Compliance Assist Planning will be launched in May 2017 as a tool to document, track and report on Departmental and College/Divisional Annual Reports and Strategic Planning initiatives at Saint Joseph's University.

As you navigate through the system, please utilize the "Help" link located in the upper right-hand corner of each main site page, and the question mark icon in the upper right-hand corner of each pop-up page. Clicking these links will take you directly to the user guide for the Compliance Assist Planning software. Also, scroll over the blue “i” bubbles for more information about specific fields.

The user guide contains screen shots and step-by-step instructions to guide you through the site. Note: some of the screen shots were taken from the perspective of the site administrator, so you may not have the same view/access; therefore, it may look slightly different on your screen.

Please contact your Site Administrators, Wenjun Chi (wchi@sju.edu), Kiersten White (kwhite@sju.edu) or Shawn Krahmer (skrahm@sju.edu) with any questions.
LOGIN INSTRUCTIONS

1. Visit sju.compliance-assist.com. (If you have trouble accessing the site, try Internet Explorer or Firefox.)
2. Login using your SJU username and password.
3. Click “Planning”
4. Click “My Dashboard.”

5. If you are assigned specific roles in the system, you will find links to the templates connected to those roles here. Otherwise, you may prefer to work under the “Institution” tab from the top menu.
To view Institutional and Divisional Strategic Plans/Goals

6. Click “Strategic Plans” tab.
7. Check “Table Filtered By” to confirm that you are in the current Fiscal Year – FY 2017.

Click on “Saint Joseph’s University” under “Organization Tree.” Here, you will find the current institutional strategic plan and objectives. When the new institutional strategic plan is available, it will be entered, and connected to the Fiscal Years to which it applies.
8. Under “Organization Tree,” click the + sign next to “President’s Office” to begin expanding the organization chart of the University. Continue clicking the + sign until you find the unit that applies to you.

If your College/Division or unit has a strategic plan, you will find it here, linked only to that College/Division or unit.

If you do not see a plan that you know should exist in the system:

a. Check to see that you are in the correct Fiscal Year.

b. Ask your system administrator whether it has, indeed, been entered.

System Administrators:

- General questions regarding login issues, user access, reporting line, organization chart adjustment, template adjustment, report generation, connection with Baseline, departmental and divisional report and plan, connection from unit report to institutional strategic planning, institutional and divisional priorities and approval process, etc. please contact Wenjun Chi at wchi@sju.edu.
- For assistance regarding CAS reports, priorities, and other concerns and questions please contact Shawn Krahmer at skrahm@sju.edu.
- Student Life contact: Kiersten White kwhite@sju.edu.
- HSB and All Other Units please contact Wenjun Chi at wchi@sju.edu.
- For training and workshop please check https://sites.sju.edu/institutionaleffectiveness/ie/assessment/on-campus-workshops/ or contact Wenjun for detail.
ANNUAL REPORTS AND PLANS

TO COMPLETE YOUR ANNUAL REPORT for Fiscal Year **2017**:

1. Click the “Departmental Plans” tab.
2. Check the “Table Filtered by” field to ensure that you are in the correct Fiscal Year.
3. Locate your program or department in the “Organization Tree” on the left by clicking the + signs to open the links.
4. Click “New Item.”
PROGRAM MISSION AND VISION TEMPLATE:

1. If your Department has a Mission and/or Vision Statement, select the “Program Mission and Vision” template.
5. Enter your information in the template.

6. **Title:** Write name of department plus “Mission” (e.g., Philosophy Mission, Career Development Center Mission, Information Technology Mission). Click “Save” once the "Title" field is added. This will allow you to proceed with entering other fields.

7. **Mission Statement:** Add your statement.

8. **Vision Statement:** Add your statement, if one exists.
9. **Start/End:** The start and end date will be automatically set to 6/1/2016 – 5/31/2017 because you chose FY2017 in the filter. But Program mission and vision statements may be linked to multiple Fiscal Years, just as the University statements are. Simply select the multiple fiscal years to which they are applicable (see below). To enter a new mission/vision statement, edit the years to which the old statements are linked to terminate at the appropriate date. Then, please use a new template linked to the appropriate Fiscal Year to enter the new mission statement. You may also change the start and end dates directly, but please enter 6/1 and 5/31 as the beginning and end dates.

10. Enter your information and hit “Save” or “Save and Close.” If the Mission/Vision template screen has not closed, close it. You are now back to the following screen. When you click “New Item,” you will see two additional templates: “Annual Goal” and “Annual Objective.”
11. You will use these two templates to enter your information for the year just past (2016-2017), the year just beginning (2017-2018), and your anticipated plans for the following year (2018-2019). While you may enter as many goals and objectives for each year as you wish, please consider the kinds of assessments which must be conducted to demonstrate that you have met those objectives. Be realistic about your time.

IT IS THEREFORE VERY IMPORTANT THAT YOU REMEMBER TO DO THE FOLLOWING:

a) Enter your information in the correct Fiscal Year. Select “new item,” and choose the template into which to enter the data. Use a new template for each goal and each objective.
b) Enter only the information currently available in each template.
c) You may enter additional information, including results and action plans, any time throughout the year prior to the final due date which is June 15.

So:

a) For the current year (FY17), you will be able to enter information in nearly all of the fields and link each objective to College/Divisional and University Strategic plans as appropriate, because your activities and assessments are complete for the past year.
b) For the upcoming year (FY18), you will be able to enter your goals and objectives, link the objectives to College/Divisional and University Strategic plans, and indicate who is responsible for the activity as well as how progress and/or results of your efforts will be measured. But you will not yet be able to enter results or action plans. You will return to this page at the end of the year (FY18) to complete the template.
c) For the following year (FY19), for which budget plans will be made during the upcoming year (FY18), you will enter only preliminary plans and any related resource (re)allocation requests.

You will use the same templates for each of these tasks. The KEY is to link each new entry to the correct Fiscal Year.
ANNUAL GOAL TEMPLATE:

1. Click the “Departmental Plans” tab.
2. Check the “Table Filtered by” field to ensure that you are in the correct Fiscal Year.
3. Locate your program or department in the “Organization Tree” on the left by clicking the + signs to open the links.
4. Click “New Item.”
5. Select the “Annual Goal” template.
6. **Goal Number:** Enter the word "Goal" and your goal number. This number may reflect departmental priorities, if you are asked to prioritize in this way by your College/Division (1 = most important, 2 = second most important, etc.). Please note that if you delete an item, the system does **not** automatically renumber remaining items. The system also allows you to record the same number multiple times.

7. **Goal:** Enter the goal. Good goals are clearly expressed, and support both the department’s and university’s mission.

8. **Start/End:** Use the “Choose Fiscal Year Dates” button to select the correct FY. Link each goal to only one Fiscal Year. **If the same goal applies to multiple Fiscal Years, enter this goal again using a new template linked to the new Fiscal Year.**

9. **Department:** This field will be completed automatically. It reflects your location in the Organization Tree.
10. **Responsible for Goal:** This field is required in each template by the software, but is not as useful here as it is in the Annual Objective template. You may complete this if it makes sense to do so, or leave it blank. Only those who have accounts and assigned roles in the system can be added here. If you choose to use this field:

   a. Click “Manage.” When the following screen appears, you may search by User Name or Department.

   b. If you should be the responsible person for the goal, simple click “My Roles” on the top right corner. Your user name will appear automatically.

   c. Select the user under “Available Roles”, click “Add Roles.”

   d. Now select the user under “Selected Roles” and “Save” to save the selection you made.

   e. Contact Wenjun Chi at wchi@sju.edu if you need to add a new user account and role.

11. Once you have entered all information as desired into the Annual Goal template, click “Save.”
12. You will notice that once you have saved a goal, new tabs appear across the top right of the template.

a. To edit the goal you have entered, click “Edit.”
ANNUAL OBJECTIVE TEMPLATE:

To add and link an Annual Objective to the Annual Goal you have now entered:

1. Click the “Departmental Plans” tab.
2. Check the “Table Filtered by” field to ensure that you are in the correct Fiscal Year.
3. Locate your program or department in the “Organization Tree” on the left by clicking the + signs to open the links.
4. Click “New Item.”
5. Select the “Annual Objective” template.
a. **Providing Department:** This data enters automatically.

b. **Objective Number:** Enter the word “Objective” followed by the Goal#.Objective# (e.g., 1.2, 2.4, 4.1). This number may reflect priorities, if you are asked to prioritize in this way by your College/Division (1 = most important, 2 = second most important, etc.). Please note that if you delete an item, the system does not automatically renumber remaining items. The system also allows you to record the same number multiple times.

c. **Objective:** Enter the complete objective. An objective should meet all five standards of SMART objectives: Specific, Measurable, Assignable, Realistic and Time-delineated.

d. **Additional Objective Description:** Use only as needed or helpful.

e. **Start/End:** Link each objective to only one Fiscal Year. If the same objective applies to a second Fiscal Year, enter this objective using a new template linked to the new Fiscal Year. Enter correct Fiscal Year – the current year if you are working on entering your current report, next year if you are working on your plan, or the following year.
f. **Objective Type:** Enter objective type.
   1) Choose **Operational** if your objective concerns the execution of everyday activities and commitments internal to the unit.
   2) Choose **Strategic** if your objective is forward looking and links to broader college, division, and/or institutional plans.

   ![Objective Type](image1)

   ![Measurement Strategy](image2)

   ![Add New Annual Objective](image3)

   g. **Measurement Strategy:** Explain how you will gather qualitative or quantitative data to demonstrate successful attainment of the objective. How will you know that you have met this objective? It may be a simple binary – completed or not completed. Or your assessments may be more complex.
If your objective will require resource (re)allocation either in the coming Fiscal Year or the following Fiscal Year, enter your request in the following five fields:

- **Resource Reallocation Request**: Pull down menu. You may select more than one category.
- **Frequency of Resource Reallocation Request**: Pull down menu.
- **Anticipated Funding Sources**: Pull down menu. You may select more than one category.
k. **Resource (Re)allocation Description**: Provide specific information about the resource (re)allocation request, including available cost estimates, facilities/hiring requests, information technology needs, etc. You may attach files if this is helpful.

   ![Resource (Re)allocation Description]

   You must click the Save button below in order to add files to this item.

l. **Rationale for Resource (Re)allocation Request**: Enter your rationale here. You may attach files if this is helpful. Refer back to prior assessment results and/or provide supporting data, if this applies.

   ![Rationale for Resource (Re)allocation Request]

   You must click the Save button below in order to add files to this item.
m. **Assigned to:** Enter the name or names of the persons (and position(s), as appropriate) responsible for the objective.

n. **Department/Program Head:** Add the person who has oversight for the objective. Only those who have accounts and assigned roles in the system can be added

1) Click “Manage.” When the following screen appears, you may search by User Name or Department.
2) If you should be the responsible person for the goal, simple click “My Roles” on the top right corner. Your user name will appear automatically.
3) Select the user under “Available Roles”, click “Add Roles.”
4) Now select the user under “Selected Roles” and “Save” to save the selection you made.
5) Contact Wenjun Chi at wchi@sju.edu if you need to add a new user account and role.
6. You will now be back on the main Annual Objective template. Be certain to save the data you have entered.

7. Once you “Save” a template, new tabs appear at the top right of the template.

   a. **To edit** the objective you have entered, click “Edit.”
   b. **To link** your department/program objective to your own department/program goals as well as to College/Division or University Strategic Plans, click on “Related.” **NOTE:** it is very important that you do this for divisional and institutional tracking and reporting purposes. Additionally, this step is essential as we work to collect evidence for Middle States accreditation standards with respect to institutional planning.
To “Relate” your Objective to an Annual Goal:

1. Click “Related.”
   a. Under “Items This Annual Objective Supports,” click “Add.”
   b. On the screen that appears, highlight your program/department in the left-hand column, and your program’s/department’s annual goals will appear. Select the appropriate links. Click “Add.” Again, check that you are in the correct Fiscal Year.

**NOTE:** Each Annual Objective should be linked to an Annual Goal. More than one Annual Objective can be linked to each Annual Goal.
To “Relate” your Objective to a College/Division or University Strategic Plan:

2. Click “Related.”
   a. Under “Items This Annual Objective Supports,” click “Add.”

   b. On the screen that appears, highlight “Saint Joseph’s University” in the left-hand column, and the University’s Strategic Planning Goals and Objectives will appear. Again, check that you are in the correct Fiscal Year. Select the appropriate links. Click “Add.” Please first try to relate your objectives with the appropriate strategic plan objectives. If no good match exists, you may relate your goal with strategic plan goals. Link to strategic plan goals ONLY IF none of the strategic plan objectives apply to your annual objective.
c. Repeat this procedure with your College/Division strategic plan, clicking on the unit to which those plans are attached to bring them up. Continue this process until all the links are made.

NOTE: Your Annual Objectives may be linked to as many Institutional and College/Divisional goals and objectives as are relevant.

NOTA BENE: If you are completing your plan for the upcoming year, this is where you stop!
Dean/Division Head Resource (Re)allocation Decision:

The next fields in the template allow the Dean or Division head to provide feedback with respect to your resource reallocation requests. So, all of the above information which you have entered into the “Objective” template is clearly part of planning.

Deans/Division heads may decide to utilize these fields in different ways.
Year End Report:
The concluding fields in the template are for the year-end Annual REPORT. *But note that you may enter this information at any time throughout the year, as initiatives are completed.*

1. **Progress:** You may use these fields to keep track of your activity throughout the year. At the end of the year, select current status of goal.

2. **Assessment Results:** Record your assessment results including achievement and challenges. Include the connection with the assessment results from previous years, if applicable. Upload relevant materials, as needed. If this task is complete and has no implications for your annual plans for the coming years, your report is not complete.

3. **Assessment Results from Campus Labs Baseline:** If you have relevant survey (not rubric) information in Campus Labs Baseline, see user guide for how to save a view in Campus Labs Baseline, then select data points from Campus Labs Baseline to be connected to an objective once item has been saved in Compliance Assist. Please contact James Grasell at igrasell@sju.edu to create a new user account.

4. **Action Plan:** Your action plan should be based on the assessment results and should support the long and short term direction of your department, college/division, and the University. As appropriate, action plans should then be included as new goals/objectives in future Fiscal Years. This is especially important for action plans that indicate new resource (re)allocation requests. **Your report as recorded here (unless recorded as a new goal/objective), does not**
trigger future resource (re)allocation decisions. This is the same as to say that they must become “plans.” “Save and Close” this report. Return to the “Departmental Plan” tab. Select the appropriate Fiscal Year, and select “New Item” and enter your new goal/objective in templates linked to the new Fiscal Year – either the upcoming year or the year following.

5. Be certain you have saved your information. Double check your department or division under “Departmental Plan” to see if your new item is saved.
SUMMARY – Here are the Reports/Plans due June 15, 2017:

**Step 1: FY17 Plan/Report:** Add Annual Goal and Annual Objective information related to this past year until your departmental/program Plan/Report is completed. Remember to “Save,” then go to “Related” to link these initiatives to divisional and university strategic plans.

**Step 2: FY18 Plan:** On the home page, select FY 2018:

Add Annual Goal and Annual Objective information. On the “Annual Objective” template, complete from the top…

…down through …

…plus… links from your annual objective to your own annual goals as well as to College/Division or University Strategic Plans via the “Related” tab.

This information reflects your plan for the year. It should be relatively detailed.
Step 3: **FY19 Preliminary Plan:**
Repeat step 2, although this information will be preliminary and may be primarily focused on initiatives linked to requested resource (re)allocations that should enter the planning and budgeting process. The following portion of the template is therefore extraordinarily important for this step.

![Image of template with fields for Resource (Re)allocation Request, Frequency of Resource (Re)allocation Request, and Anticipated Funding Source(s).]