

Office of Institutional Effectiveness

Procedures and Rules Manual

Institutional Research,
Assessment, and
Planning

2012

Office of Institutional Effectiveness
The University of NC at Pembroke
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Pembroke, North Carolina, 28372

www.uncp.edu/ie

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Office of Institutional Effectiveness

Mission Statement: At the heart of the effectiveness of an institution is student success. The University of North Carolina at Pembroke's Office of Institutional Effectiveness strives to ensure student success through collecting data regarding students, faculty, and staff as well as institutional programs, services and operations. Reports generated from this data are used internally to support institutional decision making and are also transmitted to the University of North Carolina's Office of the President and to other external agencies.

The Office of Institutional Effectiveness also has responsibilities in the areas of institutional research, assessment and planning. The office serves as a resource for statistical analysis and research design related to the University's students, faculty, staff, programs, services and operations as well as for survey and questionnaire research. IE coordinates university-wide assessment efforts and works in conjunction with the Strategic Planning and Resources Council to develop University goals and objectives and to assess institutional success in meeting them.

Goal: The primary goal of the Office of Institutional Effectiveness at UNCP is to aid in the accountability of The University of North Carolina at Pembroke to its constituents, both internal and external. This is accomplished through the collection, analysis, and reporting of data and information in order to measure the progress of the university in carrying out assigned functions and to provide the basis for informed decision-making and planning.

Office of Institutional Effectiveness – Who We Are and What Do We Do?

Staff and Responsibilities

Dr. Beverly R. King - Assistant Vice Chancellor for Institutional Effectiveness

The Assistant Vice Chancellor for Institutional Effectiveness reports to the Provost and provides leadership and support for institutional effectiveness in a variety of ways including strategic planning, institutional research, and university-wide assessment and accountability efforts. This senior leadership position advances the university's educational mission by supervising data maintenance and reporting; conducting statistical analyses of faculty, staff, and student data; assessing student learning outcomes; projecting university enrollment for budgetary purposes; supporting the accreditation process; disseminating information about the university to both internal and external constituencies; and creating reports to aid in administrative decision-making.

Mrs. Ginger K. Brooks - Director of OIE Reporting/Senior Analyst

The Director of OIE Reporting serves as a primary member, along with the Assistant Vice Chancellor for Institutional Effectiveness, of the management team that guides the overall efforts of the office to fulfill its mission. The person in this position plays a critical role in managing the data collection and reporting activities related to reports requested from within the university community as well as those compiled for GA and other external organizations. She is responsible for assigning and following up on ad hoc requests, and assuring that both internal and external reports are accurate and completed in a timely manner. Additionally, this position assists with the extraction, analyzing and interpretation of data from the Banner Student and HR Modules.

Ms. Jeannie Q. Davis - Assistant Director of OIE Reporting/Analyst Programmer

The primary purpose of this position is to extract, analyze, report, and interpret data from Banner Student/HR systems, as well as any database created by the office of Institutional Effectiveness. The person in this position uses a variety of tools to extract and compile reports, databases, and tables, and is uniquely involved in the maintenance of data on university facilities. A working knowledge of programs such as SAS/PC SAS, PC Focus, SQL Developer, AutoCAD, and Ultra Edit is necessary. Additionally, this position assists the Director of IE Reporting in the coordination and oversight of office projects and responsibilities.

Mrs. Natasha C. Burden - Analyst Programmer/WEB Coordinator

The primary purpose of this position is to collaborate with the Director of Reporting in extracting and analyzing data from Banner Student/HR systems, as well as any database created by the Office of Institutional Effectiveness, and to revise and/or enhance existing computer applications across various platforms. This position uses a variety of tools to extract and compile reports and databases and, therefore, must have a working knowledge of programs such as SAS/PC SAS, PC FOCUS, Dreamweaver, SQL Developer, and Ultra Edit.

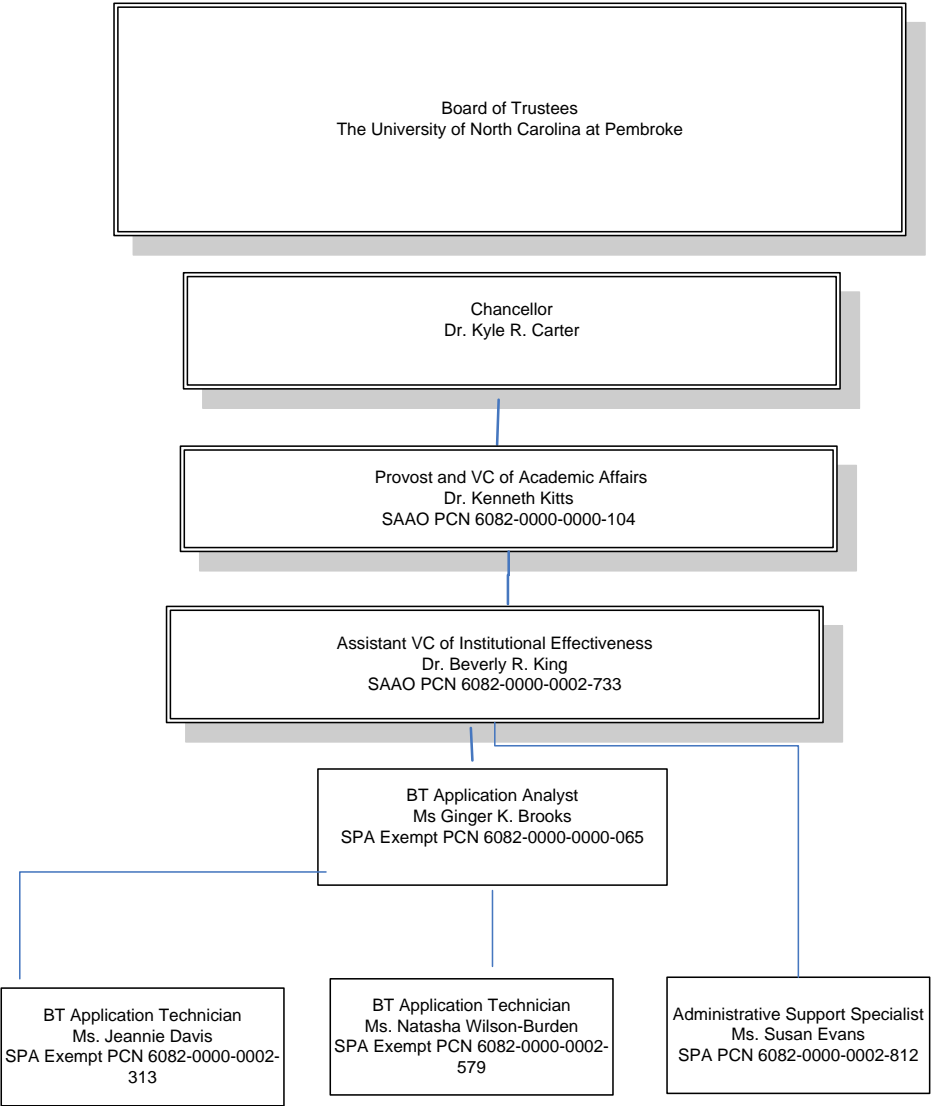
Mrs. Susan D. Evans - Survey and Office Coordinator

The primary purpose of this position is to provide technical assistance to the faculty and staff of UNCP in design and implementation of internal surveys as well as coordinating the implementation of UNC-GA satisfaction surveys and surveys from other external organizations such as U.S. News & World Report and the Princeton Review. The person in this position also takes a leading role in the creation of UNCP's Common Data Set and helps create the university fact book. Additionally, the responsibilities of this position are to help maintain the faculty database, to perform administrative support duties, and to assist with other office duties as assigned.

OIE Organizational Chart

The University of North Carolina at Pembroke

Office of Institutional Effectiveness
Budget Org. 170750



Financial Manager

Date

Campus Academic Reporting Calendar for the OIE

	Approximate Campus Due Date
• Preliminary applications and acceptances	06/15 and 07/15
• Technical meeting for student and personnel data	07/15
• Summer Session I – SDF, CDTF, SCF	07/15
• Summer Session I Signed Teacher Education Roster	07/15
• Summer Session II – SDF, CDTF, SCF	08/15
• Summer Session II Signed Teacher Education Roster	08/15
• Summer I Grade file CGF (with updated CDTF) for Summer I	08/15
• Preliminary enrollment	08/28,09/4,09/11
• Enrollment Projection Data	09/08 through 09/17
• Summer II Grade file CGF (with updated CDTF) for Summer II	09/15
• Graduated Student Subfile – GSDF for students graduated 7/1 to 8/31	09/23
• Signed Teacher Education Rosters (Completers)	09/23
• NCHED A-3 – Tuition & Fees (tuition must match board figures)	10/05
• Course Description Table File - CDTF (Fall)	10/15
• Student Course Load File – SCF (Fall)	10/15
• Resident Credit and Extension SDF (Fall)	10/15
• Signed Nursing and Teacher Education Rosters (Fall)	10/15
• Verification of SDF reports	10/30
• Common Data Set (CDS)	09/02
• IPEDS – Institutional Characteristics (campus completes on WEB)	09/02 – 10/14
• IPEDS – Completions (GA imports data for campus)	09/02 – 10/14
• IPEDS 12-Month Enrollment (GA imports data for campus)	09/02 – 10/14
• Princeton GamePro Survey	09/30
• Business Journal Survey	10/12
• Barron's Survey	11/06
• Personnel File (PDF) due to GA – Fall	11/15
• NCHED A-2 – Student Housing Report Fall (campus completes on WEB)	11/15
• US Air Force Student Enrollment	11/24
• Remedial Report to UNC-GA Academic Affairs	11/30
• Financial Aid File (File completed by FA)	11/01
• Inventory of Facilities (Building and Room File updated with DAVE)	12/15
• College Board Survey	12/15
• AAUP reports submitted to AAUP by GA	12/30
• Course Location File – Utilization Report	12/30
• IPEDS Human Resources Data (GA will file import data for campus)	12/7 thru 2/08
• IPEDS Student Financial Aid (campus completes on the WEB)	12/7 thru 02/08
• IPEDS Enrollment Fall Data (GA will file import data for campus)	12/7 thru 4/11
• NCHED A-6 Academic Library Survey (campus completes on WEB)	01/05
• SACS Profile	01/15

• Course Grade File & Course Description File for Res & Ext (Fall)	01/31
• Delaware Cost and Productively Report	01/31
• Peterson Survey	02/02
• Resident Credit and Extension SDF (Spring)	03/01
• Nursing and Teacher Education Rosters (Spring)	03/01
• Course Description and Student Courseload Files (Spring)	03/15
• IPEDS Finance (campus will complete on the WEB)	03/01 thru 04/11
• IPEDS Graduation Rate Survey (GA will import data for campus)	03/01 thru 04/11
• Wintergreen Survey	04/09
• Campus Update to VSA	05/31
• US News	05/24
• New Student Orientation, Transfer, and Family Surveys	Continuous
• Sophomore Survey	06/15 (even years)
• Senior Survey	06/16 (even years)
• Graduated Student Sub file (Dec, May, Aug Graduates)	06/30
• Course Grade File & Course Description File for Res & Ext (Spring)	06/29
• Preliminary Applications and Acceptances	04/15,05/15, 06/15 and 07/15
• Social Security Number Changes	06/29

OIE Publications

Fact Book

UNC Pembroke's Fact Book is designed to provide the public university administrators, planners, and other selected individuals such as trustees, local commissioners, and legislators, an easily readable compilation of data about the University. The data and facts provide a profile of the University which is updated for the fall semester only. A copy of the Fall Fact Book is available for view (and print) on the OIE Website at:

http://www.uncp.edu/ie/fact_book/

http://www.uncp.edu/ie/quick_facts/MiniFB_Fall_2010.pdf

Quick Facts

OIE provides Quick Facts for Fall and Spring Semesters. Quick Facts link:

http://www.uncp.edu/ie/quick_facts/

OIE Web Page

The Office of Institutional Effectiveness serves as the central office for maintenance and capturing data regarding UNCP students, faculty, and staff as well as institutional programs, services, facilities, and operations. As part of our service OIE provides a Website with numerous types of data for a quick reference.

Data and information are provided for the following areas:

- [Assessment](#)
- [College Portrait](#)
- [Common Data Set](#)
- [Data Resources](#)
- [Fact Book](#)
- [Forms](#)
- [Links](#)
- [Peer Institutions](#)
- [Strategic Planning](#)
- [Contact Us](#)
- [Mission and Goal](#)

OIE Web address: <http://www.uncp.edu/ie>

UNCP's College Portrait

The College Portrait is a compilation of information on the undergraduate student experience as reported using a common web reporting template created by The Voluntary System of Accountability (VSA). The College Portrait and the VSA are briefly described below. More information is available at: <http://www.voluntarysystem.org/index.cfm>

The VSA is a voluntary initiative for 4-year public colleges and universities. Developed through a partnership between the American Association of State Colleges and Universities (AASCU) and the National Association of State Universities and Land-Grant Colleges (NASULGC), the VSA is designed to help institutions meet the following objectives:

- Demonstrate accountability and stewardship to public
- Measure educational outcomes to identify effective educational practices
- Assemble information that is accessible, understandable, and comparable

The data elements included in a College Portrait were identified and evaluated based on input from student/family focus groups, feedback from the higher education community, and research on higher education. The majority of the data elements selected are from currently available data sources with established definitions and reporting conventions, e.g., the Common Data Set. For each VSA participating institution, the College Portrait reporting template is five pages in length and organized into three primary sections: 1) consumer information, 2) student experiences and perceptions, and 3) student learning outcomes. Each year, as part of UNCP's participation in the VSA, the Office of Institutional Effectiveness (OIE) updates our College Portrait. The most recent edition is available at: <http://www.collegeportraits.org/NC/UNCP>

UNCP was one of the first universities to volunteer to participate in VSA's College Portrait project and qualify for the designation of "Early Adopter." By VSA standards, each participating institution will place the *College Portrait* icon on their home page or on a logically alternate web page. At UNCP, this icon is located on OIE's web page: <http://www.uncp.edu/ie/vsa/>

UNC General Administration Interface and Student Related Data Files

What is the Interface and what does IE use it for?

- The interface (SWGSDf) is a group of processes used to create some of the student related files that UNC General Administration requires from the UNC Campuses. Each of the files in the interface can be linked together by the common element. Every student record in each file will contain a Banner ID that will identify each student record which allows OIE to process data using numerous files. The interface consists of three or four processes for each file and one or two cycles for each process. The interface's for the data files were created by The Banner Alliance Team at UNC General Administration and is maintained by the Institutional Research office on each of the campuses. The information below was taken from the Interface Manual.

The interface generates the following Student Data Files:

- Course Description Data File (CDF) – Course Data
- Student Course File (SCF) – Student and Course Data
- Student Data File (SDF) – Student Application and Enrolled Data
- Graduated Student Data File (GSDF) – Student Graduated Data
- Student Grade File (SGF) – Student Grades
- Course Location File (CLF) – Course Data Enrollment, Location and Time

URL for GA Interface manual and instructions: www.uncp.edu/ie/interface

Course Description File (CDF)

The Course Description File is the first file generated with the SWGSDF Interface process. The main purpose of this process is to “freeze” course data by selecting the course sections that are included on the CDF and to save certain data items about the course sections that should not be changed after the Census Date. The CDF file is comprised of two cycles and the CDF data file is generated two times each semester (Census Date / End of Semester) and submitted to UNC General Administration. The CDF data file is comprised of 26 data items and is administered to General Administration four times a year:

October 15 for the Fall semester

March 15 for the Spring Semester

July 15 for the First Summer Session

August 15 for the Second Summer Session

The Office of Institutional Effectiveness is committed and required to provide clean, accurate time sensitive data for each data elements defined on the Course Description File (CDF) layout provided by UNC General Administration.

Definitions:

Census Date: The 10th class day from the beginning of classes including the day on which classes begin for fall and spring terms. One 10th (3rd class day) of a Summer Session defines this date for Summer I and II.

CDF Layout: A record unit of each data item on the CDF file and the position of the data item on the file provided to GA.

CDF Layout Data Items:

• Item001	FICE Code (002954)	Position 1-6
• Item002	As of Date	Position 7-11
• Item003	Course Abbr. (Name and Number)	Position 12-21
• Item004	Section	Position 22-24
• Item006	CIP Code (2 Digits)	Position 28-29
• Item007	Credit Hours	Position 30-33
• Item008	Course Level	Position 34
• Item010	Method of Delivery	Position 35-36
• Item011	Contract	Position 52
• Item012	Course Credit Category	Position 53
• Item013	Fiscal Year	Position 54-57
• Item015	Course Type	Position 62
• Item016	Subject Code	Position 63
• Item017	Instructional Format	Position 64-65

• Item018	SDF Term	Position 66
• Item019	Program Code	Position 67-69
• Item020	Joint Program Code	Position 70-73
• Item021	Institution Owning Instruction in Joint Program	Position 74-79
• Item022	Previous Course Abbreviation Name and Number	Position 80-89
• Item023	Previous CIP	Position 90-91
• Item024	Previous Level	Position 92
• Item025	# Faculty Members Responsible for Course Section	Position 105-106
• Item026	A. Segment #	Position 107-108
• Item026	B. Social Security Number	Position 110-117
• Item026	C. Campus ID (Banner ID)	Position 118-126
• Item026	D. % Responsibility	Position 127-129

End of Semester (EOS): The End of Semester Date is based on data that is as of the End of Semester and provides data for the Student Grade File (SGF).

“freeze” the data: Capturing and saving data as of the census date that will not change.

Procedures:

Creating the Course Description File: This process consists of two cycles: *Census Date Cycle* and an *End of Semester Cycle*.

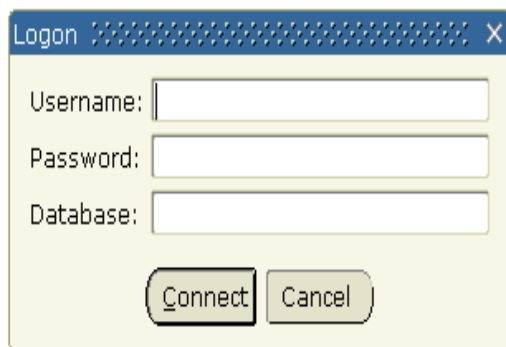
Census Date Cycle: This cycle creates the CDF using a three step process.

To begin the Census Date Cycle login to Banner at:

<http://banner.uncp.edu:7778/forms/frmservlet?config=prod>

The login screen below will appear.

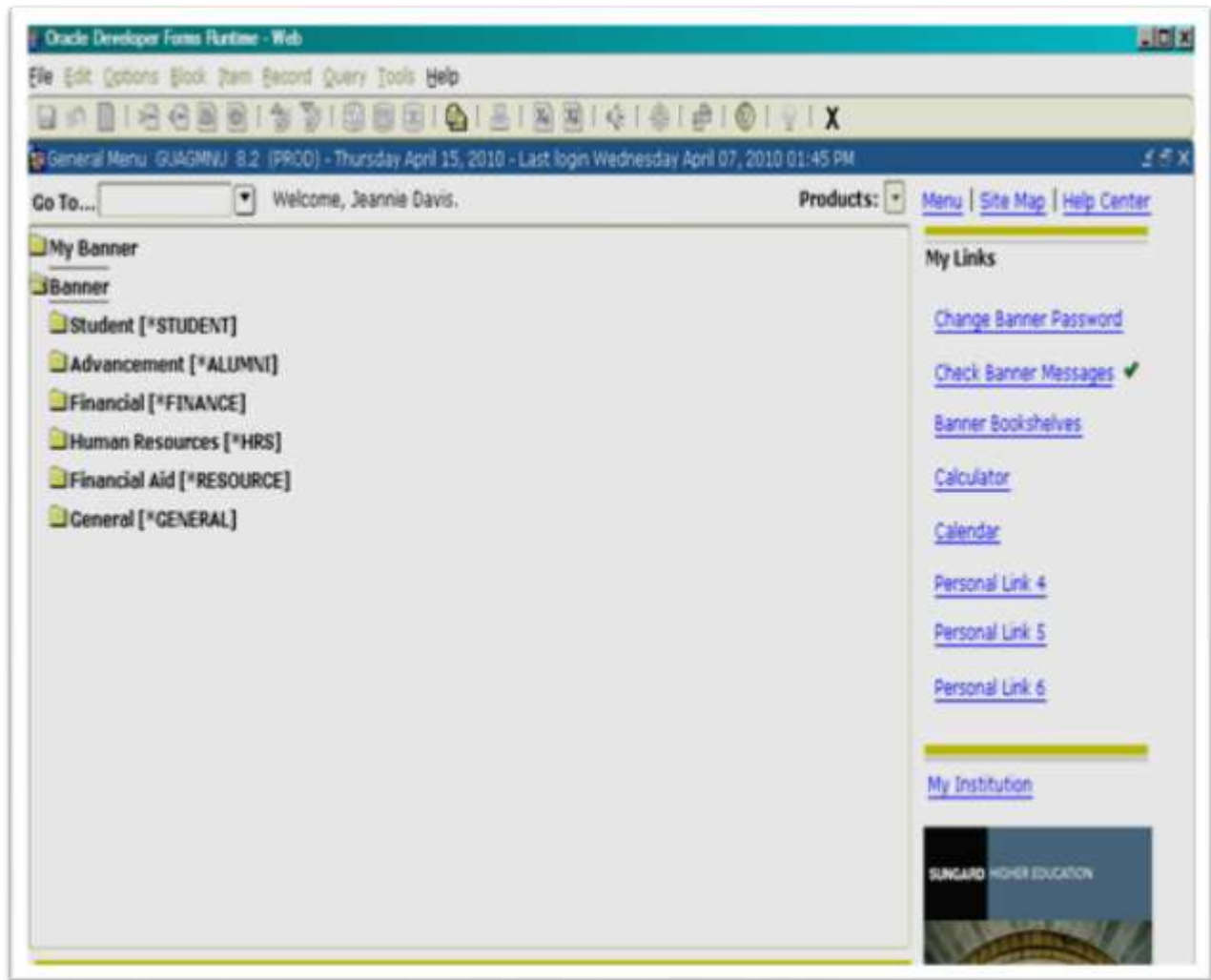
Type in: Username and Password and Select Connect



A screenshot of a 'Logon' dialog box. It has a title bar with 'Logon' and a close button. Inside, there are three text input fields labeled 'Username:', 'Password:', and 'Database:'. Below the fields are two buttons: 'Connect' and 'Cancel'.

Start Step One: The General Menu Screen/Process Submission Control Screen shown below will appear.

Type **SWRCDT1** in the General Menu Form in the Go To location



The Process Submission Control Form shown below prompts for parameter values for a Banner Term code and Census Date Flag.

Parameter Values: (values change for each term)

- Banner Term Code 200810 Value for Fall 2007
- Census Data Flag Y Value for Census Date

Process: **SWRCDT1** Create Course Descrip. Table Parameter Set:

Printer Control
 Printer: **DATABASE** Special Print: Lines: **55** Submit Time:

Parameter Values

Number	Parameters	Values
01	Banner Term Code	200610
02	Census Date Flag	Y
03	Banner Part of Term Code	

LENGTH: 6 TYPE: Character O/R: Optional M/S: Multiple

Submission
☐ Save Parameter Set as Name: Description: ☐ Hold ☒ Submit

Record: 3/3 | List of Valu... | <OSC>

Step One – This Process **SWRCDT1** creates the Course Description Table.

This process lays the foundation for the other student data files. The main purpose of this process is to ‘freeze’ the data by selecting the course sections that will be included on the Course Description File to save certain data about the course sections that should not be changed after census date. This data is the ‘frozen’ or CENSUS data and should not be changed after the census date. This process selects from the Banner table SSBSECT for the specified term for all the course sections that are active with enrollment and stores the data that should not be changed after the census date in the SWBCDTF table. The following CDF items are captured and saved:

- CDF Item003 Course Abbreviation
- CDF Item004 Section
- CDF Item007 Credit Hours
- CDF Item008 Level

Multiple executions of **SWRCDT1** are permitted for review and error reports but the final execution of the process should be on the Census Date and flagged with the Census Data Flag value of ‘Y’.

Parameter Values example:

- Banner Term Code 201020 Value for Spring 2010
- Census Data Flag Y Value for Census Date

Parameter values must be saved by clicking on the save Icon on the ICON Ribbon.

*Step Two – Runs Process **SWRCDT2*** – Updates Course Description Table. This process adds and updates the remainder of the items for the CDF in the SWBCDTF table with data from SSBSECT and SCBCRSE tables. This process can be executed as many times as necessary to correct the data in the SWBCDFT table as the data is updated in Banner. This process will not affect the data previously ‘frozen’ by SWRCDT1.

Parameters:

- | | | |
|--------------------|--------|------------------------------|
| ▪ Banner Term Code | 201020 | Value for Spring 2010 |
| ▪ SDF Term | 20101 | Year and 1 represents Spring |
| ▪ Run Type | Census | |

*Step Three- Runs Process **SWRCDT9*** – Creates Course Description File. This process creates the Course Description Table File (CDF) from the data in the SWBCDTF table. This process also extracts the faculty Banner ID from the Faculty Members Instructor Assignment Table (SIRASGN) for each course section. The output file is in the correct format to transmit to UNC General Administration.

Parameters:

- | | |
|--------------------------|--------------------------------------|
| ▪ Output File Name | uncp101.cdf - GA Naming Convention |
| ▪ Banner Term Code | 201020 - Banner Term for Spring 2010 |
| ▪ CDF Item002 As of Date | 20101- Year and 1 represents Spring |
| ▪ File Type | A – Both Resident and Extension |

End of Semester Cycle: This cycle creates the EOS CDF Entries using a three step process.

*Step One – Runs Process **SWRCDT4*** - This process is executed at the end of the semester to add new course sections to the SWBCDTF table that were not included at the census date. This is necessary for the updated CDF that is sent to UNC General Administration at the end of the semester. Multiple executions of SWRCDT4 are permitted but the final execution of the process should be on the end of semester date or data that is as of the end of the semester.

Parameters:

- | | | |
|------------------------|--------|-----------------------|
| ▪ Banner Term Code | 201020 | Value for Spring 2010 |
| ▪ End of Semester Flag | Y | Value for Census Date |

*Step Two – Runs Process **SWRCDT2*** – Updates Course Description Table. This process adds and updates the remainder of the items for the CDF in the SWBCDTF table with data from SSBSECT and SCBCRSE tables. This process can be executed as many times as necessary to correct the data in the SWBCDFT table as the data is updated in Banner.

Parameters:

- | | | |
|--------------------|--------|------------------------------|
| ▪ Banner Term Code | 201020 | Value for Spring 2010 |
| ▪ SDF Term | 20101 | Year and 1 represents Spring |
| ▪ Run Type | EOS | |

*Step Three- Runs Process **SWRCDT9*** – Creates Course Description File. This process creates the Course Description Table File (CDF) from the data in the SWBCDTF table. This process also extracts

the faculty banner ID from the Faculty Member Instructor Assignment Table (SIRASGN) for each course section. The output file is in the correct format to transmit to UNC General Administration.

Parameters:

- | | |
|--------------------------|--------------------------------------|
| ▪ Output File Name | uncp101.cdfupd-GA Naming Convention |
| ▪ Banner Term Code | 201020 - Banner Term for Spring 2010 |
| ▪ CDF Item002 As of Date | 20101- Year and 1 represents Spring |
| ▪ File Type | A – Both Resident and Extension |

Student Course File (SCF)

The Student Course File is the second file generated with the interface process. The main purpose of this process is to “freeze” the data by selecting the students and their registered courses that will be included on the SCF and to save certain student/course data that will not be changed after the census date. The SCF file is comprised of two cycles and generated two times each semester (Census Date / End of Semester) and submitted to UNC General Administration. The SCF data file is due to GA four times a year.

October 15 for the fall semester
March 15 for the Spring Semester
July 15 for the first Summer Session
August 15 for the Second Summer Session

The Office of Institutional Effectiveness is committed and required to provide clean, accurate time sensitive data for each data elements defined on the Student Course File (SCF) layout provided by GA.

Definitions:

Census Date: The 10th class day from the beginning of classes including the day on which classes begin for fall and spring terms. One 10th (3rd class day) of a Summer Session defines this date for Summer I and II.

SCF Layout: A record unit of each data item on the SCF file and the position of the data item on the file provided to GA.

SCF Layout Data Items:

• Item001	Social Security Number	Position 1-9
• Item002	FICE Code	Position 10-15
• Item003	As of Date	Position 16-20
• Item004	Resident Status	Position 21
• Item005	Tuition Waiver	Position 22
• Item008	Campus ID (Banner ID)	Position 23-31
• Item006	No. of Course Segments	Position 53-54
• Item007A	Course Abbr. (Name and Number)	Position 55-64
• Item007B	Section	Position 65-67
• Item007C	Site Where Instruction is Received	Position 68-70
• Item007D	Graduate Center/Pilot Site	Position 71
• Item007E	Credit Hours	Position 72-75
• Item007F	State Employee/Military Flag	Position 76

End of Semester (EOS): The End of Semester Date or on data that is as of the End of Semester.

Procedures:

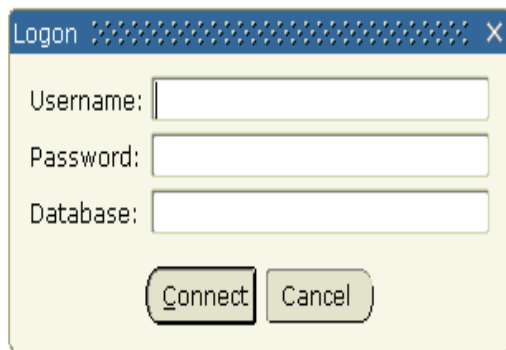
Creating the Student Course File: This process consists of two cycles: Census Date Cycle and an End of Semester Cycle.

Cycle One: Census Date Cycle: This cycle creates the SCF using a three step process.

To begin the Census Date Cycle login to Banner at:

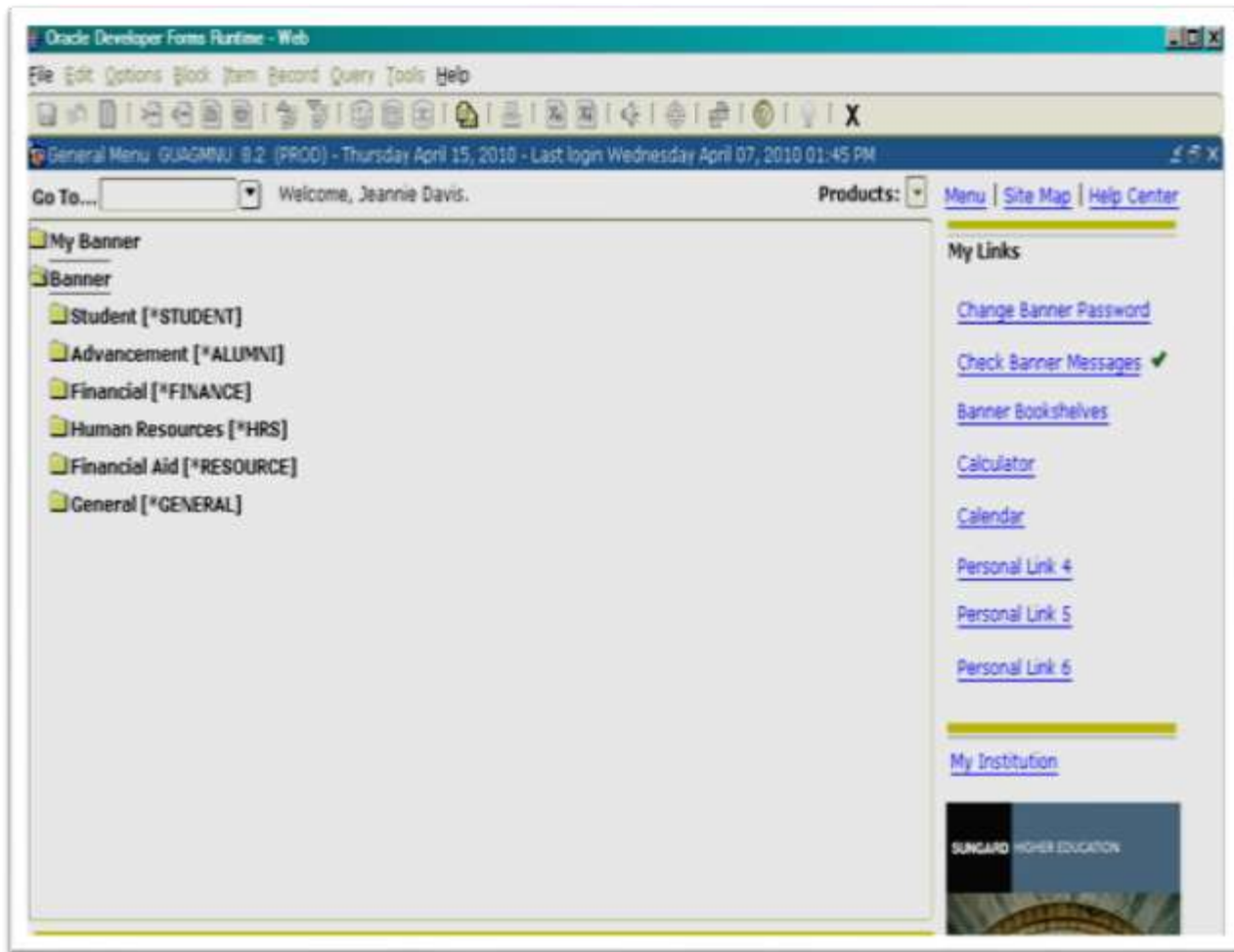
<http://banner.uncp.edu:7778/forms/frmservlet?config=prod>

Type in: Username and Password and Select Connect

A screenshot of a 'Logon' dialog box from the Banner system. The dialog box has a title bar with the text 'Logon' and a close button (X). Inside the dialog, there are three text input fields labeled 'Username:', 'Password:', and 'Database:'. Below these fields are two buttons: 'Connect' and 'Cancel'. The 'Connect' button is highlighted with a black border.

Start Step One: The General Menu Screen/Process Submission Control Screen shown below will appear.

Type **SWRSCF1** in the General Menu Form in the Go To location



Step One – Runs Process **SWRSCF1**- Creates the Student Course Table. The main purpose of this process is to ‘freeze’ the data by selecting the students and their registered courses sections that will be included on the Student Course File and that prepares data to be saved in the SCF Layout required by GA. This data is CENSUS data and should not be changed after the census date. This process selects data previously selected and stored in the Course Description Table (SWBCDTF) along with information from SPBPERS and SFRSTCR table:

- SCF Item001 Student SSN
- SCF Item007A Course Abbreviation
- SCF Item007B Section
- SCF Item007E Credit Hours

Multiple executions of SWRSCF1 are permitted but the final execution of the process should be on the Census Date.

Parameters:

- Banner Term Code 201020 Value for Spring 2010
- Census Data Flag Y Value for Census Date

Step Two – Runs Process **SWRSCF2** – Updates Student Course Table. This process adds and updates the remainder of the items for the SCF in the SWRSCFT table with data from SFRSTCR and SGBSTDN tables. This process can be executed as many times as necessary to correct the data in the SWRSCFT table as the data is updated in Banner. This process will not affect the data previously ‘frozen’ by SWRSCF1.

Parameters:

- Banner Term Code 201020 Value for Spring 2010
- SCF Term 20101 Year and 1 represents Spring
- Run Type Census

Step Three- Runs Process **SWRSCF9** – Creates Student Course File. This process creates the Student

Process: SWRCDT1 Create Course Descrip. Table Parameter Set:

Printer Control
Printer: DATABASE Special Print: Lines: 55 Submit Time:

Number	Parameters	Values
01	Banner Term Code	200810
02	Census Date Flag	Y
03	Banner Part of Term Code	

LENGTH: 6 TYPE: Character O/R: Optional M/S: Multiple

Submission
☒ Save Parameter Set as Name: Description: ☐ Hold ☐ Submit

Record: 3/3 | | List of Valu... | <OSC>

Course File (SCF) from the data in the SWRSCFT table. The output file is in the correct format to transmit to UNC General Administration.

Parameters:

- Output File Name uncp101.scf - GA Naming Convention
- Banner Term Code 201020 - Banner Term for Spring 2010
- CDF Item002 As of Date 20101- Year and 1 represents Spring
- File Type A – Both Resident and Extension

Cycle two: End of Semester Cycle:

This cycle creates the EOS SCF Entries using a two step process. (Basis for Grade File - SGF)

Step One – Runs Process **SWRSCF4**- This process is executed at the end of the semester to add new course sections to the SWBCDTF table that were not included at the census date. This is necessary for the updated SCF that is sent to UNC General Administration at the end of the semester. Multiple executions of SWRSCF4 are permitted but the final execution of the process should be on the end of semester date or data that is as of the end of the semester.

Parameters:

- | | | |
|------------------------|--------|-----------------------|
| ▪ Banner Term Code | 201020 | Value for Spring 2010 |
| ▪ End of Semester Flag | Y | Value for Census Date |

Step Two – Runs Process **SWRSCF2** – Updates Student Course Table. This process adds and updates the remainder of the items for the SCF in the SWRSCFT table with data from SFRSTCR and SGBSTDN tables. This process can be executed as many times as necessary to correct the data in the SWRSCFT table as the data is updated in Banner.

Parameters:

- | | | |
|--------------------|--------|------------------------------|
| ▪ Banner Term Code | 201020 | Value for Spring 2010 |
| ▪ SDF Term | 20101 | Year and 1 represents Spring |
| ▪ Run Type | Census | |

NOTE: The Student Course Load File (SCF) is NOT submitted to UNC GA at the end of the semester. The EOS cycle is only run to update the SWRSCFT table with the EOS data that is used as the Basis for the Grade File.

Student Data File (SDF)

The Student Data File (SDF) for enrolled and applied students is generated at the beginning of each semester on the Census Date and submitted to UNC General Administration. The SDF has two cycles: Census Date and EOS (Graduated Student Data Updated on File). The SDF data file is due to GA four times a year.

October 15 for the fall semester

March 1 for the Spring Semester

July 15 for the first Summer Session

August 15 for the Second Summer Session

The Office of Institutional Effectiveness is committed and required to provide clean, accurate, and time sensitive data for each data elements defined on the Student Data File (SDF) layout provided by GA.

Definitions:

Census Date: The 10th class day from the beginning of classes including the day on which classes begin for fall and spring terms. One 10th (3rd class day) of a Summer Session defines this date for Summer I and II.

SDF Layout: A record unit of each data item on the CDF file and the position of the data item on the file provided to GA.

Student Data File (SDF) Layout Items:

• Item001	Social Security Number	Position 1-9
• Item002	FICE Code	Position 10-15
• Item003	Submission Date CCYYT	Position 16-20
• Item004	Matriculation Date CCYYT	Position 21-25
• Item005	Acceptance Status	Position 26
• Item006	Enrollment Status	Position 27
• Item007	Graduation Status	Position 28
• Item008	County or State of Residence	Position 29-31
• Item009	Race	Position 32
• Item010	Sex	Position 33
• Item011	Year, Month, and Day of Birth CCYYMMDD	Position 34-41
• Item012	Citizenship	Position 42
• Item014	Teacher Certification	Position 43
• Item015	Degree Intent	Position 44
• Item016	State Employee Tuition Free Credit Hours	Position 45-47
• Item017	Military Waiver	Position 48
• Item018	Class Level	Position 49
• Item019	Resident Credit Hours Enrolled	Position 50-53
• Item020	Extension Credit Hours Enrolled	Position 54-57
• Item021	FTE of Degree Credit Hours	Position 58-60
• Item022	Transfer Institution	Position 61-66

• Item023	Data Availability Exception Code	Position 67
• Item025	Transfer Hours Applied to Degree	Position 68-72
• Item026	Housing Code	Position 73
• Item027	Total Degree Earned Hours at UNCP	Position 74-78
• Item028	Institutional Cumulative GPA	Position 79-82
• Item029	SAT Critical Reading	Position 83-85
• Item030	SAT Math	Position 86-88
• Item031	ACT Composite	Position 89-90
• Item032	High School Class Rank	Position 91-92
• Item033	High School GPA	Position 93-95
• Item034	Predicted GPA	Position 96-98
• Item035	High School Graduation Year Flag	Position 99
• Item036	High School CEEB Code	Position 100-105
• Item041	Health Affairs	Position 106
• Item042	Year & Term Graduated	Position 107-111
• Item043	Degree Type	Position 112
• Item045	HS Transcript	Position 119
• Item046	MAR Status	Position 120
• Item047	Remedial English	Position 121
• Item048	Remedial Math	Position 122
• Item049	Remedial Other	Position 123
• Item058	High School Graduation Date CCYYMM	Position 124-129
• Item061	Original Enrollment Status	Position 136
• Item062	RN/Generic Nursing Code	Position 137
• Item064	UNC GA GPA	Position 166-169
• Item065	UNC GA Hours	Position 171-174
• Item066	Credit Hrs Not Earned at UNCP(exclude Trans Hrs)	Position 138-142
• Item067	Second Degree Date CCYYT	Position 143-147
• Item068	Second Degree Certificate Code	Position 148
• Item073	ACT English	Position 155-156
• Item074	ACT Math	Position 157-158
• Item075	ACT Reading	Position 159-160
• Item076	ACT Science Reasoning	Position 161-162
• Item077	Freshman Performance Placement - Honor's Program	Position 163
• Item078	Freshman Performance Placement – English	Position 164
• Item079	Freshman Performance Placement - Math	Position 165
• Item080	CIP Field of Study	Position 187-198
• Item081	CIP Double Major	Position 199-210
• Item082	Joint Program Code	Position 211-214
• Item083	Remedial Reading	Position 215
• Item084	Freshman Performance Placement – Reading	Position 216
• Item085	Original Degree in Distance Education	Position 217
• Item086	Majoring in Distance Education	Position 218
• Item087	MCR Category	Position 219-221
• Item088	First Name	Position 222-241

• Item088	Middle Initial	Position 242
• Item088	Last Name	Position 243-262
• Item088	Name Suffix	Position 263-267
• Item089	SAT Writing	Position 268-270
• Item090	SAT Writing Sub Scores	Position 271-276
• Item091	ACT Writing	Position 275-276
• Item092	FTE if Resident Credit Hours	Position 277-279
• Item095	Military Home County or State	Position 292-294
• Item096	Inter-Institutional Code	Position 113
• Item097	Summer Bridge	Position 114
• Item098A	Race Hispanic/Latino	Position 175
• Item098B	Race American Indian	Position 176
• Item098C	Race Asian	Position 177
• Item098D	Race African American	Position 178
• Item098E	Race Native Hawaiian	Position 179
• Item098F	Race White	Position 180
• Item098G	Race Unknown/NRA	Position 181
• Item099	IPEDS Race	Position 182
• Item100	Campus ID	Position 280-288
• Item101	Non Face to Face Credit Hours Enrolled	Position 115-118

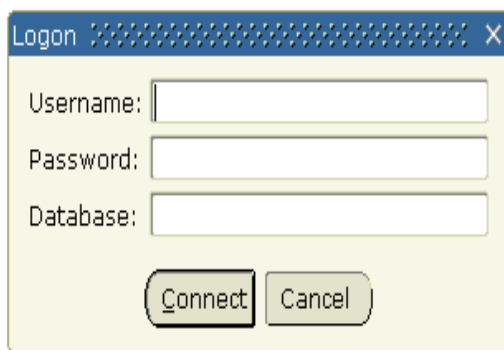
End of Semester (EOS): The End of Semester Date or on data that is as of the End of Semester This cycle creates the GSDF file.

Procedures for creating the Student Data File:

Creating the Student Data File: This process consists of two cycles: *Census Data Cycle* and an *End of Semester Cycle (creates GSDF)*. The login to create the SDF is the same as the previous files but the process login name is different for each file. To begin the Census Date Cycle login to Banner at:

<http://banner.uncp.edu:7778/forms/frmservlet?config=prod>

Type in: Username and Password and Select Connect

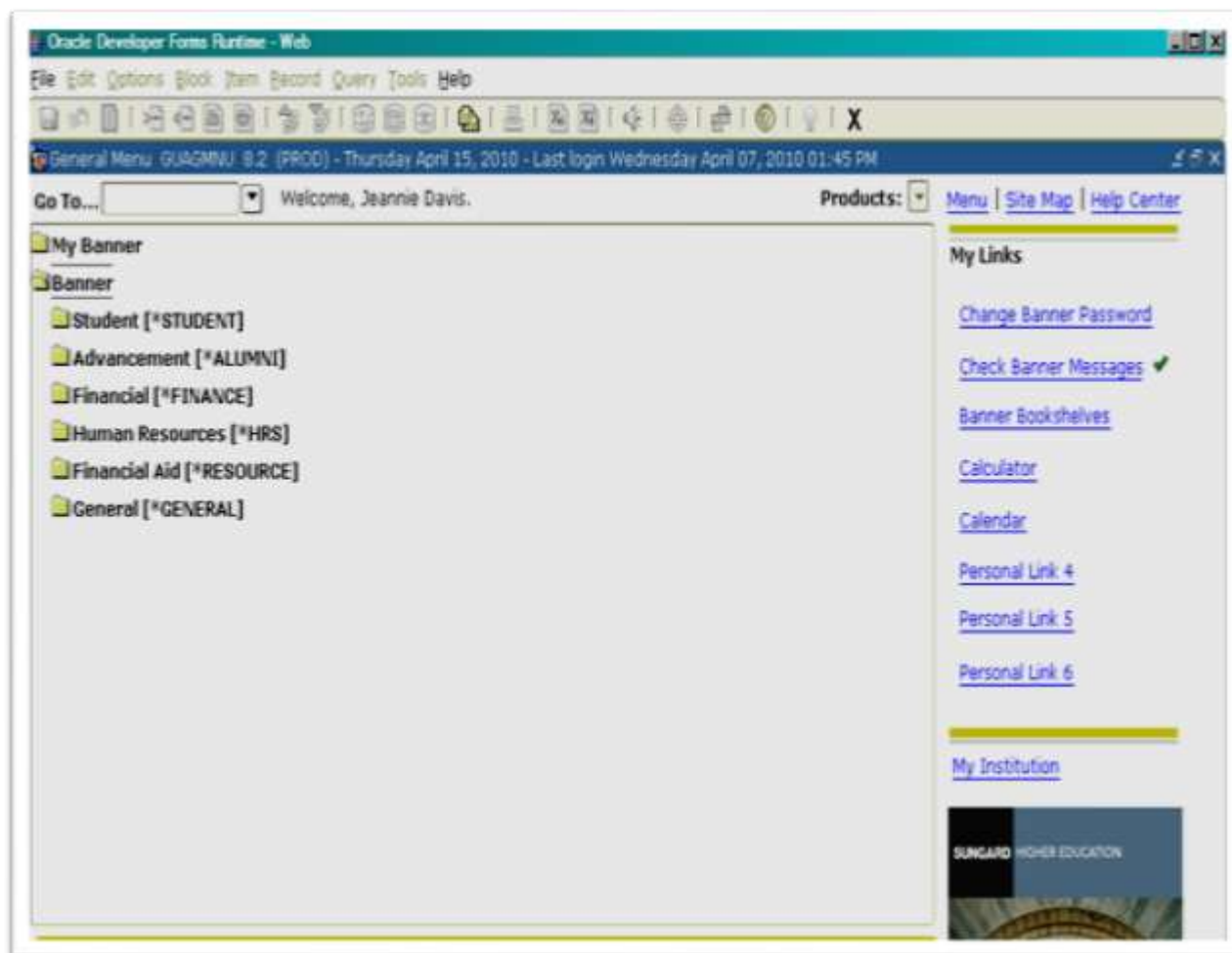


A screenshot of a 'Logon' dialog box from the Banner system. The dialog has a title bar with 'Logon' and a close button (X). It contains three text input fields: 'Username:', 'Password:', and 'Database:'. Below the fields are two buttons: 'Connect' and 'Cancel'.

Cycle One: Census Data Cycle creates the SDF using a three step process.

Start Step One: The General Menu Screen/Process Submission Control Screen shown below will appear.

Type **SWRSDF1** in the General Menu Form in the Go To location



Step One – Runs Process **SWRSDF1** - Create Student Data Table

This process selects from the Banner tables SWRSCFT and SGBSTDN for a given term all the students that have applied or enrolled. It inserts the records in the SWBSDFT table. When this process runs, it first checks to see if a previous run was identified as the final run (Census Date Flag=Y). If not, it first deletes all the records in the SWBSDFT table for that term. The following data should not be changed after the census date in the SWBSDFT table:

SDF Item 19 – Resident Credit Hours Enrolled
SDF Item 20 – Extension Credit Hours Enrolled

Multiple executions of SWRSDF1 are permitted but the final execution of the process should be on the census date or on data that is as of the census date. NOTE: Unless a previous execution for the specified term was identified as “Final” (Census Date Flag = Y), the process begins by deleting any records in the SWBSDFT table for that term.

- Banner Term Code 201020 Value for Spring 2010
- Census Data Flag Y Value for Census Date

Step Two – Runs process **SWRSDF2** – Update Student Data Table.

This process adds and updates the remainder of the items for the SDF in the SWBSDFT table with data from a number of Banner tables (e.g. SPRADDR, SHRTCKG, SHRTRIT, SHRTRCR, SHRLGPA, SORTEST, SORHSCH, SHRDGMR, STVMAJR). This process can be executed as many times as necessary to correct the data in the SWBSDFT table as the data is updated in Banner. This process will not affect the data previously “frozen” by SWRSDF1.

Parameters:

- Banner Term Code
- Run Type
- Item Number
- Graduated SDF Banner Term 2 GSDF only
- Graduated SDF Banner Term 3 GSDF only
- Graduated SDF Banner Term 4 GSDF only

The screenshot shows the Oracle Developer Forms Runtime window for the process SWRSDF2, titled "Update Student Data Table". The window includes a menu bar (File, Edit, Options, Block, Item, Record, Query, Tools, Help) and a toolbar. Below the title bar, there is a "Process Submission Controls" section with a "Process" dropdown set to "SWRSDF2" and a "Parameter Set" dropdown. The "Printer Control" section shows "Printer" set to "DATABASE", "Special Print" as an empty field, "Lines" set to "55", and "Submit Time" as an empty field. The "Parameter Values" section contains a table with columns "Number", "Parameters", and "Values". The table has six rows: 01 Banner Term Code (Value: 199910), 02 Run Type (Value: CENSUS), 03 Item number, 04 Graduated SDF Banner Term 2, 05 Graduated SDF Banner Term 3, and 06 Graduated SDF Banner Term 4. Below the table, it specifies "LENGTH: 6 TYPE: Character O/R: Optional M/S: Single" and "Enter the Banner Term Code". The "Submission" section at the bottom has a "Save Parameter Set as" checkbox checked, "Name" and "Description" fields, and "Hold" and "Submit" buttons. At the very bottom, it says "Save Entered Parameters; (CHECK to save)" and "Record 1/1" with a "<OBC>" button.

Number	Parameters	Values
01	Banner Term Code	199910
02	Run Type	CENSUS
03	Item number	
04	Graduated SDF Banner Term 2	
05	Graduated SDF Banner Term 3	
06	Graduated SDF Banner Term 4	

Step Three – Runs process **SWRSDF9** – Create Student Data Table

This process creates the Student Data File (SDF) from the data in the SWBSDFT table. The output file is in the correct format to transmit to UNC General Administration.

Parameters:

- Output File Name uncp101.sdf
- Banner Term Code 201020
- Submission Date 20101
- Run Type A
- Graduated SDF Banner Term 2 GSDF only
- Graduated SDF Banner Term 3 GSDF only
- Graduated SDF Banner Term 4 GSDF only

Graduated Student File (GSDF)

The Graduated Student File (GSDF) is the file generated with the interface process. The main purpose of this process is to “freeze” the data by selecting the students who have graduated that are included on the GSDF. The **GSDF file is the second cycle of the SDF and is run at the End of the Semester (EOS)** and submitted to UNC General Administration. The GSDF data file is due to GA two times a year.

Submitted in the Summer and Spring

The Office of Institutional Effectiveness is committed and required to provide clean, accurate, and time sensitive data for each data elements defined on the GSDF Layout provided by GA for the Course Description File.

Definitions:

Census Date: The 10th class day from the beginning of classes including the day on which classes begin for fall and spring terms. One 10th (3rd class day) of a Summer Session defines this date for Summer I and II.

GSDF Layout: A record unit of each data item on the GSDF file and the position of the data item on the file provided to GA.

Graduated Student Data File (GSDF) Layout Items:

• Item001	Social Security Number	Position 1-9
• Item002	FICE Code	Position 10-15
• Item003	Submission Date CCYYT	Position 16-20
• Item004	Matriculation Date CCYYT	Position 21-25
• Item007	Graduation Status	Position 28
• Item008	County or State of Residence	Position 29-31
• Item009	Race	Position 32
• Item010	Sex	Position 33
• Item011	Year, Month, and Day of Birth CCYYMMDD	Position 34-41
• Item012	Citizenship	Position 42
• Item014	Teacher Certification	Position 43
• Item015	Degree Intent	Position 44
• Item016	State Employee Tuition Free Credit Hours	Position 45-47
• Item023	Data Availability Exception Code	Position 67
• Item025	Transfer Hours Applied to Degree	Position 68-72
• Item027	Total Degree Earned Hours at UNCP	Position 74-78
• Item028	Institutional Cumulative GPA	Position 79-82
• Item042	Year & Term Graduated	Position 107-111
• Item043	Degree Type	Position 112
• Item061	Original Enrollment Status	Position 136
• Item062	RN/Generic Nursing Code	Position 137
• Item064	UNC GA GPA	Position 166-169

• Item065	UNC GA Hours	Position 171-174
• Item066	Credit Hrs Not Earned at UNCP(exclude Trans Hrs)	Position138-142
• Item067	Second Degree Date CCYYT	Position 143-147
• Item068	Second Degree Certificate Code	Position 148
• Item080	CIP Field of Study	Position 187-198
• Item081	CIP Double Major	Position 199-210
• Item082	Joint Program Code	Position 211-214
• Item085	Original Degree in Distance Education	Position 217
• Item088	First Name	Position 222-241
• Item088	Middle Initial	Position 242
• Item088	Last Name	Position 243-262
• Item088	Name Suffix	Position 263-267
• Item098A	Race Hispanic/Latino	Position 175
• Item098B	Race American Indian	Position 176
• Item098C	Race Asian	Position 177
• Item098D	Race African American	Position 178
• Item098E	Race Native Hawaiian	Position 179
• Item098F	Race White	Position 180
• Item098G	Race Unknown/NRA	Position 181
• Item099	IPEDS Race	Position 182
• Item100	Campus ID	Position 280-288

End of Semester (EOS): The End of Semester Date or on data that is as of the End of Semester.

Procedures to create the Graduated Student Data File (GSDF):

<http://banner.uncp.edu:7778/forms/frmservlet?config=prod>

Type in: Username and Password and Select Connect

Step One – Runs process **SWRSDF4** – Create Graduated SDF Entries

This process is executed at the end of the semester to extract graduation data for students. Multiple executions of SWRSDF4 are permitted but the final execution of the process should be on the end of semester date or on data that is as of the end of semester.

Parameters:

- Banner Term Code (R/S)
- Grad Flag (R/S)
- Banner Term Code 2 (O/S)
- Banner Term Code 3 (O/S)
- Banner Term Code 4 (O/S)

Step Two – Run process **SWRSDF2** – Update Student Data Table

This process adds and updates the remainder of the items for the Graduated SDF in the SWBSDFT table with data from a number of Banner tables (e.g. SPRADDR, SHRTCKG, SHRTRIT, SHRTRCR, SHRLGPA, SORTEST, SORHSCH, SHRDGMR, STVMAJR). This process can be executed as many times as necessary to correct the data in the SWBSDFT table as the data is updated in Banner.

Parameters:

- Banner Term Code
- Run Type
- Item Number
- Graduated SDF Banner Term 2
- Graduated SDF Banner Term 3
- Graduated SDF Banner Term 4

Step Three – Runs process **SWRSDF9** – Create Student Data Table

This process creates the Graduated Student Data File (SDF) from the data in the SWBSDFT table. The output file is in the correct format to transmit to UNC General Administration.

Parameters:

- Output File Name
- Banner Term Code
- Submission Date
- Run Type
- Graduated SDF Banner Term 2
- Graduated SDF Banner Term 3
- Graduated SDF Banner Term 4

Course Location File (CLF)

The Course Location File (CLF) is generated at the end of the Fall term (EOS) and submitted to UNC General Administration. NOTE: The CLF is based on data obtained by running the Course Description Table File (CDF) end-of-term processes. After the CDF EOS cycle is complete, the CLF processes can be run to get enrollment, location and other CLF information for each course in the CDF. The processes that comprise the CLF EOS cycle are described below.

The CLF data file is due to GA once a year December 31

The Office of Institutional Effectiveness is committed and required to provide clean, accurate, and time sensitive data for each data elements defined on the CLF Layout provided by GA for the Course Description File.

Definitions:

Census Date: The 10th class day from the beginning of classes including the day on which classes begin for fall and spring terms. One 10th of a Summer Session defines this date for Summer I and II.

Course Location File (CLF) Layout: A record unit of each data item on the CLF file and the position of the data item on the file provided to GA.

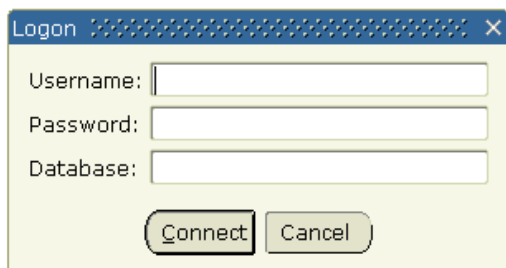
CLF Layout Data Items:

• CLF001	Reporting Institution	Position 1-6
• CLF002	Campus Code	Position 7-9
• CLF003	Course Abbreviation	Position 10-19
• CLF004	Course Section	Position 20-22
• CLF005	As of Date	Position 23-27
• CLF006	Degree Credit Course Flag	Position 28
• CLF007	Flexible Course Flag	Position 29
• CLF008	Course Listing Flag	Position 30
• CLF009	Block Course Flag	Position 31
• CLF010	Piggy Back/Sequential Flag	Position 32
• CLF011	Enrollment	Position 33-35
• CLF012	Location Segments	Position 43-44
• CLF014A	Location Identification Flag	Position 45
• CLF014B	Building Number	Position 46-49
• CLF014C	Room Number	Position 50-55
• CLF014D	Class Meeting Days	Position 56-62
• CLF014E	Beginning Time	Position 63-66
• CLF014F	Ending Time	Position 67-70

End of Semester (EOS): The End of Semester Date or on data that is as of the End of Semester.

Procedures to create Course Location File (CLF):
<http://banner.uncp.edu:7778/forms/frmservlet?config=prod>

Type in: Username and Password and Select Connect

A screenshot of a 'Login' dialog box. It has a title bar with 'Login' and a close button. Inside, there are three text input fields labeled 'Username:', 'Password:', and 'Database:'. Below the fields are two buttons: 'Connect' and 'Cancel'.

This process consists of one cycle the End of Semester Cycle.

NOTE: Prior to starting this cycle, you must complete the EOS cycle for the Course Description Table File (CDF). The EOS data in SWBCDTF is used as the basis for the Course Location File (CLF).

Step One - Runs Process **SWRCLF2** – Update CLF Data

This process is executed at the end of the semester to extract some of the CLF data for each course and update the Course Description Table File (SWBCDTF) with this information, along with updated enrollment figures. Multiple executions of SWRCLF2 are permitted but the final execution of the process should be on the end of semester date or on data that is as of the end of semester

Parameters:

- Banner Term Code
- Item Number

Step Two – Runs process **SWRCLF9** – Create Course Location File

The final step in creating the CLF is executing the process SWRCLF9. This process creates the Course Location File (CLF) from the data in the SWBCDTF table. It also extracts location information from the Section Meeting Times Repeating Table (SSRMEET). The output file is in the correct format to transmit to UNC General Administration. This process creates the Course Location File (CLF) from the data in the SWBCDTF table. It also extracts location information from the Section Meeting Times Repeating Table (SSRMEET). The output file is in the correct format to transmit to UNC General Administration.

Parameters:

Output File Name
Banner Term Code
CLF Item 5: As of Date
File Type

Course Grade File (CGF)

The Course Grade File (CGF) is generated at the end of each term (EOS) and submitted to UNC General Administration. It is based on data obtained by running the Student Course Load end-of-term processes. After the SCF EOS cycle is complete, the CGF processes can be run to get grade information and update the quality points for each course. The processes that comprise the EOS cycle are described below.

NOTE: Prior to starting this cycle, you must complete the EOS cycle for the Student Course Load File (SCF). Although the SCF is not submitted to UNC General Administration, the EOS data in SWRSCFT is used as the basis for the Course Grade File.

January for the Fall semester

June for the Spring Semester

August for the First Summer Session

September for the Second Summer Session

The Office of Institutional Effectiveness is committed and required to provide clean, accurate time sensitive data for each data elements defined on the Student Course File (SCF) layout provided by GA.

Definitions:

CGF Layout: A record unit of each data item on the SGF file and the position of the data item on the file provided to GA.

CGF Layout Data Items:

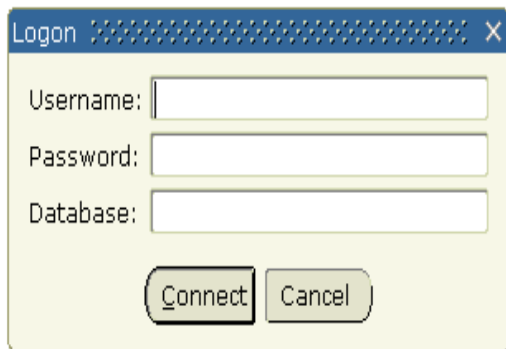
• Item001	Social Security Number	Position 1-9
• Item002	FICE Code	Position 10-15
• Item003	Submission Date	Position 16-20
• Item006	Campus ID (Banner ID)	Position 23-31
• Item004	No of Course Segments	Position 51-52
• Item005	Course Abbr. (Name and Number)	Position 53-62
• Item005	Section	Position 63-65
• Item005	Site Where Instruction is Received	Position 66-68
• Item005	Graduate Center/Pilot Site	Position 69
• Item005	Credit Hours	Position 70-73
• Item005	State Employee/Military Flag	Position 74
• Item005	Quality Points	Position 75-78

End of Semester (EOS): The End of Semester Date or on data that is as of the End of Semester.

Procedures to create the Course Grade File (CGF) :

<http://banner.uncp.edu:7778/forms/frmservlet?config=prod>

Type in: Username and Password and Select Connect

A screenshot of a Windows-style dialog box titled "Logon". It has a blue title bar with a close button (X) on the right. The dialog box has a yellow background. It contains three text input fields: "Username:", "Password:", and "Database:". Below the input fields are two buttons: "Connect" and "Cancel".

Creating the Course Grade File: This process consists of one cycle: End of Semester Cycle.

End of Semester Cycle: This cycle creates the CGF using a two step process.

NOTE: Prior to starting this cycle, you must complete the EOS cycle for the Student Course Load File (SCF). Although the SGF is not submitted to UNC General Administration at the end of a semester/term, the EOS data in SWRSCFT is used as the basis for the Course Grade File.

Step1: SWRCGF1 – Get Quality Points

This process is executed at the end of the semester to extract grade data for each student's courses and update the Student Course File Table (SWRSCFT) with grade and quality points. Multiple executions of SWRCGF1 are permitted but the final execution of the process should be on the end of semester date or on data that is as of the end of semester after grades have been entered.

Step2: SWRCGF9 – Create Student Grade File

The final step in creating the SGF is executing the process SWRCGF9. This process creates the Student Grade File (SGF) from the data in the SWRSCFT table. The output file is in the correct format to transmit to UNC General Administration.

Who is BARNEY?

Barney is General Administration's, Division of Institutional Research and Analysis (IRA) file submission server. It allows browser access for Reporting, Notifying, and Editing Year-Around. This allows the UNC campuses to run the data files created by the each interface through an edit process. This process consists of an error report that enables each campus to validate the data in a file. This process also generates comparative reports of the current term to prior terms.

<https://barney.northcarolina.edu/>

This web site is used by Directors of Institutional Research at the 17 campuses of the University of North Carolina for reporting and editing data submitted to the IRA.

After the data file has been placed on IRA's File submission server (Barney). This site allows each campus to execute the edit process, and to view reports that are generated from this process.

WinSCP File Transfer

WinSCP is an open source free SFTP client and FTP client for Windows. Legacy SCP protocol is also supported. Its main function is safe copying of files between a local and a remote computer. WinSCP file transfer is used by OIE to transfer files from our computers to the IRA's File submission server Barney.

UNC General Administration Interface and Employee Related Data File

Personnel Data File (PDF)

The Personnel Data File (PDF) is to be produced annually and submitted to Institutional Research & Analysis Division of UNC-General Administration (UNC-GA-IRA). Included in this data file all non-student EPA and SPA employees that are either:

- Currently on the institutional payroll (all budget codes) regardless of the source of funds, or
- Not on the current payroll due to being on leave or termination of employment during the past year (since the "as-of-date" of the PDF for the previous year).
- All current graduate assistants.

Data for each campus should be as of the end of the payroll period closest to the first of October each year. Edited files are due at General Administration on November 15th each year. The PDF is to be submitted as a "flat" file with a fixed "base" portion of 180 bytes and a variable number (depending on Item #18) of "Employment Units", each of which is 60 bytes long. This format will be used by the PDF Edit program to create SAS versions of the PDFs. These SAS files will be used by all PDF report writing programs. The data file will not be accepted by UNC-GA-IRA until all critical errors are cleaned up.

Procedure to create the PDF.

The process to create the PDF:

Log on the Banner system. <http://banner.uncp.edu:7777/forms/frmservlet?config=prod>

Enter user name and password.

At the go field type 'PWRPDF1' then hit enter.

Click down in the Parameters box. Underneath the Values drop down, enter the year. Next enter 'N' for not census date.

Click in the name field, then click save.

Then click the options tab and then review output.

Click in the name tab, You will get an error message until the process has completed.

Once the process has completed you can double click in the name tab and if no errors, open up the log. A PDF table has been created.

Close out and go back to the form, enter PWRPDF2 in the go field. This process updates the pdf table in Banner. Go down to the parameters box and enter the year. Click down in the names box then click the save icon. Then click on options then review output. When process is complete, you can look at the log. If no errors go to next step.

Close out and go back to form. Enter PWREMU1 in the go field, and hit enter. This process creates an individual employment units. Click in the Parameters block and type the year, and hit enter. Tab to the name field click, then click the save icon. When the process is complete, check the log, if no errors. Go to next step.

Close out and go back to form. Enter PWRPDF9 in the go field, and hit enter. This process creates the Personnel Data file. Tab down to the parameters field. Enter the naming convention uncp09.pdf., where 09 is current year. In the year field enter the current year.

Click in the name field, then click the save icon. Check the log to see if the file was created.

After the file is created, it needs to be moved to the K drive. Close the form and go back to the form enter PWGPYRL and hit return. Click down in the name box then click the save icon.

After PDF file is created and moved to the k drive. The file now needs to be placed on Barney and run through an edit process.

Log on to Barney through a secure server. Username and password will be issued to appropriate personnel. Once you have moved the flat file to the Barney server. Follow the link below to get to UNC-OP Institutional Research File Submission and Edit System. <https://barney.northcarolina.edu/uncp/> Below is a snap shot of the form to complete to run through the edit program.

The screenshot shows a web browser window displaying the 'UNC-OP Institutional Research File Submission and Edit System' form. The form is titled 'The UNIVERSITY of NORTH CAROLINA A TR-CAMPUS UNIVERSITY' and 'UNC-OP Institutional Research File Submission and Edit System'. It contains several input fields and sections:

- Form Fields:**
 - FILE Code: 002954
 - IPEDS Unit: 188201
 - Email Address: Ginger.brooks@uncg.edu
 - Year & Term: 2009 - Blank (FAF)
- File to be processed:**
 - ☐ Edit file only
 - ☒ Edit file and get standard reports
- Personnel Files:**
 - ☐ Personnel Titles and Codes
 - ☒ Personnel Data File (*.pdf)
- Student Files:**
 - ☐ Student Data File (*.pdf)
 - ☐ Graduated Student Data File (*.grad)
 - ☐ Student Counselor File (*.pdf) and/or Course Description Table File (*.pdf)
 - ☐ Course Grade File (*.pdf) and/or CDFIF Update File (*.pdf)
 - ☐ Financial Aid File (*.pdf)
- Special reports (may require more than one file):**
 - ☐ Course Location File (*.pdf)
 - ☐ (Replaces Facilities Utilization Data)
- Debugging Level:** 2
- Buttons:** Submit, Reset

After filling in the information on the form, hit the submit button. This will take you to another form.

Edit Needed - Date: Time Last Modified:	receipt.pdf - June 3, 2009 - 11:46
OUTCNTL: Set output format of printed edit messages	<input type="radio"/> Short (about 4 records per page) <input type="radio"/> Long (one record per page) <input type="radio"/> None (no individual records will be printed)
OUTALL: Determines which records will be printed	<input checked="" type="radio"/> Records (print only records with names) <input type="radio"/> All (print all records)
SRTCNTL: Order of output messages within EPA, OTA, and SPA	SSA INCRIDEPT NAME
DRAFT: Label output output as DRAFT	<input type="radio"/> No <input type="radio"/> Yes
MINPCT & MAXPCT: Minimum and Maximum values prevent changes for comparison report	MINPCT: <input type="text"/> MAXPCT: <input type="text"/>
All necessary files are present. Press the SUBMIT button to begin creating the PDF file.	
<input type="button" value="Submit"/>	

You can accept the defaults, or modify for various Edit outputs. Instructions below.

Controlling the PDF Edit

The first six statements of the PDF Edit program are used to create “macro” variables. The statements look like this:

```
%LET INCAMP=A;
```

```
%LET YR=1999;
```

```
%LET CRIPT=N;
```

```
%LET OUTCNTL=S;
```

```
%LET OUTALL=E;
```

```
%LET SRTCNTL=NAME;
```

In the first statement the variable INCAMP is set to inform the program which campus is providing a PDF to be edited. Use the capital letter that is the Item #1 code for your campus. This variable controls the campus name in the page titles and is used to edit your records to see that Item #1 is properly coded.

The second statement informs the program of the year of the data to be edited. This is used to set the As-Of-Date (Item #40) in the output SAS files and compare to other dates such as hire date and birth date in the editing process.

The third statement sets the CRIPT flag to indicate (N=No Y=Yes) if the input PDF has scrambled Social Security Numbers. If the flag is set to Y then the program will unscramble the SSNs in the output SAS files.

The fourth statement sets OUTCNTL which is used to control the linesize, pagesize, and output format of the printed edit messages. S=Short (about six records per page). L=Long (One record per page). N=None (No individual records will be printed).

The fifth statement sets OUTALL which gives the edit the option of generating printed output for all input records regardless of edit messages. E=Errors (Only records with edit messages will be printed). A=All (All input records will be printed).

The sixth statement sets the SRTCNTL variable which is used to control the order of the output messages. The output messages will be grouped by the basic EPA, GTA, and SPA categories. Within these groups, they will be printed in SSN order by default if no other order is specified. You can specify any order you like by using the SAS name of any variables used in the edit program.

Sample statements Order within EPA, GTA, and SPA

```
%LET SRTCNTL=; SSN
```

```
%LET SRTCNTL=NAME; Alphabetical
```

```
%LET SRTCNTL=HOMEDEPT; Department
```

```
%LET SRTCNTL=HOMEDEPT NAME; Alphabetical within departments
```

After you hit submit button, the data file will be run through the edit program to generate a list of error messages and various reports from the PDF file.

Below is a snapshot of the screen after the edit program has been submitted. You can click on the link to see the generated error message/reports.



You can now see the error Log it will look like the screen below.



You may now look at the reports. pdf.pdf010.summary.pdf will show all the errors and inconsistencies of the data file. You may now begin to clean up the data. The file will not be accepted until all critical errors are cleaned up. You will fix the errors and keep running the file through the edit process until it is an acceptable file to submit to UNC-GA-IRA.

Faculty Management Procedures

Defines the current procedures regarding the maintenance of the Faculty Management Module in Banner, as well as two of the Banner HR forms.

All university personnel that teach courses at UNCP.

To avoid any possible conflict of interest in which a faculty member is entered into the system only contracts that have been approved by academic affairs and submitted to Human Resources should be entered into the Faculty forms in Banner.

Procedures:

After receiving the Faculty information forms from Human Resources or Academic Affairs.

Log on to the Banner System: <http://banner.uncp.edu:7777/forms/frmservlet?config=prod>

How to Navigate to SIAINST form:

At the Go: field type SIAINST and hit enter. This takes you to the Faculty/Advisor information form. Enter the faculty members ID. If the ID is not available you can enter the last name (or part of) first comma then first name and the “%” sign. A box will appear that will allow you to drill down to the correct name, and the Banner ID will be retrieved.

The name of the person is now in the ID Block. Click <Next Block>.

Fields to enter her are:

Term

Status

AC	Active
N	Inactive
A1	Active Full-time Faculty
B1	Leave w/o Pay
C1	Terminated
C3	Deceased
C4	UNCP Non-faculty Teaching
C5	Phased Retirement
PT	Part Time Faculty
GA	Graduate Assistant
A3	Admin. with Faculty Status
AD	Non teaching advisor
A2	Admin. without Faculty Status

Faculty indicator box must be checked as well as Advisor if advising students.

Category All faculty are coded “999.” Administrative title code is stored in this field also for EPA employees. This field will be addressed in the PDF file documentation.

“ The Faculty/Advisor Information Form (SIAINST) must be created for faculty members prior to them being available to teach a section or be assigned as an advisor. This form is effective term oriented to maintain the information as it changes over time.”

The PEAFACt form: Log on to the Banner System:
<http://banner.uncp.edu:7777/forms/frmservlet?config=prod>

At the “Go” field type PEAFACt and hit enter. This takes you to the faculty action tracking form. The name of the faculty member is still in the ID Block.

Fields to enter:

Primary Activity (which defaults to Instructional): Other options are Administrative and Research.

Primary discipline: This six digit identifies the discipline area of instruction, use the six digit CIP 2000 code representing the discipline of instruction or research. If the PCS is 11 or 12 this field will be populated. If the PCS is another code this field will be blank.

Facutly Type: The Personnel Classification Structure(PCS) code. For faculty it will be 11 or 12 indicating that the employee is being paid to conduct degree related instruction.

Academic Title: This is the primary job title. Professor/Department Chair, AVC etc....

Original Appointment Begin Date: This is the date of the first appointment of the faculty member. It should be entered in the form DD-MON-YYYY. For example August 1, 2009, enter 01-AUG-2009. Click <save> in the menu. You will get a message “Transaction complete. 1 Record applied and saved”.

Appointment and Tenure: Through the menu at the top of the form, Click <OPTIONS> and <Appt/Tenure Records>. In this form, we will maintain the faculty members’s appointment and tenure information. The key code in this form is the Tenure Code. These codes are Tenure =T, On Track=N, Not Tenure Track=Z, Phased Retirement=P, Retired=R.

Tenure Code: You many entered any tenure code for the first record.

Tenure Tracking Begin: The date of Tenure Appt.

This Action Date: The date on which the info was initiated on behalf of the faculty member, (defaults to today’s date for first record).

Effective Date: For the first record defaults to Beginning Appointment date entered in Primary Information Block.

Initial Record Box: Check this box if this is the first appointment record.

For any faculty member that already has an appt/tenure record.

Click <OPTIONS><NEW DATE>

New Action Date: Enter in the form DD-MON-YYYY. This can be the date the info was initiated on behalf of the faculty member. This is usually today's date.

Effective Date: This is the date the new appt takes effect. Click <save> in the menu. Now you can click the down arrow and up arrow and see both records.

Review Type: This field is used for Tenure Review. Enter "05" for Tenure Review.

Next Review Date: This date is 5 years from the Effective date. Enter in DD-MON-YYYY form. Click <Save> on the menu.

To Enter a Faculty members Rank Records.

Navigate to PEAFACT, <Options><Rank records>

Rank Code/Modifier must be one of the following:

Professor
Associate Professor
Assistant Professor
Instructor
Lecturer

The **rank modifier** should be based on the title used in the EPA employee's letter of appointment. Tenure/Tenure Track medical faculty should not be coded as Clinical. Administrators with faculty rank should be coded as though they were regular faculty. Faculty with C, D, or G through P coded here will be reported on AAUP and IPEDS reports as No Faculty Rank regardless if they are coded as Professor, Associate, Assistant etc.

A = No Modifier
B = Distinguished or Titled (Persons holding named professorships)
C = Clinical
D = Adjunct
E = Research
F = Extension (Applicable to NCA&T and NCSU only)
G = Librarian
H = Other (e.g. research associate, research assistant, affiliate faculty, writer-in-residence, artist, etc.)
I = Visiting
J = Visiting Distinguished or Titled (Persons holding named professorships)
K = Visiting Clinical
L = Visiting Adjunct
M = Visiting Research
N = Visiting Extension (Applicable to NCA&T and NCSU only)
O = Visiting Librarian

P = Visiting Other (e.g. research associate, research assistant, affiliate faculty, writer-in-residence, artist etc.)

Q = Senior Lecturer

R = Professor of the Practice

S = Teaching

Rank Effective Date: Enter the date the rank appt takes place.

For any Faculty that already has a Rank record.

Click <OPTIONS><NEW DATE>

New Action Date: Enter in DD-MON-YYYY form. This is usually today's date.

Proposed Effective Date: This is the date the new rank was obtained, and will fill in the Rank Effective date.

Faculty Snapshot: With this form, you may see a snapshot of the faculty administration information based on a date. If data does not appear, click <RollBack> and enter Query Date closest to the appointment you want to see, then click <Next Block>.

Faculty History: With this form, you may see all of the faculty administration activity for a person.

PPAGENL Form: This form tracks a person's educational background, examination results, publications, and transcripts. Multiple institutions and multiple degrees can be entered for the applicant or employee.

Log on to the Banner System: <http://banner.uncp.edu:7777/forms/frmservlet?config=prod>

At the "Go" field type *PPAGENL* and hit enter.

To Enter Diploma or Degree Data

1. Enter the person's ID.
2. Go to the Institution block.
3. Enter the code identifying the institution where the person earned the degrees in the SBGI field.
4. Save.
5. Go to the Diploma or Degree block.
6. Enter the Degree.
7. Enter any other degree information available.
8. (Optional) Go to the Majors block, and enter each code identifying one of the person's Majors on a separate line.
9. (Optional) Go to the Minors block, and enter each code identifying one of the person's Minors on a separate line.
10. (Optional) Go to the Area of Concentration block, and enter each code identifying one of the person's Concentrations on a separate line.
11. Save.

GA Reporting – State and Federal Reports

North Carolina Higher Education Data (NCHEd) Reporting

The Office of Institutional Effectiveness (OIE) **receives a letter** from The University of North Carolina General Administration. The **letter includes the contacts for the NCHEd forms, URL, password and due date**. IE contacts the offices and follows up with each office forms are completed. The following two NCHEd reports are submitted via web:

- NCHEd A-2 - Student Housing Report (due around November 15th)
- NCHEd A-3 - Student Tuition, Fees, & Charges (due October 1st)

Procedures¹

1. Go to the NCHEd collection web page <http://fred.northcarolina.edu/nched/html/>
2. Click “Enter or update”
3. Enter your institution’s:
 - a. FICE Code
 - b. IPEDS UnitID
 - c. The password for the appropriate form to be completed
 - d. Your contact information
 - e. Click “Submit”
4. Scroll down to locate the form you plan to enter or update and Click “Enter/Update”.
5. Enter the data.
6. When data entry is complete, click “Submit”. (A link to definitions and instructions is at the top of each form).
7. Successful completion of a form will result in a table showing the data you just entered. Otherwise, an error message will show up.
 - a. If you receive an error message, please go back to the form you just worked on and make corrections.

NCHEd A-2 Instructions²

- Report distribution of Fall headcount enrollment by type of housing.
- For UNC institutions, the total enrollment reported in this form should be the same as that reported to IPEDS.
- Status Codes
 - No Change - Residence hall was open last year and is open this year.
 - New/ Re-opened - Residence hall is newly opened this year or re-opened after renovation.
 - Expanded - Living space has been added or non-livable space (basement, etc.) has been converted to living space.

¹ <http://fred.northcarolina.edu/nched/html/webinstr1.html>

² <http://fred.northcarolina.edu/nched/html/define.html>

- Under Renovation - All or part of the residence hall has temporarily closed. The normal capacity should be reduced accordingly.
- Removed as Dorm - Building has been permanently closed as a dorm (demolished, converted to other uses). The normal capacity should be reduced accordingly.
- Normal Capacity - The number of students the living space currently available was designed to hold. Do not include temporary overflow in this category.

NCHED A-3 Instructions³

- Tuition, fees, and charges are for a full-time student in the regular academic year (two semesters or three quarters), excluding summer school.
- For undergraduates, include only those charges that are applicable irrespective of the course of study.
- If the institutional title of charges is different from those listed, please report in the most appropriate space.
- Exclude refundable deposits, one-time fees (admission fees, graduation fees, etc.), and special course fees that are not required for all full-time students.
- If a book rental fee is required, specify the fee, but do not include the amount of the fee in the totals.

³ <http://fred.northcarolina.edu/nched/html/define.html>

Integrated Postsecondary Education Data System (IPEDS) Reporting

IPEDS is the core postsecondary education data collection program for the National Center for Education Statistics (U.S. Department of Education). Data are collected from all primary providers of postsecondary education in the country in areas including enrollments, program completions, graduation rates, faculty, staff, finances, institutional prices, and student financial aid. These data are made available on the IPEDS website to students, researchers and others.

An IE staff is the keyholder for the university and a staff of General Administration (GA) is the system coordinator. The keyholder is responsible for locking the data upon completion, which is the first lock. The system coordinator completes the final lock. The system coordinator also imports data to IPEDS, which allows the keyholder to perform edits and lock the data.

An email is sent to the keyholder towards the end of the summer with instructions and the schedule for the upcoming academic year.

- Information includes the Registration Period, Institution Identification and the Institutional Characteristics Header
- Fall Term:
 - Institutional Characteristics (IE with assistance from Student Accounts; some data is imported from GA)
 - Completions (data is imported from GA)
 - 12-month Enrollment (data is imported from GA)
- Winter ⁴
 - Human Resources
- Spring
 - Fall Enrollment
 - Graduation Rates
 - Student Financial Aid
 - Finance (Controller's Office)

Follow the Steps to Locking – do this for EACH survey in the current collection:

1. Enter data
2. Perform edits
3. Resolve errors
4. Perform edits again
5. Repeat steps 3 and 4 as needed, until survey status is Clean
6. Lock survey

Procedures

1. Go to Website: <http://surveys.nces.ed.gov/ipeds/>

⁴ Note: Fall Enrollment data and/or Finance data also may be provided during the winter cycle.

2. Log in with username and password provided

- The screen displays the status of all the surveys in the current collection. Next to the survey status, the number of locks that have been applied and the total number of locks that are required are also displayed.
- The **Steps to Locking** column displays the steps that can currently be performed on the way to locking a survey, which are listed in sequential order: Enter Data, Perform Edits, Resolve Errors, Lock. Once a survey is locked, the Steps to Locking column for that survey is cleared.
- The **Options** column contains links to Edit the Institution Identification information, View Data, view the Edit Report, and generate a Printable Report.
- Click on the **Status** link to see a definition of each status.
- The notation (1/2 locks) indicates that one lock has been applied to the survey, and one more is required.
- At any time during the collection, you can click on the **Am I Done?** link to see if all reporting requirements for that particular collection have been fulfilled.
- Navigate from screen to screen by clicking the links on the Menu on the left, or by clicking **Next**.
- Data are saved on a screen-by-screen basis. Be sure to click the **Save** button at the bottom of the screen before proceeding to another screen. **Save** saves your data and keeps you on the current screen. **Next** advances you to the next screen—you are prompted to save your data first.
- There is an **Instructions** link in the upper-right corner of each data entry screen; click this link to access Instructions for the current screen.
- Glossary definitions are available for ALL underlined terms on the screen; click the link to see the definition.
- Using your browser **Back** or **Forward** button to proceed to another screen may result in lost data unless you save it first. It is recommended that you save your data frequently. Prolonged periods of inactivity may cause the system to time out.

Data Editing

- a) Screen edits are run on the page when **Save** is clicked. Errors are generated when required data are not provided or the data provided do not meet the edit condition. A helpful edit icon is displayed next to the affected data field. Fatal errors are indicated with a red X icon, and must be fixed. Explanation errors are indicated by a yellow ! icon; an explanation for the error must be entered for the error to be considered resolved. When the user clicks on either icon, a pop-up window appears, displaying the error message and the action required. Fatal error icons disappear when the errors are resolved, and explanation edit icons change from yellow to gray when an explanation has been provided. Click the gray icon if you want to change the explanation provided.
- b) The user must enter an explanation in the textbox, select **Save** and then select **Refresh Screen & Close** to resolve this error.
- c) Once data are entered, the Surveys page will show an active **Perform Edits** link in the **Steps to Locking** column. Some edits (referred to as screen edits) are run from each data entry screen when data are saved, and other edits (called global edits) are run from the Surveys page. Both kinds of edits must be run and the errors resolved before a survey can be locked. To run the global edits, select the active **Perform Edits** link.

- d) If errors are generated by **Perform Edits**, an Error Report will appear on the screen. If there are no global edit errors and no unresolved screen errors, the survey is ready to lock.

Edit Report and Resolve Edit Errors

- a) The **Edit Report** displays all error messages. The **Severity** column indicates the error message type — fatal, explanation, or confirmation. Fatal errors must be fixed. Explanation errors must be explained. Confirmation errors merely need to be confirmed. The **Resolved** column indicates whether the error has been resolved (Yes) or not (No). The **Resolved** column must show Yes for all error messages before a survey can be locked. Click the **Explanation** and **Confirmation** links to enter explanations and confirm data.
- b) Clicking the **Go to error screen** link in the **Options** column will take the user back to the screen where the error is.
 - 1. From the Surveys page, select Perform Edits or Resolve Errors to access the Edit Report.
 - 2. Review the error messages and resolve any problems.
 - 3. When all edit messages are resolved, the survey is ready to lock. Locks can be applied from the Surveys page or from the Edit Report.

Lock the Survey

- a) Once the errors have been resolved and the data are clean, the survey is ready to be locked. The keyholder **must** lock the survey if it is to be considered a complete submission.
- b) The **Lock** option is located on the Surveys page in the Steps to Locking column. The Lock option will only appear if the data are clean and the survey is ready to be locked.
- c) The system will prompt the user for confirmation prior to locking. After confirmation, an e-mail message will be sent to the user stating that the survey data have been locked.
 - 1. Go to the Surveys page.
 - 2. Click **Lock** in the **Steps to Locking** column.
 - 3. The system will prompt for confirmation of your action.
 - 4. After confirming your action, you will receive an e-mail stating that your survey data have been locked.
 - 5. A separate e-mail message will be sent for **each** survey that is locked

Registration

The keyholder will receive an email indicating that Registration is open. The Keyholder should verify that the contact information is correct and make any necessary changes if needed. Also, a new keyholder can be designated and additional IDs and passwords can be requested.

- 1. Registration must be completed prior to beginning data entry. Information must be provided for all items with asterisks (**). Registration information may be updated at any time the system is open.
- 2. Fill in all required items denoted by **.
- 3. Select **Update**.
- 4. Any problems or missing required data will generate messages in red explaining the problem. Correct these problems and repeat Step 2.

5. Once the update is successful, if a collection is open, you will automatically be redirected to the Surveys page.

Institutional Characteristics

- a) Verify that the information is correct and make changes as needed
- b) Section B4 is generated by a simple program. The enrollment is based on level by time status.
- c) Verify Part C2 Director of Admissions
- d) Section C3 and C4 is received from General Administration (GA). The keyholder will enter this information.
- e) Section D5: Housing Department
- f) Section D Student Charges: Student Accounts and Financial Aid's Academic Budget
- g) Section E: Director of Athletics
- h) Upon verification of all data, perform edit and lock data

Completions

- a) The data is imported from GA using our Graduated Student Data Files.
- b) Perform Edit and Lock

12-month Enrollment

- a) The data is imported from GA using our Student Data Files.
- b) Perform Edit and Lock

Human Resources

- a) The data is imported from GA using our Personnel Data Files.
- b) Perform Edit and Lock

Fall Enrollment

- a) Part A-D is generated from the previous year's Student Data File (SDF) and Part E Retention Rates using reports from the two previous consecutive year's SDFs.
- b) Part F follows the same logic as Item I-2 from the Common Data Set (CDS). The PDF has to be accepted by GA before this section can be completed. GA will import the HR survey and then you have to perform edits/run edit report and lock the HR survey in order to generate F-9 and F-12. Once the lock is complete on the HR Survey, the numbers for F-2 (full-time students), F-5 (part-time students), F-10 (full-time instructional staff), and F-13 (part-time instructional staff) has to be entered. The Student-to-Faculty ratio in F-17 will be calculated.
- c) Perform Edit and Lock

Graduation Rates

- a) The data is imported from GA, which is confirmed using GA-generated reports (from your Enrolled and Graduated Student Data Files)
- b) Perform Edit and Lock

Student Financial Aid

- a) The data is imported from GA, which is retrieved from the previous year's Financial Aid File for Full-Time, First-Time Freshmen that was reported on that year's SDF.
- b) Perform Edit and Lock

Finance

- a) The Controller's Office enters the data
- b) Perform Edit and Lock

Spring Supplemental

- a) The data is imported from GA.
- b) Contact the Director of Disability Services to complete the Students with Disability section.
- c) Perform Edit and Lock

GA Reporting – Applications and Enrollment

Preliminary Enrollment Reporting

The Preliminary Enrollment Report is prepared three times at the beginning of the Fall semester and submitted to UNC-GA-IRA. UNC-GA-IRA's Reporting Schedule will provide the due dates for the reports. Criteria for the reports is the new freshmen totals are students that have a valid SAT score and traditional new freshmen are students that graduated from high school during the previous 12 months.

The Preliminary Enrollment Report provides numbers for the following:

- Undergraduate
- Graduate
- New Freshmen
- New Traditional/Non-Traditional Freshmen
- New Transfers
- New Graduates

Procedures

Generate a program to extract students enrolled for the current fall term. The following should be extracted from the program:

- Students enrolled by Level
- New Freshmen, Traditional/Non-Traditional New Freshmen, New Transfers, and New Graduates
- SAT scores for New Freshmen
- Student's ethnicity and residency

NOTE: New Freshmen count includes only students that have a valid SAT score.

1. Go to UNC Preliminary Enrollment Report web site:
<https://barney.northcarolina.edu/fordirs/sdfrpt/prelim.html>
2. Enter the information
Collection Number will be based on the report you are completing. For example if it's the first, second or third report.
The "As of Class Day" is based on the due date that UNC-GA-IRA provides. This count excludes holidays.
3. Enter the information requested by the report and submit the report.

Procedures for Preliminary Data on Applications

The Preliminary Data on Applications Data Report is due on April 15, May 15, June 15, and July 15 prior to the start of the upcoming Fall semester. This report is submitted to UNC General Administration

The applications data provides the numbers for the following:

- Accepted and Rejected New Freshmen by Ethnicity
- Accepted and Rejected New Undergraduate Transfers by Ethnicity
- Accepted and Rejected New Graduates by Ethnicity
- Accepted New Freshmen Average SAT

The Applications Report is based on the racial breakdown of accepted and rejected applicants of New Freshmen, New Transfers and New Graduate students. The applicants are based on the application date starting October 15 and are cumulative. This report is due on April 15, May 15, June 15, and July 15 prior to the start of the upcoming Fall semester.

Procedures

The Undergraduate and Graduate Admissions office will provide the data needed for the report. The following should be provided:

- New Freshmen, New Undergraduate Transfers, and New Graduate
- Student's Ethnicity
- SAT scores for New Freshmen

NOTE: Applicants consist of Accepted and Rejected Students only.

1. Go to UNC Preliminary Enrollment Report web site: <http://fred.northcarolina.edu/application.html>
2. Enter the requested information.
Collection Month will be based on the report you are completing. For example if it's April, May, June or July.
The "As of Date" is based on or around the 15th date of the month for the report.
3. Enter the information requested by the report and submit the report.
4. General Administration will send a comparison report to the Directors of IE for verification.

GA Reporting – Other

Campus Facilities - Building and Room Inventory and DAVE

OIE reports to UNC-GA-IRA in the Fall of each year a Building and Room Inventory. The data is collected and entered into GA Inventory system DAVE. Once the inventory is completed and locked by GA, reported can be generated on the new data for that year. The Facilities Manual and DAVE manual are located at the website links below:

Facilities Manual

http://www.northcarolina.edu/ira/fac_util/2008/Facilities.manual08.pdf

DAVE Manual

http://www.northcarolina.edu/ira/fac_util/2008/DAVEMANUAL.pdf

Facilities Inventory and Utilization Study

The primary purpose of the Facilities Inventory and Utilization Study is to provide higher education administrators with a detailed statistical profile of the facilities on colleges and universities in North Carolina system. The study also presents data which can provide the basis for comparative assessments of the extent to which space is used for instructional purposes. In short, this publication is intended as an important analytical tool for use in facilities planning. It is published annually by UNC-GA-IRA 's space Utilization and Analysis which is a division of Institutional Research and Analysis. The most current issue (2009) of the in the Facilities Inventory and Utilization Study is located at the website link below:

Facilities Study

http://www.northcarolina.edu/ira/fac_util/2009/study09.pdf

Enrollment Projections

A brief description of the process of developing enrollment projections for budgetary purposes is described in this section. Much of the information below has been drawn from a more detailed manual on the process which was developed by UNC-General Administration and which can be retrieved at: <http://ged.ncat.edu/ir&p/funding-manual.pdf>.

One of the key responsibilities of the Office for Institutional Effectiveness at UNCP is the calculation of enrollment projections to be submitted each year to the UNC system office (UNC-General Administration, or UNC-GA). These projections are used within a formula called the "SCH enrollment change funding model" to determine requested state appropriations. Primary budget requests are prepared in even-numbered years for the next biennium (example: 2008 for the 2009-2011 biennium) which always begins in an odd-numbered year. In odd-numbered years, updated enrollment projections are used to adjust appropriations for the upcoming fiscal year (e.g., 2009 for 2010-2011).

Description of the SCH Enrollment Change Funding Model

The SCH formula for calculating the appropriations request for enrollment change contains five basic components: instructional salary costs; other academic costs within the academic units; library; general institutional support (GIS); and calculation of the resulting expected tuition revenue and state appropriation request. The SCH enrollment change formula is driven by the projected change in student credit hour (SCH) production as classified in a 12-cell funding matrix comprised of 4 areas of instruction and 3 levels of instruction. The areas of instruction are based on differences in the costs to deliver programs in the various disciplines. The specific disciplines included in each of the four instruction areas are listed in the table below:

	CIP & Description
Category I	09 Communications & Journalism
	23 English
	27 Mathematics
	38 Philosophy & Religion
	42 Psychology
	43 Corrections & Criminal Justice
	45 Social Sciences
	54 History
	90 Other
Category II	05 Area, Ethnic, Cultural & Gender Studies
	13 Education *
	16 Foreign Languages, Literatures, & Linguistics
	19 Family & Consumer Sciences
	24 Liberal Arts & Sciences, Humanities
	30 Multi/Interdisciplinary Studies
	31 Parks, Recreation, Leisure & Fitness
	52 Business, Management, & Marketing
Category III	01 Agriculture
	03 Natural Resources & Conservation
	04 Architecture
	11 Computer & Information Sciences

	15 Engineering-related Technologies
	25 Library Science
	26 Biological Sciences
	40 Physical Sciences
	44 Public Administration & Services
	50 Visual & Performing Arts
	51 Health Professions
Category IV	14 Engineering
	66 Nursing

The three levels of instruction are undergraduate, masters, and doctoral. These three levels are based on differences in the cost of instruction associated with average class size. The instructional level assignments for student credit hours are based on the level of course instruction rather than the degree level of students receiving it— the former bearing a more direct relationship to cost factors than the latter.

Separate instructional position factors are provided for each of the 12 cells in the matrix and are used to determine the number of instructional positions required to support the projected level of SCHs. These instructional position factors are expressed in terms of the number of student credit hours per instructional position per academic year. The projected change in student credit hours by program category and level are divided by the corresponding instructional position factors to determine the change in instructional positions required. The projected change may be for either an increase or decrease in the number of instructional positions.

At this point in the formula calculations, the basic number of faculty positions required for incremental enrollment growth has been determined. In addition, the Board of Governors has determined that certain special institutional missions and institutional service to special undergraduate populations require funding levels beyond those provided in the basic faculty positions. As a result, undergraduate cost factors have been developed to provide additional funding for four special situations. When applied, these factors result in higher numbers of instructional positions related to enrollment change.

Once the overall number of new instructional positions is determined, this count is multiplied by an annual salary rate specific to each institution in order to determine the change in instructional salary dollars required. The average annual salary rate used is the latest available. The resulting instructional salary amount is then multiplied by a factor for “Other Academic Costs,” which is designed to provide funds for fringe benefits for the instructional positions, support staff in the academic departments, and related instructional supplies and expenses. The resulting Total Academic Requirements is the base dollar amount to which additional factors for libraries and general institutional support are applied. The funding requirements for both the library and General Institutional Support (GIS) components are then calculated by multiplying the applicable rate by the Total Academic Requirements. In general, tuition revenues related to the SCHs being projected will be netted against the requirements determined above to yield a request for state appropriation.

General Criteria for Fundability under the SCH Model

Not all semester credit hours (SCHs) are fundable in this model. In general, SCHs are fundable if they are derived from degree creditable (or remedial) instruction in the regular term via on-campus or distance learning instruction, and if they are delivered to NC resident students within or outside NC or are delivered to non-resident students within NC. SCHs are deemed non-fundable under the SCH model if they are funded via other state appropriations, if tuition is set to cover the full cost of instruction, or if the SCHs represent non-credit instruction. Certain exceptions apply, and there are certain detailed reporting requirements with implications beyond funding. SCHs may be deemed fundable by one criterion and

non-fundable by another criterion. In such cases, the SCHs will usually be considered non-fundable. That is, the criterion determining non-fundability governs the handling of SCHs unless specifically covered by an exception.

Lists of fundable and non-fundable SCHs are outlined below. However, the most important points concerning fundability are: (1) Regular session on-campus SCHs are fundable for Fall and Spring semesters but NOT for summer sessions; (2) Employee tuition waiver SCHs are not fundable; and (3) Distance Education is fundable for fall, spring, and summer sessions. Distance Education is determined by the location of the students taking a course and would include all students taking a course at a location distant from the main UNCP campus. For Internet courses, SCHs generated by students living on-campus are considered regular session SCHs (fundable during fall and spring but not during summer sessions); SCHs generated by students not living on campus are considered to be Distance Education (and therefore fundable in summer sessions as well as during the academic year).

Fundable SCHs

- Regular term degree credit instruction delivered on campus or at off campus resident credit centers
- Distance education degree credit instruction delivered to NC resident students, regardless of location
- Distance education degree credit instruction delivered to non-resident students within NC
- Remedial instruction offered by a UNC institution
- Thesis or dissertation only hours
- Repeated courses
- Degree credit instruction offered through inter-institutional consortia
- Degree credit instruction offered via electronic delivery
- Degree credit instruction for active duty members of the armed services while the member is abiding in NC incident to active duty military duty in NC
- Degree credit instruction delivered on- or off-campus to co-habiting dependents of active duty military personnel
- Instruction delivered in Nursing, Allied Health, and Public Health
- Instruction delivered to students enrolled in NCSU's Agricultural Institute
- Instruction delivered to students claiming the age 65+ tuition waiver
- Instruction delivered to students claiming the nonresident special talent tuition waiver
- Instruction delivered to students claiming the nonresident North Carolina teachers tuition waiver
- Instruction delivered to students claiming the nonresident graduate assistants tuition waiver
- Instruction generated via balanced one-to-one foreign exchange programs in which the foreign student attends a UNC institution and pays tuition to the foreign institution
- Certain study abroad program SCHs
- Instruction to university employees where employee tuition waiver is NOT Claimed

Non-Fundable SCHs

- Non-degree-credit instruction
- Certain instruction offered below the baccalaureate level
- Instruction to students auditing courses
- Instruction for zero-credit hours
- Instruction generating continuing education units (CEU's)
- On-campus instruction delivered during the summer term
- Distance education delivered outside NC to non-resident students
- Instruction to university employees where employee tuition waiver is claimed

- Transfer credit
- Credit by examination
- Advanced Placement credit
- International Baccalaureate credit
- College Level Entrance Placement credit
- College credit instruction delivered to high school students (at high school by high school teachers)
- Instruction delivered by the University of North Carolina School of the Arts
- Instruction delivered in the following professional programs: Medicine, Veterinary Medicine, Dentistry, Pharmacy and Law (JD)
- Instruction which is funded via other state appropriations
- Instruction via the UNC-CH Independent and Self-Paced Studies program (correspondence)
- Instruction which is funded via a contractual agreement
- Instruction delivered under a program for which customized tuition is charged and Executive Programs with customized tuition: for example, Executive MBA program at UNC-CH; Executive MPA Program at NCCU; Transatlantic Program
- Instruction delivered via certain Study Abroad programs
- Instruction delivered via balanced one-to-one foreign exchange programs where the UNC student pays UNC tuition but attends a foreign institution
- Instruction delivered as part of a pilot site program
- SCHs delivered through the Math Science network
- High school students enrolled in special programs funded on the FTE model or funded by external sources

Procedure at UNCP for preparing enrollment projections to be used in funding calculations

Beginning in the summer months immediately preceding the submission of enrollment projections to UNC-GA, the Office of Institutional Effectiveness begins the process of looking at historical trends in UNCP student headcount, FTE enrollment, and credit hours. (FTE is a standardized representation that proportionally converts full-time and part-time academic loads to a *full-time equivalent measure*. Calculation of average annual FTEs is done in conjunction with the controller's office.) This necessitates pulling information from data files for at least the three years prior to the one(s) for which projections will be made, and determining percent change in each of these areas (Headcount, FTEs, and SCHs). In each area, calculations are done separately for undergraduates and graduate students as well as for resident vs. non-resident students. Additionally, for SCHs, data is sorted into cost categories as described above.

Based on historic trends, as well as on information from UNCP leadership on what programs are expected to see growth within the projection period, estimates for the upcoming academic year and projections for one to two years beyond are calculated. Typically, the following sets of data will be calculated in preparation for submission to UNC-GA (for undergraduate resident & non-resident as well as for graduate student resident & non-resident):

Regular session fall headcounts
 Fundable regular session SCHs—actual and projected
 Regular session AAFTEs
 Fundable distance education headcounts
 Fundable distance education SCHs—actual and projected

While the projection process has many components and complexity, the heart of the process is the projection of SCHs as this is the primary determinant of funding. For this reason, SCHs are examined closely by department, by cost category, by student level, and by resident status in order to develop enrollment projections that are as accurate as possible. Also toward this end, a number of individuals on UNCP's campus are consulted as projections are developed and are asked to review the final projections before submission to GA. This group includes, for example, the Chancellor, the Provost, the Vice Chancellor for Business Affairs, the Vice Chancellor for Enrollment Management, the Director of Budget Planning, the Dean of the Graduate School, and the Director for Distance Education.

In addition to careful analysis of existing data by the Assistant Vice Chancellor for Institutional Effectiveness, and consultation with others on campus, there are general tests of reasonableness that GA suggested applying to submitted data. These include, but are not limited to, the following types of questions:

- Are **headcount** estimates and projections reasonable in light of historical trends, campus plans, and other known variables that may influence the projections (buildings, new programs, increased applications, etc.)?
 - Are the estimates and projections reasonable at the different student levels shown?
- Are **SCH** estimates and projections reasonable in light of historical trends, campus plans, and other known variables that may influence the projections?
 - Are the estimates and projections reasonable at various levels?
 - Are the estimates reasonable in relation to:
 - Headcount estimates and projections?
 - Budgeted SCHs?
 - AAFTE?
 - Former projections for the same period?
 - Other data and information (Student Data File, etc.)?

In keeping with these types of questions, one other test of the accuracy of projections is to compare historic ratios with projected ratios in the following ways:

- Ratio of SCHs to Headcounts—Regular Session
- Ratio of SCHs to FTEs—Regular Session
- Ratio of FTEs to Headcounts—Regular Session
- Ratio of Actual SCHs to Budgeted SCHs—Regular Session
- Ratio of SCHs to Headcounts—Distance Education
- Ratio of Actual SCHs to Budgeted—Distance Education

Worksheets into which the resulting estimates and projections are entered are available in a password-protected online system developed by UNC-GA. After data is submitted, personnel at GA examine the enrollment projections and work with campus personnel if explanations or revisions are needed.

GA Reporting – External Sources

Delaware Study I: Cost and Productively Report

The Delaware Study I: Cost and Productively Report is an analytical tool that allows us to benchmark teaching workloads, instructional costs and productivity, by academic discipline. The file is done every year and the data used is the prior year department course and faculty data. Information about this report can be found at the following URL: <http://www.udel.edu/IR/cost/brochure.html>

Definitions and Calculations

ACADEMIC DEPARTMENT/DISCIPLINE:

The disciplines selected for benchmarking in the Delaware Study are found in the "Classification of Instructional Programs" taxonomy, which is derived directly from the National Center for Education Statistics' CIP Code system. Note that we will continue to use the 2000 version of CIP codes for the next year. Wherever possible, we are benchmarking data at the four-digit CIP code level. That is, we will be looking at discrete disciplines within a broad curricular field. (See note below.) For example, in Education, CIP Code 13.XX, you will be asked to provide data for those education disciplines at our institution. Suppose you had several education departments. You would provide data for each discrete CIP Codes, i.e., 13.3 (Agricultural Engineering), 14.07 (Chemical Engineering), 14.08 (Civil Engineering), 14.10 (Electrical Engineering), 14.19 (Mechanical Engineering), etc. Institutions with different engineering departments would report data for the appropriate four-digit engineering CIP codes. The pattern would be repeated across other curricular areas. If you have difficulty disaggregating categories within a specific disciplinary area, there is a general CIP code, typically XX.01, that should be used. For example, if your Department of Foreign Languages offers French, Spanish, Russian, Chinese, Greek, and Latin, and you cannot cleanly disaggregate teaching workload and cost data into each of these disciplines, simply report the data as "Foreign Languages and Literature," CIP Code 16.01. If a disciplinary area provides no "general" option, and you cannot cleanly disaggregate to specific curricular area, report a two-digit CIP code, e.g. Engineering-Related Technologies would be 15.00.

NOTE: Within the CIP Code family, 51.XX, we ask that you exclude Medicine and Medical Sciences, Dentistry, Veterinary Medicine, Optometry and Ophthalmic Medicine, and Podiatry. We will accept all other allied health sciences (e.g. Nursing, Physical Therapy, Medical Technology, Pharmacy, etc.) Do not submit data for non-academic programs such as Military Science and units that do not have permanent faculty residing in them as in most interdisciplinary programs.

Members of the Southern Universities Group and a number of other institutions and consortia have asked to benchmark at the six-digit CIP level. All participating institutions are encouraged to provide six-digit CIP codes in as many instances as feasible, and we will benchmark at that level wherever possible. Those data will then be rolled up to the four-digit level, at which all institutions will be benchmarked, consistent with the discussion above.

DEGREE OFFERINGS:

Please indicate all of the degrees, i.e., bachelors, masters, doctorate or first professional, offered in this discipline at your institution. In the space next to each of the degrees, we ask that you provide the average number of degrees awarded in the discipline for each of the past three academic years, as indicated on the respective IPEDS Completions Reports. For new programs where there have been no graduates to date, institutions are to indicate the expected number of degrees awarded during the first year of each applicable degree level. The Delaware Study will benchmark, among other filters, data based upon highest degree offered and undergraduate/graduate program mix based on the number of degrees granted.

PART A: INSTRUCTIONAL WORKLOAD - FALL SEMESTER

NOTE: The following discussion of faculty should be read within the context of your institution's Fall census data. Be sure each CIP reported contains the faculty and their associated workload budgeted within the given department. That is, please use an "origin of instructor" method of reporting.

Regular Faculty: Regular faculty are defined as those individuals who are hired for the purpose of doing teaching, and who may also do research and/or service. They are characterized by a **recurring** contractual relationship in which the individual and the institution both assume a continuing appointment. These faculty typically fall into two categories:

Tenured and Tenure-Eligible: Those individuals who either hold tenure, or for whom tenure is an expected outcome. At most institutions, these are full, associate, and assistant professors.

Non-Tenure Track Faculty: Those individuals who teach on a **recurring** contractual basis, but whose academic title renders them ineligible for academic tenure. At most institutions, these titles include instructors, lecturers, visiting faculty, etc.

Supplemental Faculty: Supplemental faculty are characteristically paid to teach out of a pool of **temporary** funds. Their appointment is **non-recurring**, although the same individual might receive a temporary appointment in successive terms. The key point is that the funding is, by nature, temporary and there is no expectation of continuing appointment. This category includes adjuncts, administrators or professional personnel at the institution who teach but whose primary job responsibility is non-faculty, contributed service personnel, etc.

Teaching Assistants: Students at the institution who receive a stipend strictly for teaching activity. Includes teaching assistants who are instructors of record, but also includes teaching assistants who function as discussion section leaders, laboratory section leaders, and other types of organized class sections in which instruction takes place but which may not carry credit and for which there is no formal instructor of record. For purposes of this study, do not include graduate research assistants. If a graduate assistant's FTE is split between research and teaching, only report the portion of their FTE that reflects their teaching activity.

In calculating full time equivalency (FTE Faculty) for each of the faculty categories described above, the following conventions are recommended:

REGULAR FACULTY:

Take the TOTAL FTE for filled faculty positions as they appear in the **Fall personnel file** at your institution, and report this in the "Total FTE Faculty" data fields (Column A on the Data Collection Form). Be sure to report filled positions only. Filled positions are those that have salaries associated with them. Include paid leaves such as sabbaticals wherein the individual is receiving a salary, but exclude unpaid leaves of absence. Remember to include a department Chair as 1.0 FTE if he/she is being paid by the instructional budget. In Column B, report the FTE portion of faculty lines that are supported by external or separately budgeted funds for purposes other than teaching, i.e., research or service. The remainder is the departmental or program instructional faculty FTE, and should be reported in the "Instructional" FTE faculty data field. That is, The FTE for Column C is computed by subtracting Column B from Column A. For example, suppose Professor Lillie is a full time member of the Chemistry Faculty. He would be reflected as 1.0 FTE in Column A. Professor Lillie has a research grant that contractually obligates him to spend one-third of his time in research. The externally supported portion of his position is 0.33 FTE, which would be reflected in Column B. As a result, 0.66 FTE is the instructional faculty which would appear in Column C, i.e., 1.0 FTE (Column A) minus 0.33 FTE (Column B). If faculty teach overload, their 1.0 FTE and regular load of SCH and OCS should be in the appropriate T/TT or Other Regular line of their home department. If they taught an overload course which is also paid for by their home department, then the overload FTE (0.25 for one 3 credit course taught) would be counted as Supplemental faculty, and their overload SCH and OCS reported in the Supplemental line of their home department. Note: Part B should include any overload SCH as long as the overload is being funded from the faculty's home department. If another department is paying for the overload, then the overload FTE, SCH and OCS should be reported as Supplemental faculty in the paying department, along with the overload SCH and expenditures in Part B of the department funding the overload salary (the regular load, 1.0 FTE, and salary should remain in the faculty's home department).

SUPPLEMENTAL FACULTY:

Full time equivalency for supplemental faculty can be calculated by taking the total teaching credit hours (which are generally equivalent to the credit value of the course(s) taught) for each supplemental faculty, and dividing by 12. Twelve hours is a broadly accepted standard for a full time teaching load. (If your institution assigns one course unit instead of three or four credit hours to a course being taught, use a divisor of 4) Because Supplemental Faculty generally are not supported by external funds, Column C will typically equal Column A.

TEACHING ASSISTANTS:

We are asked to assign an FTE value to teaching assistants, apportioned between credit bearing course activity where the teaching assistant is the instructor of record, and non-credit bearing course activity (i.e., section leader for zero-credit laboratories, discussion sections, recitation sections). To do this, take the FTE value for teaching assistants in a given academic department or program, as it appears in our personnel file. Then apportion the FTE as follows:

Credit Bearing Courses: Use the same convention as with Supplemental Faculty. Take all courses which are credit bearing and for which teaching assistants are the instructors of record, and divide the total teaching credit hours by 12. The resulting quotient is the teaching assistant FTE for credit bearing course activity.

Non-Credit Bearing Activity: From the total teaching assistant FTE, taken from your personnel file, subtract the calculated FTE for credit bearing activity as outlined above. The difference is the FTE for non-credit bearing activity. It is understood that on many campuses, the non-credit bearing activity is not exclusively instructional, and may include activities such as grading papers. However, the decision to allow teaching assistants to do things other than teach is analogous to allowing other departmentally paid faculty types to take reduced loads to engage in non-teaching activity. In both instances, salaries are associated with personnel, and in the interest of consistency, the personnel should be counted as a component of common practice in higher education.

NOTE: In looking at student credit hours generated, by level of instruction, and number of organized class sections taught, refer only to your institution's Fall semester workload file. Do not report data here for the full academic year.

COURSE:

An instructional activity, identified by academic discipline and number, in which students enroll, typically to earn academic credit applicable to a degree objective. Excludes courses that are not-for-credit, but includes course sections with zero credits which are requirements of or prerequisites to degree programs, and which are scheduled, and consume institutional or departmental resources in the same manner as credit courses. Zero-credit course sections are typically supplements to the credit-bearing lecture portion of a course. Zero credit sections are frequently listed as laboratory, discussion, or recitation sections in conjunction with the credit bearing lecture portion of a course.

ORGANIZED CLASS COURSE:

A course which is provided principally by means of regularly scheduled classes meeting in classrooms or similar facilities at stated times.

INDIVIDUAL INSTRUCTION COURSE:

A course in which instruction is not conducted in regularly scheduled class meetings. Includes "readings" or "special topics" courses, "problems" or "research" courses, including dissertation/thesis research, and "individual lesson" courses (typically in music and fine arts). Individualized instructions are not assigned any section counts.

COURSE SECTION:

A unique group of students which meets with one or more instructors.

In reporting the number of sections taught at the respective levels of instruction, to the extent that your data base allows, please make certain not to double count dual listed (undergraduate and graduate sections of a single course meeting concurrently) and cross listed (a single course in which students from two or more disciplines may register under their respective department

call letters) courses. In the instance of dual listed courses (a single course listed at both the undergraduate and graduate level) parse out the student credit hours based upon how the students were registered. Be sure to then count the associated section the same way as the student credit hours by apportioning the section into the appropriate levels. With cross listed courses (a single course listed with multiple departmental call letters) assign all student credit hours and number of sections to the department funding the instructor's salary.

COURSE CREDIT:

The academic credit value of a course; the value recorded for a student who successfully completes the course.

LOWER DIVISION INSTRUCTION:

Courses typically associated with the first and second year of college study.

UPPER DIVISION INSTRUCTION:

Courses typically associated with the third and fourth year of college study.

GRADUATE LEVEL INSTRUCTION:

Courses typically associated with post-baccalaureate study.

STUDENT CREDIT HOURS:

The credit value of a course (typically 3 or 4 credits) multiplied by the enrollment in the course.

Student credit hours should be aggregated and reported on the data form on the basis of course level of instruction and the classification of the faculty member. It is important to underscore that the criterion is level of course as opposed to level of the student registered in the course. For example, the student credit hours generated by a second semester senior taking an introductory graduate course would be reported in the "graduate" column. Similarly, those generated by a first semester graduate student taking an upper division level prerequisite undergraduate course would be reported in the "upper division" column. (If your institution assigns one credit unit instead of three or four credit hours to a course, convert the units to credit hours by multiplying by 3 or 4, as appropriate.)

If we cannot differentiate between "Organized Class" and "Individualized Instruction" student credit hours, assign all credit hours to the appropriate "Organized Class" column. Similarly, if you cannot differentiate between "Lower Division" and "Upper Division" undergraduate student credit hours, report all those credit hours under "Total Undergraduate Credit Hours."

In addition to aggregation by course level, student credit hours should also be aggregated and reported, based upon the classification of the instructors teaching the respective courses. **Student credit hours should be reported for all courses taught by a faculty member who is budgeted to a given department, regardless of whether the course is taught in that department or elsewhere (i.e. using the "origin of instructor" reporting method).** For example, a faculty member who is budgeted to the History Department, and whose teaching load includes two History courses and one Political

Science course, should have all of the student credit hour generated from these courses credited to the History Department.

To the extent possible, deal with team teaching situations by prorating student credit hours to individual faculty in an appropriate fashion. If two faculty members are equally sharing instructional responsibilities for a 3 credit course with 30 students enrolled (90 student credit hours), 45 credit hours would be apportioned to Faculty A, and 45 credit hours to Faculty B. The same allocation would hold in appropriating the organized class section to the two faculty, i.e., 0.5 section to each. This is especially important where the faculty members in a team teaching situation are budgeted to different departments. The student credit hours should follow the faculty member. Use your institutional convention in making these proration decisions.

The same conventions apply to reporting counts of organized class sections. The first column asks for the number of lab/discussion/recitation sections taught by each type of faculty. The remainder of the grid looks at all other organized class sections, disaggregated by level of instruction and by faculty type.

Distance education courses should only be included when the student credit hours and course sections can be reported in the same discrete way that a typical non-distance education course would be reported. In other words, we do not want the sections to be over inflated when there may be no unique time and place of the course offering.

PART B: COST AND PRODUCTIVITY INFORMATION - Academic/Fiscal Year

NOTE: The data collected on this portion of the data form require financial information for a Fiscal Year 2008-09, and student credit hour data for the major terms in Academic Year 2008-09 that are supported by an academic department's basic operating budget. These major terms are generally Fall and Spring at institutions on a semester calendar, and Fall, Winter and Spring at institutions on a quarter calendar. You should use the same "origin of instructor" method of reporting for Part B as in Part A.

STUDENT CREDIT HOUR DATA:

We are asked to provide the total number of student credit hours taught at the undergraduate and graduate levels, respectively, during the academic year. "Academic Year" refers only to those terms that are funded by the department's instructional budget. At most semester calendar institutions, this refers to the Fall and Spring terms; at quarter calendar institutions, Fall, Winter, and Spring terms are generally included. If instructional activity in a given term is funded by a source other than the departmental instructional budget (e.g., if the Summer term teaching is funded by the Special Sessions Office or Continuing Education, etc.), student credit hours associated with that term are to be excluded. Finally, remember to report student credit hour data by level of course as also required in Part A.

DIRECT EXPENDITURE DATA:

This study asks for total direct expenditure data in certain functional areas - instruction, research, and public service. Direct expenditure data reflect costs incurred for personnel compensation, supplies, and services used in the conduct of each of these functional areas. They include acquisition costs of capital

assets such as equipment and library books to the extent that funds are budgeted for and used by operating departments for instruction, research, and public service. For purposes of this report, exclude centrally allocated computing costs and centrally supported computer labs, and graduate student tuition remission and fee waivers.

INSTRUCTION:

The instruction function, for purposes of this study, includes general academic instruction, occupational and vocational instruction, community education, preparatory and adult basic education, and remedial and tutorial instruction conducted by the teaching faculty for the institution's students. Departmental research and service **which are not separately budgeted** should be included under instruction. In other words, department research which is externally funded should be excluded from instructional expenditures, as should any departmental funds which were expended for the purpose of matching external research funds as part of a contractual or grant obligation. EXCLUDE expenditures for academic administration where the primary function is administration. For example, exclude deans, but include department chairs.)

You are asked to disaggregate total instructional expenditures for each discipline into three pieces of data:

Salaries: Report all wages paid to support the instructional function in a given department or program during the fiscal year. While these will largely be faculty salaries, be sure to include clerical (e.g., department secretary), professionals (e.g., lab technicians), Graduate student stipends (but not tuition waivers), and any other personnel who support the teaching function and whose salaries and wages are paid **from the department's/program's instructional budget**.

Benefits: Report expenditures for benefits associated with the personnel for whom salaries and wages were reported on the previous entry. If you cannot separate benefits from salaries, but benefits are included in the salary figure you have entered, indicate "Included in Salaries" in the data field. Some institutions book benefits centrally and do not disaggregate to the department level. If you can compute the appropriate benefit amount for the department/program, please do so and enter the data. If you cannot do so, leave the benefit amount as zero and we will impute a cost factor based upon the current benefit rate for your institution, as published in Academe. If no rate is available, we will use a default value of 28%.

Other Than Personnel Costs: This category includes non-personnel items such as travel, supplies and expense, non-capital equipment purchases, etc., that are typically part of a department or program's cost of doing business. Excluded from this category are items such as central computing costs, centrally allocated computing labs, graduate student tuition remission and fee waivers, etc.

RESEARCH:

This category includes all funds expended for activities specifically organized to produce research outcomes and commissioned by an agency either external to the institution or **separately budgeted** by an organizational unit within the institution. Report total research expenditures only. It is not necessary to

disaggregate costs for this category.

PUBLIC SERVICE:

Report all funds **separately budgeted** specifically for public service and expended for activities established primarily to provide non-instructional services beneficial to groups external to the institution. Examples include cooperative extension and community outreach projects. Report total service expenditures only. It is not necessary to disaggregate costs for this category.

[Procedures to create the Delaware Study I:](#)

Faculty assignments and student credit hours for the Data for the Delaware Study I are collected on the Census date in the Fall and Spring. The data for the cost data is taken from the prior year PDF. This data reported one year prior to the current Fall term.

Data Collected for the Delaware Study I:

Faculty Department

Course and Level

Course Census Enrollment

Faculty Salary

Calculated Benefits Data

Delaware Study II: Selected Measures of Out-of-Classroom Faculty Activity

The development of the Delaware Out-of-Classroom Faculty Activity survey was funded by a grant from the U.S. Department of Education Fund for the Improvement of Post Secondary Education. Under the auspices of that grant, individuals at the University of Delaware assembled an ongoing Advisory Committee of nationally recognized faculty and institutional research personnel to assist in developing and evaluating the data collection materials for this study. Included in the study are variables based on the following categories of faculty activity: Course preps, Advisees, Student research supervision, Publications/Presentations, Grants, Professional development related to teaching & scholarship, and Service to university & to profession.

Data is collected from tenure and tenure-track faculty by the department chairs at each participating institution. No one but department chairs see individual faculty responses. Aggregate data is used to develop national benchmarks to assist departments in comparing themselves with similar departments at similar institutions for each of the variables.

Data is usually collected in the fall of each academic year, based upon the information provided on faculty members' most recent self-evaluation. Data is submitted to University of Delaware at the end of each fall semester.

More information about the Delaware II study is available at: <http://www.udel.edu/IR/focs/>

CUPA - College and Universities Personnel Association

National Faculty Salary Survey for Four-Year Institutions (NFSS)

The National Faculty Salary Survey for Four-Year Institutions (NFSS) collects salary data for full-time faculty at private and public institutions nationwide by discipline and rank using four-digit CIP codes defined by the U.S. Department of Education. The survey collects both institution-specific and discipline-specific data. This survey collects salary data for all UNCP full-time faculty by discipline and rank.

When entering data please adhere to the following policy/guidelines:

- Report salaries effective as of October 15 of the current academic year. Report only current information.
- Report salary for full-time faculty only.
- Report only base Salary. Do not include any stipends.
- Report salaries in terms of full-time 9-10 month contracts only.
- Report each faculty member in one discipline only.

If you do not have faculty in a particular discipline, simply skip that discipline.

Procedures:

Step One.

- A report must be created by extracting data from the Human Resources Banner Module and the PDF file. The reporting tools are Sql Developer and SAS/ACCESS. You can submit the file in several formats as outlined in the instructions or upload a flat file.
- The selection criteria for the faculty members are:
 - Professors
 - Associate Professors
 - Assistant Professors
 - New Assistant Professors
 - Instructors appointments.
- Equate clinical duties with teaching/research duties when determining whether teaching/research represents more than half of faculty member's duties.
- Report salaries for New Assistant Professors twice: Once with all Assistant Professors and once separately.
- Report salaries for the position immediately below the rank of Assistant Professor as Instructors. Do not include data for adjunct faculty or Lecturer.
- The teaching discipline for each faculty member.
- Department chairs and other administrative staff who hold full-time faculty ranks and whose teaching/research represents more than half of their duties.
- Faculty on sabbatical (report their regular salaries, even though they may receive reduced pay while on leave).
- Coaches with faculty status who teach more than half time, independent of their coaching duties.

- The number of faculty and the high/Low and average salary by rank for each discipline.
- Request an ESI report from Academic Affairs (Susan West) or Human Resource Department
- Once all the reports are run and ESI report received from Academic Affairs, the verification process begins. Complete a comparison analysis of all reports. When verification/comparison analysis is complete and data is clean then move on to step two.

Step two.

- You may upload a file to the surveys Online database server, or you may manually key the data for each item.
- You will have to key the Institutional Basics and Pay practices data into the SurveysOnline server. If you are uploading specific instructions will be provided when logged into the server.
- Type this address into the web browser <https://surveysonline.cupahr.org/home>
- Enter username and password. Once you are logged in specific instructions will follow.

CUPA DataOnDemand (DOD)

DOD is a hands-on application that gives institutions and up to six specified users direct access to survey data from the date of purchase until January 31 of the following year. Users also have access to results for that survey from the prior four years. DOD is a great value as you can conduct your own analyses any time you want and as often as you want, using peer comparison groups that you create. DOD is available to all higher education institutions, regardless of survey participation. DOD is available for all of CUPA-HR's salary and benefits surveys.

Use of DOD is limited only by the five restrictions in place to protect confidentiality:

No salary data are linked to a given institution (other than where a user has permission to see his or her own institution's data).

No salary data are reported for positions with fewer than five responding institutions.

A comparison group must include a minimum of eight institutions that participated in the survey.

Each comparison group created and used must differ by at least three institutions from all other existing and deleted comparison groups.

The weighted data option provides salary data only for positions with five or more responding institutions and in which all responding institutions comprise 25.0% or less of position incumbents. If a position has at least five responding institutions but one institution represents more than 25% of the incumbents, salary data is not reported.

Procedures:

Create a comparison group and run one or more of the standard reports to meet your informational needs. Descriptions of the different standard reports are provided below.

In addition to the standard reports, you can also create slide shows and presentations, and even conduct Geographical Statistical Area (GSA) analyses by using the New Group Wizard to create comparison groups based on Metropolitan Statistical Areas.

DataOnDemand reports provide both un-weighted and weighted salary data; un-weighted data is the default and weighted data is a user selected option. Un-weighted data more precisely reflects what institutions are paying in that the average or median salary for a position is included only once for each participant school. Weighted data, in contrast, is more an indicator of what incumbents are earning in that the average or median salary for a position is included once for each incumbent, thereby giving more weight to salaries paid by institutions with large numbers of incumbents.

Examples of available reports.

The Multi-Position Report provides average, median, minimum and maximum salary data for all positions reported by your institution (default), for all positions covered in the survey, or for self-selected positions. You may also select to have additional percentiles displayed. There are two options: 20, 25, 33, 40, 50, 60, 67, 75, 80 or 10, 20, 30, 40, 50, 60, 70, 80, 90. The report highlights all ranks at your institution that

are more than 150% of the comparison group median or less than 75% of the median. If you wish, you may change these parameter values. On the selection screen, choose your comparison group, survey year and whether you wish to run un-weighted or weighted statistics; the default is un-weighted. When you have completed your selections for the report, simply hit the "Go To Report" button. Output format: HTML, PDF or Excel.

The Single Position Report provides average, median, minimum and maximum salary for one position, N of incumbents, N of institutions, your institution's salaries as a percentage of the comparison group's and salary percentile ranks 20, 25, 40, 60, 75, 80. The Administrative Compensation Report also gives you the option of reporting salaries on the basis of gender, minority status, years of service and hiring source (for single incumbent positions). Similarly, the Mid-Level Report gives you the option of reporting salaries on the basis of FLSA Status: Exempt, Non-Exempt or Both. On the selection screen choose your comparison group, survey year, and the Characteristics of Comparison Group Incumbents you want (if any). The report can be produced using un-weighted or weighted data. Output format: HTML.

The Ordinal Rank Report provides an anonymous listing of individual salaries by institution and the un-weighted or weighted average salary by position. If your institution is included in the comparison group you select, and if you are allowed to see confidential data of your own institution, your institution's value will be flagged. Output format: HTML, PDF or Excel.

The Trend Report allows you to see the percentage change in your salaries by position from a prior year to a second year (e.g. the current year) and comparable percentage change statistics for a selected set of peer institutions. The report shows the percentage change in the average, median, minimum and maximum salary for all positions, N of incumbents and % change in your institution's salaries as a percentage of your comparison group's percent change. You may also select to have additional percentiles displayed. There are two options: 20, 25, 33, 40, 50, 60, 67, 75, 80 or 10, 20, 30, 40, 50, 60, 70, 80, 90. Report can be created using un-weighted or weighted data. Output format: HTML, PDF or Excel.

The Multi-Position Demographic Report provides salary data by minority/non-minority status, gender and hiring source (internal vs. external). For single incumbent positions only, average, median, minimum and maximum salary is reported, N of incumbents, N of institutions, your institution's salaries as a percentage of the comparison group's and salary percentile ranks 20, 25, 33, 40, 60, 67, 75, 80 or 10, 20, 30, 40, 60, 70, 80, 90. Output format: HTML, PDF or Excel.

The Pay Scale Report provides salary rate structure data (mean or median) for each position (minimum, mid-point and maximum) and N of institutions. Output format: HTML, PDF or Excel.

The Faculty Multi-Discipline Report provides average, median, minimum and maximum salary by rank for each 4-digit CIP code discipline, N of incumbents, N of institutions and your institution's salaries as a percentage of the comparison group's. You may also select to have additional percentiles displayed. There are two options: 20, 25, 33, 40, 50, 60, 67, 75, 80 or 10, 20, 30, 40, 50, 60, 70, 80, 90. The report highlights ranks at your institution that are more than 150% of the comparison group median or less than 75% of the median. If you wish, you may change these parameter values. The report automatically selects the disciplines for which your institution has reported data. Alternatively, you may select All Positions or No Positions. If you select No Positions, you must then select disciplines manually by checking the corresponding boxes, and then click the "Update Selection" button in order for your

changes to take place. When you are ready to run the report, simply hit the "Go To Report" button. This report can be run one rank at a time or for all ranks at once. If you have selected a large comparison group and all or a large number of disciplines, the report may take a long time to run. Report can be produced using un-weighted or weighted data. Output format: HTML, PDF or Excel.

The Single Discipline Report provides average, median, lowest and highest of reported low and high salaries by rank for one discipline, N of incumbents, N of institutions and your institution's salaries as a percentage of the comparison group's salaries. Report can be produced using un-weighted or weighted data. Output format: HTML or PDF.

The Aggregate Report provides a rollup of 4-digit CIP Code data to the 2-digit level. Report shows average, median, minimum and maximum salary by rank for each 2-digit CIP code discipline, your institution's salaries as a percentage of the comparison group's and salary percentile ranks 20, 25, 33, 40, 60, 67, 75, 80 or 10, 20, 30, 40, 60, 70, 80, 90. Report includes all 4-digit CIPS, even those with fewer than five responding institutions. Report can be produced using un-weighted or weighted data. Output format: HTML, Excel or PDF.

Faculty Index Reports for 2-Digit and 4-Digit CIP Codes

Institutions often want to know how their faculty salaries compare overall or for specific disciplines to those of selected peers. The problem with a direct comparison is that the distribution of faculty by discipline and rank is unlikely to be the same across institutions. For example, if 40% of the faculty overall or in a specific discipline at one institution are full professors, but on average in the comparison group only 20% are full professors, a direct comparison of average salaries is likely to be very misleading.

The 2-Digit and 4-Digit Faculty Index Reports overcome this problem by calculating overall and discipline specific salary statistics for your comparison group based on the distribution of faculty at your institution. Standardizing the distribution provides more of an "apples-to-apples" comparison and allows you to see how your average salaries compare to those of your peers if they had the identical distribution of faculty by discipline and rank.

Average and median salary and N of incumbents by rank is reported for all disciplines combined and for each discipline rank; your institution's salaries as a percentage of the comparison group's is also reported.

The report highlights ranks at your institution that are more than 150% of the comparison group median or less than 75% of the median. If you wish, you may change these parameter values. Report can be produced using un-weighted or weighted data. Output format: HTML.

The National Student Clearinghouse

The National Student Clearinghouse is the nation's trusted source for student degree, diploma and enrollment verification. A non-profit organization established by the higher education community in 1993, the Clearinghouse serves as a central repository and single point of contact for the collection and timely exchange of accurate, comprehensive enrollment, degree, diploma, and certificate records on behalf of participating postsecondary and secondary institutions.⁵

The National Student Clearinghouse allows studies of subsequent enrollment for prospective students and previously enrolled students, who are identified by:

- Applicants who accepted an offer of admission, but later withdrew their application or simply did not enroll
- Applicants who were accepted for admission, but declined the offer
- Applicants who were denied admissions
- Students who transferred out of the institution instead of completing their degree at your institution
- Students who receive a degree and attend another institution for post-graduate study

Procedures

The file layout for the National Student Clearinghouse is submitted upon request by the Office of Institutional Effectiveness. There is not a specific name for the file; however, the file includes a “Purpose of Inquiry”, which lets National Student Clearinghouse know which data is to be collected. The file can be created in the following manner:

1. Flat file
 - a. Formatted to data element layout in a flat file
 - b. Use trailing spaces and filler fields to create a fixed length record
2. Excel
 - a. Create the spreadsheet using the layout that was provided from National Student Clearinghouse.
 - b. The spreadsheet uses column A – L and the format is text.
 - c. The file should be saved as a “Text (Tab Delimited)” file.

Uploading File(s)

1. Go to the FTP site <https://ftps.nslc.org>
2. The login is 00295400 (ask for password if needed)
3. Install the wizard if needed, which is used to upload the files.
4. Launch the Upload Wizard
5. Click “Add File” or “Add Folder”
6. Select your file(s)

⁵ https://www.studentclearinghouse.org/about/pdfs/Clearinghouse_profile.pdf

7. Click Next
8. Modify the Upload Options if needed
9. Click Next
10. Click OK when the transfer is completed
11. There will be an "Upload Wizard Transfer Report" the details of the file(s) transferred.
12. A delivery receipt will be sent to the necessary parties when National Student Clearinghouse has downloaded the file(s) that were uploaded.

Downloading File(s)

1. An email will be sent of the notification of the new files available.
2. Follow the same process for logging in when Uploading Files
3. The files should be on the "Home" page once logged in. If the files are not on the "Home" page, click **Go To Your Home Folder** in the Download a File section.
4. Click "Download" to save the files to desired location.

Codes for National Student Clearinghouse

- Purpose of Inquiry
 - Enter SE for Subsequent Enrollment inquiry. Searches for attendance AFTER the Search Begin Date
 - Enter DA for Denied/Declined Admissions inquiry. Searched for attendance AFTER the Search Begin Date
 - Enter PA for Prior Attendance inquiry. Searches for attendance BEFORE the Search Begin Date
 - Enter SB for Family Member inquiry. Searches for attendance AFTER the Search Begin Date
- Entity Type
 - Enter I (For Institution of Higher Education)
- Search Date
 - For Subsequent Enrollment (SE) inquiry: Enter the last date of attendance at your institution (YYYYMMDD). We'll search for enrollment subsequent to this date.
 - For Denied/Declined Admissions (DA) inquiry: Enter the term begin date for which the applicant declined or was denied admission (YYYYMMDD). We'll search for enrollment prior to this date.
 - For Prior Attendance (PA) inquiry: Enter the term begin date for which the applicant is requesting admission (YYYYMMDD). We'll search for enrollment subsequent to this date.
 - For Family Member (SB) inquiry: Enter the search date (YYYYMMDD). We'll search for the family member subsequent to this date.
- Transfer Record Found
 - Y = Transfer record found in Clearinghouse database.
 - N = Student found in Clearinghouse database, but no transfer record found.
 - Z = Student not found in Clearinghouse database.
- Transfer-In Institution Type/Level
 - A = 4-year or higher institution
 - B = 2-year institution

- C = less than 2 year-institution
- Initial Enrolled Status/Highest Enrolled Status
 - F = full-time
 - H = half-time
 - L = less than half-time

OIE completes various external surveys throughout the year that provides the public with information about our institution. Some of the survey's completed by OIE are the US News and World Report, College Board Annual Survey of Colleges, Peterson's Survey, Princeton Review, and the WinterGreen OrchardHouse. The annual surveys are published for public access across the country. These surveys collect a wealth of data on enrollment, admissions, degrees and majors, tuition, financial aid, faculty, and other aspects of graduate and undergraduate education.

The information from each of the surveys can be viewed by clicking of the URL's below:

US News and World Report

www.usnews.com

College Board Annual Survey of Colleges

www.collegeboard.com

Peterson Survey's

www.petersons.com

The Princeton Review

www.review.com

The Wintergreen OrchardHouse

www.wintergreenorchardhouse.com

Adhoc Data Request and Special Projects Reporting

OIE receives data requests for various types of data from UNCP departments and other entities. The completion of the following form is required when requesting data. The data request form when submitted online goes to the Asst. VC for IE and the Director of Reporting for IE. The Director of Reporting assigns the request to a programmer in OIE. After the programmer completes the request it is sent to the Director of Reporting for verification and then on to the requestor.

The Director of Reporting keeps a log of all data requests which is submitted to the Asst. VC at the end of each week

Data Request Form:

Data Request

It may take up to 10 working days to complete a request.

Please complete the form below and a representative from Institutional Effectiveness will contact you if there are questions about your request.

Name:	<input type="text"/>
Department:	<input type="text"/>
E-mail:	<input type="text"/>
Phone Number:	<input type="text"/>
Date Needed:	<input type="text"/>
Request Information:	
Type of Data:	<input type="text" value="Student"/>
If other, please specify:	<input type="text"/>
Please indicate briefly the purpose(nature) of this request:	<input type="text"/>
Please be as specific as possible with the request information that you provide.	
For example, specify the semester, year, and length of time for requested data as well as whether the request is to be pulled from live or frozen data. (Frozen data is time-stamped data which, when clean, is unlikely to change; live data, on the other hand, may change on a day-to-day basis).	

As the reporting "arm" of the University of North Carolina at Pembroke, the Office of Institutional Effectiveness (OIE) is uniquely concerned about the privacy and security of sensitive data for the protection of our students, faculty, and staff. Release of information by OIE is guided by the Association of Institutional Research Code of Ethics as well as by applicable system, state, and federal guidelines and regulations (including FERPA). To read more about the restrictions on the type of data that can be made available, as well as to whom and how it can be released, [click here](#).

Submit Request

Strategic Planning

Continual, collaborative strategic planning is critical to the future of The University of North Carolina at Pembroke. Doing business without a strategic plan is like traveling without a map, a mode of transportation, or even a destination. For a successful journey, you have to know where you are going, how you are going to get there, and how to know when you've arrived. The Assistant Vice Chancellor for Institutional Effectiveness (AVCIE) at UNCP is responsible for ensuring that the university community creates and implements a strategic plan on a regular basis, and that the university's strategic plan is in line with policies at the UNC-system level.

By virtue of her position within the university, the AVCIE serves the executive director to the Strategic Planning and Resources Council (SPARC). SPARC is a council made up of a broad spectrum of individuals representing the university and the Pembroke community. (For more detail on UNCP's most recent strategic plan and strategic planning process, visit OIE's website at <http://www.uncp.edu/ie/sp/>).

Currently, the strategic planning cycle at UNCP is conceived of as being five years in length with the first year devoted to reviewing or revising the university's mission, vision, and core values as well as developing goals and initiatives. The remaining four years are implementation years during which goal-related changes within the university are initiated and tracked.

In addition to her role as an advisor to SPARC, the AVCIE (and her office) is responsible for assessing the strategic planning process and products (e.g., how satisfied participants were with the process, how knowledgeable they are of the products, what suggestions they have for future strategic planning) and assuring that every effort is made to implement strategic goals and initiatives successfully.

Throughout any strategic planning effort or cycle, several key principles apply:

- **Communication/Collaboration:** Successful strategic planning requires input from all constituencies within the university community (faculty, staff, students, administration) as well as from the surrounding community (Pembroke). Both throughout the initial development of a strategic plan and during its implementation, communication must occur so that the entire campus/community feels a sense of "ownership."
- **Specificity/Details:** When formulating strategic goals and initiatives, it is imperative that language is used specific enough to permit assessment; that is, if you do not know where you are going, you won't know when you have arrived. When goals and initiatives do not contain sufficient detail to make action steps possible, implementation efforts will grind to a halt or never even begin.
- **Assessment:** It is critical both throughout and at the end of any strategic planning period to measure not only what is being accomplished within the strategic plan but also satisfaction with the planning process and products. As strategic planning should be a continuing cycle, assessment allows this cycle to improve over time.
- **Leadership/Responsibility:** A successful strategic plan requires strong leadership. This is true not only in terms of individuals to take the responsibility of tracking implementation of strategic

goals but also in terms of senior leadership within the university setting a good example by investing their time and energy in making sure that university practices and policies are guided by the strategic plan.

- Transparency: No major step in formulating a strategic plan should take place behind closed doors. All members of the university and surrounding communities should be invited to participate in the strategic planning process and the process and products should be made publicly available. All participants should feel as though they have a vested interest in helping move the university forward through implementation of the strategic plan. When one or more of the five principles listed here are violated, the university's self-improvement process is impeded, and participants in past strategic planning efforts quickly become disheartened and are disinclined to participate in future endeavors.

Assessment

The Office of Institutional Effectiveness at UNCP coordinates and conducts university-level assessment efforts to support decision-making and institutional improvement. In fact, assessment can be defined as the process of obtaining information for the purpose of making evaluative decisions and determining if an organization is achieving its mission. The measurement of how well UNCP is serving its constituents is at the heart of institutional effectiveness. Some of the instruments and techniques used for assessment within the Office of Institutional Effectiveness are described below. More information about assessment at UNCP can be located at the following URLs:

<http://www.uncp.edu/ie/assessment/> and <http://www.uncp.edu/ie/assessment/other/index.htm>.

CLA

The Collegiate Learning Assessment is an instrument which measures a variety of student learning outcomes: critical thinking, problem solving, analytical reasoning, and writing. Because the focus of the assessment is value added from the first to the senior year of university attendance, the Office of Institutional Effectiveness at UNCP administers this assessment every three years to first-year students in the fall.

SRI

The Student Readiness Inventory is a paper/pencil exam used with first-year students and composed of items contributing to 10 scale scores as well as retention and academic success indexes. Examples of SRI scales include academic discipline, academic self-confidence, commitment to college, social connection, and study skills. The inventory was developed by ACT after an intensive study to determine which non-cognitive factors best predicted college retention and academic success. The SRI is administered during freshmen orientation or freshmen seminar and results are sent to Freshman Seminar instructors to share with their students. The goal is for students to work on areas in which they received low scores in order to increase their chances of being successful in college. Not only can Freshman Seminar instructors work with students to develop action plans to improve skills to help them succeed, but also SRI scores in combination with traditional predictors may increase the university's ability to accurately identify high-risk students for both dropout and academic difficulty.

CSXQ/CSEQ

Student expectations of college and their subsequent experiences are not always congruent. Beginning in 2010, the College Student Expectations Questionnaire (CSXQ) is given to all in-coming freshmen at UNCP. The CSXQ gauges how students **expect** to participate in educational activities, experience the campus environment, and realize specific learning outcomes. At the end of their first year (as well as during their senior year), freshman cohorts are given the College Student Experiences Questionnaire (CSEQ) which measures student progress and the quality of students' experiences inside and outside the classroom. The comparison between initial expectations and eventual experiences will inform the design of marketing materials for potential college students and programs created for entering students. The CSEQ, as administered to senior students, replaces the National Survey of Student Engagement at UNCP.

ECAR study of undergraduate students and information technology

The Educause Center for Applied Research annually surveys first-year and senior students at U.S. colleges and universities. The electronic survey is sent to a random sample of students at UNCP each spring and explores student IT skills and how students use IT on campus.

COACHE survey of junior faculty

The Collaborative on Academic Careers in Higher Education (COACHE) is a collaboration of colleges/universities committed to gathering data needed to recruit, retain, and develop junior faculty members. Their annual electronic survey of full-time, tenure-track junior faculty assesses experiences in areas deemed critical to junior faculty success: Clarity & reasonableness of tenure processes & review; workload & support for teaching & research; importance & effectiveness of common policies & practices; climate, culture, & collegiality on campus; and global satisfaction. The COACHE survey is administered at UNCP about every three years.

The University of North Carolina system surveys

Each school within the UNC system is mandated to execute, and report results from, several surveys. One survey is used to gather basic demographic information from each fall's freshman cohort (e.g., parental income and parental education). Two others are designed to measure student satisfaction among sophomore and senior students and are administered in the spring semester of even-numbered years. These surveys seek information from students on faculty contributions, help outside the classroom, campus safety, class size, spoken English of instructors, other offices that serve students, and their educational experience as a whole. The senior survey also includes items on students' acquired knowledge, skills, and personal growth as well as their plans following graduation. Both surveys are sent to students in an electronic format; additionally, the senior survey is administered at UNCP's Grad Finale

Miscellaneous surveys

The Office of Institutional Effectiveness is also charged with the creation and deployment of university-wide surveys. When a survey is requested, the staff of OIE meets with the requester(s) to gather details about how the survey should be constructed. It is then created by use of survey development online survey tool. Reports of a variety of types can be generated from the response database.

OIE Calculations

FTE – UNC Calculation

FTE (Full-Time Equivalent) of Part-Time Students

Undergraduates		Graduates	
12 or more semesters credit hours	= 1.00	9 or more semester credit hours	= 1.00
9 to 12 semester credit hours	= .75	6 to 9 semester credit hours	= .75
6 to 9 semester credit hours	= .50	3 to 6 semester credit hours	= .50
Less than 6 semester credit hours	= .25	Less than 3 semester credit hours	= .25

FTE - SACS Calculation

*SACS **calculates undergraduate FTE** as follows:

All full-time students (those taking 12 or more credit hours) plus the total credit hours taken by part-time students (those students taking fewer than 12 credit hours) divided by 12.

Graduate *SACS **calculates graduate FTE** as follows:

All full-time students (those taking 9 or more credit hours) plus the total credit hours taken by part-time students (those students taking fewer than 9 credit hours) divided by 9.

Average Class Size for Organized Courses

Average class size is calculated on selected Schedule Codes (defined in parentheses below) and where the course is also assigned a in classroom or similar facility at a stated time. Courses of this nature are generally referred to as “organized courses”. Courses that are counted in the calculation of average class size include “Lecture” (LEC) courses, “Seminar” (SEM) courses, "Activity" (ACT) courses, "Laboratory" (LAB) courses.

Average Class Size for Internet Courses

Average class size for an Internet class is calculated on courses where the course is taught on-line and does not have an assigned regularly scheduled classes meeting in classrooms or meeting time. The Schedule Code (INT) is used to define an “Internet” course.

Student to Faculty Ratio

Student to faculty ratio is calculated by using the total of full-time equivalent students plus 1/3 of the total of part time students divided by the total of full-time equivalent instructional faculty plus 1/3 of part time faculty. In the student to faculty ratio calculations, exclude both faculty and students in stand-alone graduate or professional programs such as medicine, law, veterinary, dentistry, social work, business, or public health in which faculty teach virtually only graduate level students. Do not count undergraduate or graduate student teaching assistants as faculty.

Security, Privacy & Confidentiality

As the reporting “arm” of the University of North Carolina at Pembroke, the Office of Institutional Effectiveness (OIE) is uniquely concerned about the privacy and security of sensitive data for the protection of our students, faculty, and staff. Each OIE employee holds a position in which s/he is responsible for preserving the security and confidentiality of information used for the purpose of carrying out job responsibilities. Release of information by OIE is guided by the Association of Institutional Research Code of Ethics as well as by applicable system, state, and federal guidelines and regulations.

The AIR Code of Ethics includes the following statements in reference to the confidentiality of data:

- The institutional researcher shall establish clear guidelines about confidentiality issues within the institutional research office.
- The institutional researcher shall organize, store, maintain, analyze, transfer and/or dispose of data under his/her control in such a manner as to reasonably prevent loss, unauthorized access, or divulgence of confidential information.
- The institutional researcher shall permit no release of information about individual persons that has been guaranteed as confidential, to any person inside or outside the institution except in those circumstances in which not to do so would result in clear danger to the subject of the confidential material or to others; or unless directed by competent authority in conformity with a decree of a court of law.
- The institutional researcher shall, at the design stage of any project, thoroughly explore the degree of invasion of privacy and the risks of breach of confidentiality that are involved in the project, weigh them against potential benefits, and make there from a recommendation as to whether the project should be executed, and under what conditions.
- Where appropriate, the institutional researcher shall adopt a written description of any specific steps beyond the regular guidelines within the institutional research office that are necessary during a specific assignment to ensure the protection of aspects of privacy and confidentiality that may be at specific risk.

In general, data requested from OIE will be provided will be provided whenever possible in aggregate form; that is, in summary categories rather than on an individual, or record, level.

Federal guidelines regarding the confidentiality of data include the **Family Education and Privacy Act** (FERPA) which deals with the disclosure of education records and information. The full text of FERPA can be found on the website of U.S. Department of Education (<http://www.ed.gov/policy/gen/guid/fpco/ferpa/index.html>). The portion of FERPA with the most direct implications for OIE relates to disclosure of “directory information.”

Basically, FERPA permits the University to release a student’s directory information (defined as information that would not generally be considered harmful or an invasion of privacy if disclosed) unless the student has indicated an “opt out” of this release by completing a form in the Registrar’s Office directing the University not to do so. If a student has not completed this form, then another law, the North Carolina Public Records Law, requires that the directory information be treated as a “public record,” which

must be released to “any person” on request. [If a student has completed the “opt out” (Request for Revocation of Non-Disclosure of Directory Information) form, this non-disclosure will be indicated in Banner General Person SPIAIDEN in the Biographical selection where the Confidential box will have a check mark.] When completing any request in which student directory information is desired, OIE employees always check to see which students, if any, have indicated that they do not want to have their directory information released. Items considered to be directory information include name, addresses, telephone numbers, email addresses, majors, dates of attendance, and degrees received. More information about FERPA and what data items are considered directory information at UNCP is available on the registrar’s website at <http://www.uncp.edu/registrar/bulletin/FERPA.htm>.

Non-directory information may be released in some instances. For example, student non-directory information may be released to school officials including faculty and employees of the University system who have a legitimate educational interest. "Legitimate educational interest" means they need the information in order to carry out their official duties or implement policies of the University of North Carolina at Pembroke. In these instances, procedures will be followed to ensure that this information remains protected and confidential. For instance, non-directory information will not be sent via e-mail (unless encrypted), saved on portable storage devices or laptop computers, or made available in print format. If non-directory information is needed by school officials, it will be saved to a shared folder on a UNCP server with restricted access. These security precautions are not typically necessary in the case of aggregate data although decisions about what constitutes “sensitive data” are made by OIE on a case-by-case basis.

Because the University of North Carolina is a public agency, it is subject to state and federal “**open record**” laws. “Open record” laws are those requiring public records be open and available for inspection by any interested member of the public. Any member of the public has a right to inspect or take extracts or make copies from public records, instruments, or documents. While there are some specific exceptions, many of the institution’s records are subject to public scrutiny including all documents, papers, letters, maps, books, tapes, photographs, computer-based or -generated information, or similar material prepared and maintained or received in the course of the operation of a public office or agency. Examples of records subject to open records acts might be meeting minutes; institutional enrollment, productivity and financial reports; student directory information (unless a student specifically opts out of inclusion); aggregate data on students (as long as student confidentiality is maintained); employee information (such as directory information and salary); and course information (such as course schedules and grade distributions). Records exempt from open records acts include individual student records as defined in the Family Educational Rights and documents containing sensitive personally identifying information such as social security numbers. When there is doubt about whether data can be released by virtue of open record laws, OIE consults with University Council.

Requests for non-aggregated student or employee data for the purposes of faculty or faculty-supervised research shall be referred to, and considered for approval by, the UNCP Institutional Review Board (IRB) using appropriate protocols. IRB protocols take into account the requirements of FERPA and other federal or state provisions designed to protect the privacy of personal information.

Even in the case of legitimate educational interest or IRB-approved research studies, there are a number of standard guidelines regulating the use of data. These include the following:

- Personally identifiable information should be kept separate from the data in a secured area consistent with the written policy and procedures of the unit.
- Data should be used solely for the approved research or educational purpose.
- Data should be used solely in accordance with FERPA and its implementing regulations and any other applicable federal or state law.
- Data should not be used in any way that permits the identification or contact of any student or his/her family members outside the scope of the approved research project or educational purpose.
- Data should not be disclosed to any unauthorized party.
- Data should be destroyed at the completion of the intended research project or educational use, rendered anonymous or, in the case of longitudinal data, personally identifiable information should be kept separate from other data in a secured area consistent with the written policy and procedures of the unit.
- Because they constitute especially sensitive data and can provide a basis for identity theft, the use of social security numbers even in the case of IRB-approved research or educational purposes, is discouraged. The University Personal Identification number (Banner ID) should be used if needed.

Finally, anonymity (when at all possible) and/or confidentiality (always) is guaranteed when collecting or reporting on assessment data, including surveys. OIE works closely with UNCP's Institutional Review Board to assure compliance with ethical principles in the collection of assessment data. Any reports resulting from assessment activities and subsequently made public include aggregate data only with no personally identifiable information. This applies as well to other types of reports such as those based on statistical analyses of existing data.

Some Institutional Effectiveness Acronyms

- IE: Institutional Effectiveness
- IR: Institutional Research
- AIR: Association for Institutional Research

- SAIR: Southern Association for Institutional Research
- NCAIR: North Carolina Association for Institutional Research
- AAHE: American Association for Higher Education
- DPI: Department of Public Instruction
- GA: General Administration
- NCHED: North Carolina Higher Education Department
- SDF: Student Data File
- CDF: Course Description File
- SCF: Student Course File
- CLF: Course Location File
- CGF: Course Grade File
- PDF: Personnel Data File
- NCSE: National Center for Educational Statistics
- IPEDS: Integrated Postsecondary Education Data System
- PAS: Peer Analysis System
- DAS: Data Analysis System
- CIP: Classification of Instructional Programs
- CUPA-HR: College & University Professional Association for Human Resources

Definitions of Terms as used by UNCP's Office of Institutional Effectiveness (OIE)

Academic Year

The academic year at UNCP consists of the second summer session and fall of one calendar year with the spring, Maymester, and first summer terms of the next calendar year.

Academic Major

An Academic Major is a program of study offering both depth and breadth in a particular discipline or field

of study. The requirement and the curriculum for a major are determined by the academic department offering the major with appropriate approval of the Office of Academic Affairs.

Academic Concentration

A Major may offer concentrations, areas of specialization within a field of study. If offered, the academic department may determine is an optional or required component of the major.

Academic Minor

A Minor is a program of study, with less depth than a major. It may be completed to complement, or as an addition to a major.

Census Date

The 10th class day from the beginning of classes including the day on which classes begin for fall and spring terms. One 10th (3rd class day) of a Summer Session defines this date for Summer I and II.

Classification

Regular students at UNCP are classified according to the number of semester hours they have earned in keeping with the following table:

Less than 30 hours-Freshman

60 to 89 hours-Junior

30 to 59 hours-Sophomore

90 hours to graduation-Senior

Cohort

An aggregation of individuals along some common factor. In OIE, this usually refers to a group of first-time, full-time freshmen who enter the university at the same time.

Classification of Instructional Programs (CIP)

An NCES publication that provides a numerical classification and standard terminology for secondary and postsecondary instructional programs. The CIP code is the accepted government standard for program coding in all education information surveys.

CIP Code

A six-digit code in the form xx.xxxx that identifies instructional program specialties within educational institutions. Linkage: Classification of Instructional Programs.

Common Data Set (CDS)

A standard set of questions and data definitions incorporated by four major college surveys (College Board, Wintergreen/Orchard House, Peterson's, and U.S. News & World Report) for use in leading guidebooks, rankings, and resources. The Common Data Set includes standardized questions about a college's academic offerings, enrollment, admission requirements, expenses, and freshman class profile.

Distance education

Distance Education functions primarily as a portal that provides the technologies and administrative

support for various academic departments to export their degree programs across the state and beyond. Programs are offered through face-to-face and online.

Enrollment

For UNC institutions, this refers to the headcount degree-credit enrollment. The degree-credit enrollment includes full-time and part-time students enrolled in courses basic to or creditable to a bachelor's or higher degree including extension courses but excluding students in correspondence, adult education, audited courses, short courses, and those enrolled for individual lessons only. The resident-credit enrollment includes full-time and part-time students enrolled in courses basic to or creditable to a bachelor's or higher degree excluding students in extension.

Undergraduate

Undergraduate is a student who is undertaking a first-level degree program of study, normally a bachelor's degree.

Graduate

Students who have attained at least one standard bachelor's degree or first professional degree and who are candidates for a master's degree.

First-Time Freshman

A student who has no prior postsecondary experience (except as noted below) attending any institution for the first time at the undergraduate level. This includes students enrolled in academic programs. It also includes students enrolled in the fall term who attended college for the first time in the prior summer term, and students who entered with advanced standing (college credits earned before graduation from high school).

Special/Unclassified

Students who are not candidates for a degree, diploma, certificate, or equivalent award, although taking courses in regular classes with other students.

Full-Time Student

Students registered for 12 or more semester credit hours as undergraduate or 9 or more semester credit hours as graduate or first professional students.

Part-Time Student

Students registered for fewer semester credit hours than needed for a full-time load.

FTE (Full-Time Equivalent) of Part-Time Students

Undergraduates		Graduates	
12 or more semesters credit hours	= 1.00	9 or more semester credit hours	= 1.00
9 to 12 semester credit hours	= .75	6 to 9 semester credit hours	= .75
6 to 9 semester credit hours	= .50	3 to 6 semester credit hours	= .50
Less than 6 semester credit hours	= .25	Less than 3 semester credit hours	= .25

Faculty Teaching Load

The sum total of faculty activity during the academic year on behalf of the university. The load is based on the Fall and Spring Semesters with 12 hours representing a normal load. This includes instruction, instructionally related activities, service, research, governance participation and professional activities. The normal teaching load is twelve semester hours or the equivalent per semester. Faculty teaching both undergraduate and graduate courses will have a teaching load of 21 semester hours for the academic year in which the graduate course occurs. Faculty teaching only graduate courses will have a teaching load of 18 semester hours for the academic year.

FICE Code

The Federal Interagency Commission on Education code that is used by the Department of Education to identify institutions. The FICE code for UNCP is 002954.

Frozen data

Data captured and saved on the Census Date. For the Fall and Spring Semesters data is 'frozen' on the 10th class day from the beginning of classes including the day on which classes begin. For Summer Sessions I and II data is 'frozen' on the 3rd class day or one 10th of a Summer Session including the day on which classes begin.

SCH Enrollment Change Funding Model

The SCH formula for calculating the appropriations request for enrollment change contains five basic components: instructional salary costs; other academic costs within the academic units; library; general institutional support (GIS); and calculation of the resulting expected tuition revenue and state appropriation request.

Graduation Rate

Represents the percent of first-time, full-time freshmen enrolled in the summer and fall terms of an academic year who subsequently earn a baccalaureate degree at the admitting institution within four or six years. The total number of graduated cohort students divided by the total number of the cohort within the period of measurement.

Instructional Costs

Expenses associated with teaching courses.

Integrated Postsecondary Education Data System (IPEDS)

The Integrated Postsecondary Education Data System (IPEDS), conducted by the [NCES](#), began in 1986 and involves annual institution-level data collections. All [postsecondary institutions](#) that have a [Program Participation Agreement](#) with the Office of Postsecondary Education (OPE), U.S. Department of Education (throughout IPEDS referred to as "Title IV") are required to report data using a web-based [data collection system](#). IPEDS currently consists of the following components: [Institutional Characteristics \(IC\)](#); [12-month Enrollment \(E12\)](#); [Completions \(C\)](#); [Human Resources \(HR\)](#) composed of [Employees by Assigned Position \(EAP\)](#), [Fall Staff \(S\)](#), and [Salaries \(SA\)](#); [Fall Enrollment \(EF\)](#); [Graduation Rates \(GRS\)](#); [Finance \(F\)](#); and [Student Financial Aid \(SFA\)](#).

Load

A measure of courses taught by faculty or taken by students.

Matriculation date

This is the century, year, and term when an applicant intends to matriculate (is admitted) to a college or university; or the enrolled student first matriculated or enroll in the degree program indicated by degree intent.

Non-Traditional Student

An undergraduate student who is defined as being a member of a cohort defined primarily by age. For the UNC system, any undergraduate age 25 or older as of September 1 of each academic year is considered a Non-Traditional Student.

Persistence Rate

The number of cohort students still enrolled at the institution divided by the total number in the original cohort group.

Race and Ethnicity

Ethnic and racial origin defined according to U.S. Federal Government reporting requirements.

Individuals are asked to first designate ethnicity as:

- Hispanic or Latino or
- Not Hispanic or Latino

Second, individuals are asked to indicate one or more races that apply among the following:

- American Indian or Alaska Native
- Asian
- Black or African American
- Native Hawaiian or Other Pacific Islander
- White

Race/ethnicity categories are defined as follows:

Hispanic or Latino: A person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin, regardless of race.

American Indian or Alaska Native: A person having origins in any of the original peoples of North and South America (including Central America) who maintains cultural identification through tribal affiliation or community attachment.

Asian: A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian Subcontinent, including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.

Black or African American: A person having origins in any of the black racial groups of Africa.

Native Hawaiian or Other Pacific Islander: A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.

White: A person having origins in any of the original peoples of Europe, the Middle East, or North Africa.

Nonresident alien:

A person who is not a citizen or national of the United States and who is in this country on a visa or temporary basis and does not have the right to remain indefinitely.

Resident alien (and other eligible non-citizens):

A person who is not a citizen or national of the United States but who has been admitted as a legal immigrant for the purpose of obtaining permanent resident alien status (and who holds either an alien registration card (Form I-551 or I-151), a Temporary Resident Card (Form I-688), or an Arrival-Departure Record (Form I-94) with a notation that conveys legal immigrant status such as Section 207 Refugee, Section 208 Asylee, Conditional Entrant Parolee or Cuban-Haitian

Race/ethnicity unknown:

The category used to report students or employees whose race and ethnicity are not reported.

Readmitted Student

A student who previously attended the institution and who is not defined as a returning student.

Retention Rate

Represents the percent of first-time, full-time freshmen returning at any level in the subsequent fall term.

Returning Student

A student who has registered at the institution during the preceding term, or, in the case of the fall term, during the preceding spring or summer term.

Room Use Code

Numerical designation assigned to rooms within campus facilities based on the primary functional use of the space.

Student/Faculty Ratio

The ratio of full-time equivalent students (full-time plus 1/3 part time) to full-time equivalent instructional faculty (full time plus 1/3 part time).

Student Headcount

The number of matriculated students enrolled, regardless of the number of courses in which they are enrolled.

Transfers

Students transferring to UNCP who have college credits from other institutions in a previous regular session(s). A former student transferring back to his UNCP after attendance at another institution is not

classified as a transfer.

Transient Student

A student who is regularly enrolled and in good standing at an institution other than UNCP and who is taking a course(s) at UNCP which they intend to transfer courses(s) back to their regular institution.