3. Ensure Nomination process is in compliance with Title 10 USC.	3. Appointments are offered to each nominating category in compliance with Title 10 Chapter 603 sections 6954 and 6956.	Nominations and Appointments Officer	SLT Dean of Admissions
		3b. 50% of NAPS graduates obtain congressional nominations.	Nominations and Appointments Officer	Dean of Admissions CO, NAPS

Appendix 8

Position Description for the Dean of Assessment and Strategic Planning

Appended below is the position description and advertisement plan for the new position.

Duties, Responsibilities and Authority
Dean of Institutional Assessment and Strategic Planning
U.S. Naval Academy

Responsibilities

The Dean of Institutional Assessment and Strategic Planning is the sole individual responsible to the Superintendent for the process that enables continuous assessment of Academy goals and objectives concerning midshipman learning and officer development outcomes and the translation of assessment outcomes into strategic plan actions.

Duties

- Assists the Academy Effectiveness Board and the Senior Leadership Team in the definition, validation, and renewal of assessable USNA strategic goals concerning the development of midshipmen into commissioned officers in the Navy and Marine Corps.

- Assists the Superintendent and the Superintendent's Senior Leadership Team in the designation of accountable program directors for each Academy goal.

- Assists the Academy Effectiveness Board and the program directors in the definition, validation, and renewal of assessable learning and officer development objectives generated to achieve the Academy's strategic goals.

- Directs the analysis of data and evidence appropriate to each strategic goal and collected in accordance with protocols, learning models, etc., defined in conjunction with the Academy Effectiveness Board and the strategic goal program directors.

- Leads the Superintendent's Senior Leadership Team in the development, update, and periodic review of the Academy's strategic plan.

- Directs outcomes assessment of individual strategic goals in periods of roughly five years in length and tracks Academy-wide assessment efforts of USNA strategic goals over time.

- Generates Outcomes Assessment Reports on individual USNA strategic goals for the Superintendent, the Superintendent's Senior Leadership Team, the Chief of Naval Operations and the Secretary of the Navy, as well as external accrediting bodies, drawing upon data and evidence from appropriate sources. Reports will be tailored in form and substance for use by highest level line managers having Academy-wide responsibility for allocating and requesting resources.

- Draws upon Current Educational Theory and Practice, Navy and Marine Corps needs, Superintendent's guidance, and institutional assessment history in accomplishing the above.

Position and Authority

- Reports to the Superintendent.
- Serves on the Superintendent's Senior Leadership Team.
- Serves as Executive Secretary of the Academy Effectiveness Board.
- Office of Institutional Research and Office of Strategic Planning report to Dean of Assessment. Office of Command Evaluation, which reports to the Superintendent, works collaboratively with the Dean of Assessment.
- The successful candidate may, depending on background and experience, be appointed with commensurate academic rank, subject to the review of the Naval Academy's promotion and tenure committee and the approval of the Academic Dean and Provost.

Advertisement

U.S. NAVAL ACADEMY (USNA)

DEAN OF INSTITUTIONAL ASSESSMENT AND STRATEGIC PLANNING

The UNITED STATES NAVAL ACADEMY invites application for a newly established senior-level administrative faculty position as Dean of Institutional Assessment and Strategic Planning. The Dean reports to the Superintendent, serves on the Superintendent's Senior Leadership Team, and oversees 12-20 professional staff, including the already-existing Offices of Institutional Research, Strategic Planning and Command Evaluation.

The Naval Academy provides an exemplary four-year undergraduate education leading to the award of a Bachelor of Science degree and a commission in the United States Navy or United States Marine Corps for approximately 1,000 graduates each year.

The successful applicant will have demonstrated educational background and senior management-level experience in institutional assessment and/or strategic planning sufficient to assist the Superintendent and other senior Academy leaders with line authority, such as the Commandant of Midshipmen, the Director of Athletics, and the Academic Dean and Provost, implement successful, collaborative assessment processes across the entire institution. Though not required, the ideal candidate will possess one or more of the following additional attributes: a Ph.D. in a discipline appropriate to the position; assessment and strategic planning experience in an educational environment; and prior Service Academy and/or military experience. A comprehensive list of duties and expectations associated with the position of Dean of Institutional Assessment may be found at http://www.usna.edu/JobInfo/faculty/deaninstitutionalassessment07.htm. Salary and benefits are competitive and commensurate with background, experience, and achievement.

All applicants should submit a complete curriculum vitae, three professional references familiar with institutional assessment and strategic planning, official transcripts, and one or more samples of successful institution-wide assessment models the applicant has helped develop.

Screening of applicants is expected to begin in April 2007 and the search committee will accept applications until the position is filled. The U.S. Naval Academy is an AA/EEO employer and encourages applications from women and members of minority groups. The Naval Academy provides reasonable accommodations to applicants with disabilities. For information about Academy, please visit our web page at http://www.usna.edu. Send application materials to: Dean of Assessment Search Committee. Office of the Academic Dean and Provost, 121 Blake Road, United States Naval Academy, Annapolis, MD 21402-5000.