SYRACUSE UNIVERSITY
Functional Area – Assessment and Action Plan Rubric, Version 4, July 2015

Phase 1 – Specify and Plan

Element	SU Expectation	Level 0: Not Evident	Level 1: Emerging	Level 2: Proficient	Level 3: Excelling
Goals	The functional unit has clear statements of goals that are aligned with the institutional mission. Goals are consistent with the mission of the functional unit, focusing on efficiency and effectiveness.	No evidence of functional unit goals.	Goals align with some, but not all aspects, of the unit's mission. Goals focus on specific or nonessential services and processes instead of reflecting the charge of the unit.	Goals are statements that align with the overall mission of the unit. Goals focus on general components, such as efficiency, effectiveness, communication, support systems, and fiscal health. Goals are broadly stated, meaningful, and achievable.	Goals are statements that align with the overall mission of the unit. Goals focus on general components, such as efficiency, communication, services, support systems, and fiscal health. Goals are broadly stated, meaningful, achievable, and provide a framework for identifying operationalized objectives.

Element	SU Expectation	Level 0: Not Evident	Level 1: Emerging	Level 2: Proficient	Level 3: Excelling
Objectives	The functional unit has clear objectives that are linked with the unit goals. Objectives state what the unit strives to accomplish in order to achieve each goal. Objectives are specific, measurable, attainable, results-oriented, and time bound.	No evidence of functional unit objectives.	Objectives are written using imprecise verbs and are not necessarily measureable. Achieving objectives will not result in realization of the unit goal.	Objectives are written using action verbs that describe what the unit will achieve in order to realize the unit goal. Objectives are concrete statements that are specific, measureable attainable, results-oriented, and time bound.	Objectives are written using action verbs that describe what the unit will achieve in order to realize the unit goal. Objectives are concrete statements that are specific, measureable attainable, results-oriented, and time bound. The achievement of all objectives linked to a common goal, will lead to the realization of that goal.

Phase 1 – Specify and Plan

Element	SU Expectation	Level 0: Not Evident	Level 1: Emerging	Level 2: Proficient	Level 3: Excelling
Strategies	The functional unit has specified one or more strategies to be used to meet every unit objective. Strategies represent the processes used and services offered by the functional unit.	Strategies for meeting each unit objective are not specified.	Listed strategies represent some of the specific processes used or services offered by the unit. Strategies are not clearly linked to unit objectives or the associated goal. Strategies are identified for some but not all of the objectives.	Listed strategies represent the specific processes used or services offered by the unit. Strategies are clearly linked to unit objectives. Sufficient strategies are provided to support the achievement of the unit's associated goal. Strategies facilitate the collection of measurable data regarding the performance of the unit.	Listed strategies represent the specific processes used or services offered by the unit. Strategies are clearly linked to unit objectives. Sufficient strategies are provided to support the achievement of the unit's associated goal. Strategies facilitate the collection of measurable data regarding the performance of the unit. The unit generates a comprehensive list of services offered and processes used.

Element	SU Expectation	Level 0: Not Evident	Level 1: Emerging	Level 2: Proficient	Level 3: Excelling
Key Performance Indicators (KPI)	The functional unit has established at least one KPI to be used as a numerical measure for each objective's performance.	KPI are not identified for the unit objectives.	Listed KPI do not measure the performance of the associated objective. Some, but not all, KPI include specific criteria.	Every KPI measures the associated objective's performance. Every KPI includes the criteria for measuring success.	Every KPI measures the associated objective's performance. Every KPI includes the criteria for measuring success. Every KPI metric can be used as a driver for improvement.

Phase 2 – Collect and Analyze

Element	SU Expectation	Level 0: Not Evident	Level 1: Emerging	Level 2: Proficient	Level 3: Excelling
Results	KPI measurements of the performance of unit goals and objectives are regularly collected and recorded. Recorded results include as much detail as possible, including when the results were collected and which staff members were involved in the process.	There is no evidence of systematic collection of information and data.	There is evidence that information will be systematically collected in the upcoming year. The results of at least one KPI are described, but not in detail.	Information and data for KPIs are systematically collected at least annually. At least one goal has the results of all its associated KPIs described, including as much detail as possible, to facilitate interpretation.	Information and data for KPIs are systematically collected at least annually. Unit goals have the results of all associated KPIs described, including as much detail as possible, to facilitate interpretation.

Element	SU Expectation	Level 0: Not Evident	Level 1: Emerging	Level 2: Proficient	Level 3: Excelling
Interpretation	Collected information is analyzed, discussed, and summarized in detail to assist the functional unit with informed decision making about unit strategies, processes, and services.	Analysis of results is not recorded or described.	Analysis of KPI results is summarized, but not in sufficient detail. Analyses are discussed and evaluated by a subset of staff involved in the process or service.	Analyses of at least one goal's associated KPI measurements are described, in detail. Analyses are discussed and evaluated by the majority, if not all, staff involved in the process or service. Discussions about how processes/services can be improved are documented.	Analyses of at least one goal's associated KPI measurements are described, in detail. Analyses are discussed and evaluated by the majority, if not all, staff involved in the process or service. Discussions about how processes/services can be improved are documented. Discussions regarding the implication of findings, in respect to goals, outcomes, and mission, are clearly described and recorded.

Functional Area – Assessment and Action Plan Rubric, Version 4, July 2015

Phase 3 – Action and Follow-up

Element	SU Expectation	Level 0: Not Evident	Level 1: Emerging	Level 2: Proficient	Level 3: Excelling
Action and Follow-up	Based on performance results, staff members suggest and implement changes to improve the functions of the unit processes/services. Implemented changes are measured and documented in subsequent assessment cycles.	There is no evidence that changes are made based on unit assessment.	Recommendations for modification are not clearly described. Recommended modifications lack a detailed action plan. OR The lack of recommendations for modifications is not clearly explained.	Recommendations for changes to unit processes/services are described, in detail. Recommended modifications have a detailed action plan. OR An absence of recommended changes is clearly explained in terms of the assessment results and interpretation.	Recommendations for changes to unit processes/services are described, in detail. Recommended modifications have a detailed action plan, including how the impact over time will be measured and recorded. OR An absence of recommended changes is clearly explained in terms of the assessment results and interpretation

Sustainability of Functional Unit Assessment

Element	SU Expectation	Level 0: Not Evident	Level 1: Emerging	Level 2: Proficient	Level 3: Excelling
Sustaining Assessment	Assessment processes are a regular part of the unit's functioning. Assessment of unit performance is routinely conducted and documented. Unit assessment processes are annually reviewed and changes are recommended.	There is no evidence that ongoing functional unit assessment is occurring.	Some assessment efforts are documented, but there is no evidence that assessment processes are a regular part of the functional unit's operations.	Assessment is conducted on an ongoing basis and documented for at least one functional unit goal each year. Assessment processes are a regular and documented part of unit operations.	Assessment is annually conducted and documented for multiple unit goals. Assessment processes are a regular and documented part of unit operations. Modifications to unit processes/services are made based on assessment actions, and the impact of changes is documented.