Guide to Self-Study

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GUIDE TO SELF-STUDY PROCESS

1. **Introduction**

Normally, an institution, a college or its programs seek accreditation to ensure that they meet established national or international requirements.

In general, accreditation standards normally focus on these fundamental questions:

- Are we, as a Higher Education Institution community, achieving what we want to meet and achieve its mission, goals, and objectives?
- What should we do to improve our efficiencies and effectiveness in achieving our fundamental aims as a Higher Education Institution?
- Has our colleges and programs clearly established and aligned its mission, goals, and programs learning objectives with the institutional directions?
- Are the program's curriculum and resources organized to meet its mission, goals, and objectives?
- What is the evidence that the program is currently achieving its mission, goals, and objectives and is likely to continue to meet them in the future?

2. **Effective self-study process**

    Adapted from: *The Higher Learning Commission, The Self-Study Process in Accreditation: Hallmark of an Effective Self – Study Process, The Handbook of Accreditation, Version 1:10/03, North Central Association of Colleges and Schools (NCA),* [*www.ncahigherlearningcommission.org*](www.ncahigherlearningcommission.org) *and Armen, B., (2009), Establishing Self-Study Process for Internal Quality Assurance, IREX University Administration Support Program , University of Nebraska - Lincoln*

To ensure that the institution, college or program meets these accreditation requirements, the institution, college or program will need to conduct a self-study to ensure that their academic and support services and resources processes are efficient and accomplish and achieve some established results. These are normally defined in the accreditation standards and Criteria of academic performance and excellence. As such, the self-study process should meet certain requirements of effectiveness that:

- ✓ **Fits the distinctive nature of the organization –** An organization's mission makes it distinctive, as might its breadth of educational offerings or specific foci within them. It is important for an organization's self-evaluation and assessment to reflect and fit its unique context of "who we are?" and "what we do?".

- ✓ **Achieves stated goals that guide the design and the conduct of the process –** It is imperative to set the goals to be accomplished of the self-study. Knowing what is to be accomplished through the self-study process helps institution, college or programs remain focused. This means that goals shape the design and the process, rather than emerge from them. Moreover, to create successful strategies, participants need to understand the goals. Effective self-studies typically have a limited number of recognizably significant goals.

✓ **Ensures effective evaluation** of the **whole** institution, college or program**. –** Many institution, college or program providing higher learning is quite complex and complicated. The evaluation for accreditation looks at the totality of the institution, college or program holistically. Besides focusing on core educational endeavors, the evaluation includes substantial subsidiary ventures or enterprises, noncredit training programs or other significant continuing education endeavors, and development and alumni relations programs, to name just a few. Attention, too, is given to the influence of intercollegiate activities as well as to important educational opportunities used by some students, such as study abroad, service learning, and joint programs.

✓ **Promises to have an impact on the institution, college or program beyond the Accreditation visit –** A self-study process ultimately connects to an institution, college or program ongoing visioning, budgeting, and planning processes. Highly effective self-study processes produce findings and recommendations that the institution, college or program should address. When the leadership of the institution, college or program affirms that the self-study report will be a living document rather than gathering dust on a shelf, the institution, college or program's constituencies respond to the institution, college or program agenda, not simply to an agenda set by the Accreditation Standard and its Criteria.

✓ **Engages multiple constituencies of the institution, college or program –** The institution, college or program is best seen through multiple lenses. A successful institution, college or program involves the work of many, and the contributions of the various constituencies make the whole greater than the sum of its parts. Therefore, the value of inclusiveness in review ensures that a holistic perspective can be achieved.

✓ **Builds naturally on existing and ongoing self-evaluation processes –** The practice is not to consider self-study for accreditation as an activity separate from and added onto an institution, college or program's existing and ongoing evaluation processes. The institution, college or programs have too little time and energy and too few resources to build a process parallel to effective existing ones. A well-designed self-study builds on what is already in place, adding to it or, sometimes, transforming it into a more effective means of evaluation. Moreover, it makes use of data that already exist somewhere in the institution, college or program, whether in the institutional research office or another area that routinely or periodically gathers information for reporting or institutional use.

✓ **Has strong presidential and University Council support –** The president and the University Council are expected to have high expectations for organizational learning from the self-study process. Without these expectations, the self-study itself and the process can become just a mere compliance activity. Clear evidence of support inspires stakeholders' engagements.

✓ **Draws on the expertise and credibility of recognized leaders throughout the institution, college or program –** As does any task important to the institution, college or program, effective self-study taps the talents and commitments of leaders who make the effort credible. They cannot conduct the self-study alone. They should be people known for their ability to generate and support the involvement of others. They know and call on people with expertise who can make the process both efficient and effective.

✓ **Maintains regular and effective communication links with institution, college or program constituencies –** The institution, college or program constituencies are informed and involved; they provide frequent input and feedback. When the evaluation team reaches the institution, college or program and holds informal interviews in faculty and administrative offices, discusses the institution, college or program with staff, and chats with, it discovers that all of them know about the process and its results.

✓ **Produces evidence to show that the Criteria for Accreditation are met –**The accuracy and quality of an institution, college or program's response to the Criteria and Core Components are contingent upon its production of substantive evidence that is convincing, analytical and evaluative. An analytical and evaluative self-study connects and interprets data and makes judgments about fulfillment of the Criteria and its Core Components accordingly.

✓ **Produces a self-study report that meets the Accreditation needs –** A well-designed self-study report may have many audiences, but the Commission is obviously one of the more important. The report bears the weight of providing evidence that the institution, college or program warrants an affiliated status with the Commission. It allows the evaluation team to conduct an efficient visit; it informs the people who participate in the Commission's subsequent review and decision-making processes. The self-study report links solidly with the findings produced by the self-study process.

✓ **Testifies to the organization's commitment to peer review –** In evaluating both the comprehensiveness of the self-study process and the integrity of the self-study report, team members discover how seriously the institution, college or program approaches peer review. A team also takes into account the documentation the institution, college or program provides of the quality of attention it gave to previous evaluation teams. Through its team report, each team evaluates and consults. The team report once concluded with short lists of strengths and challenges, and subsequent evaluation teams measured of the institution, college or program's commitment to peer review in part by how the institution, college or program had maintained those strengths and remedied the challenges. These simple lists are not part of the current team report. Instead, in the Assurance section of its report, the team may note a variety of discrete Examples of Evidence that deserve attention. In the self-study report, the institution, college or program summarizes its understanding of the most

salient issues raised by the last comprehensive and subsequent team(s) and evaluate how it responded to them.

3. **Goals of a Self-Study Process**

To start off the whole self-study process, the institution, college or program needs to specify the goals of the process to ensure that the institution, college or program constituencies to understand, support and commit to the whole process. The key goals for the self-study are:
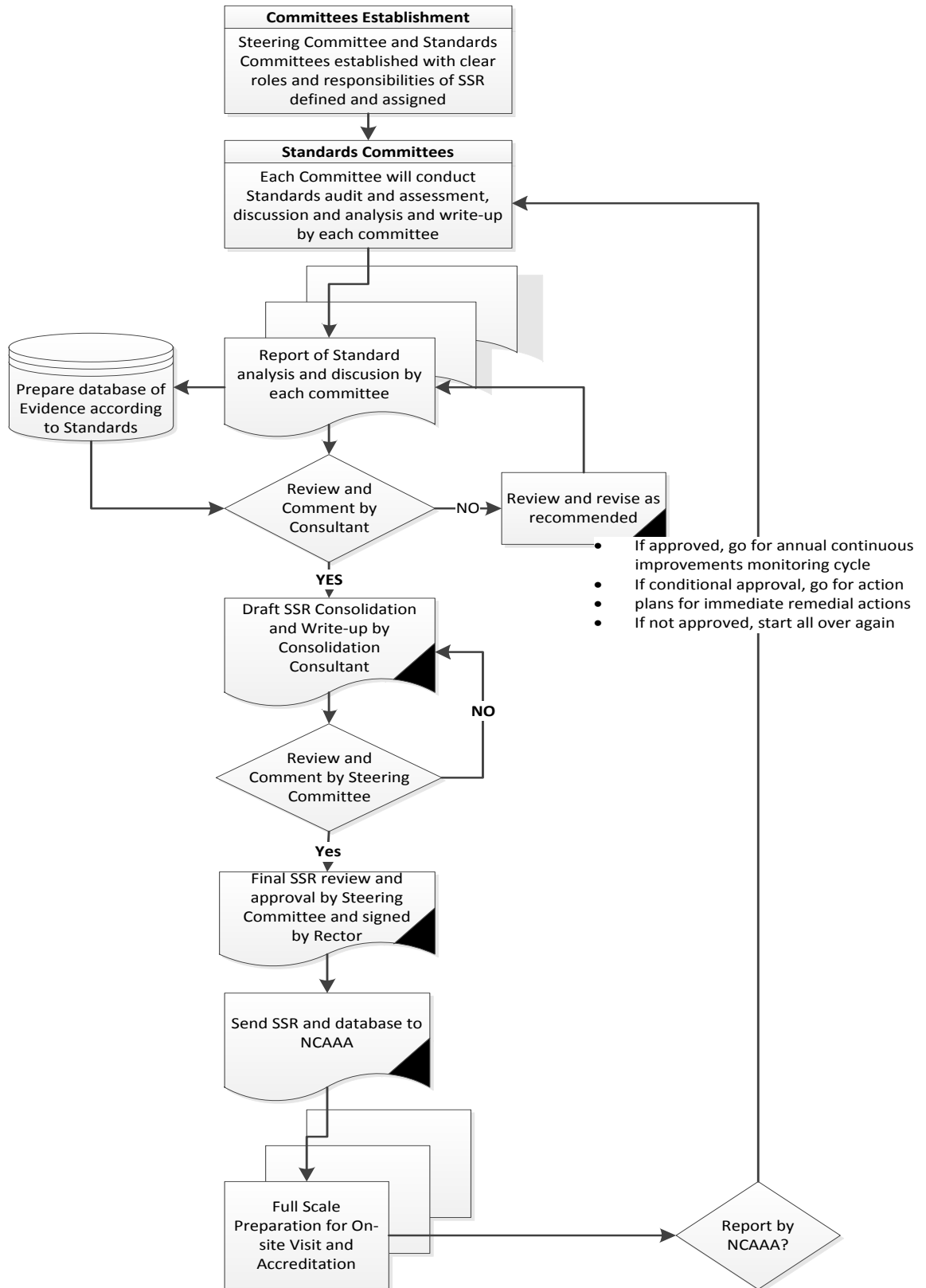
✓ The main directives and determinants of what the institution intends to achieve by an in-depth analysis of itself.

✓ Demonstrating that the institution possesses the characteristics of excellence described in the accreditation standards.

As such, based on the established goals, the result of effective planning and assessment is institutional renewal and advancing the institution, college or program and, if appropriate, leading the institution, college or program in new directions.

Examples of Self-Study Outcomes based on the Goals of Self-Study

- To compose a concise and constructive document that not only meets the needs of the Accreditation requirements in Higher Education but also serves as a valuable tool for institutional planning, change, and growth of the institution, college or program.
- To educate all constituencies with regard to the institution, college or program's revised mission statement.
- To create a common vision of the institution, college or program's future direction.
- To take a critical look at the integrity of the institution, college or program in a time of rapid change.
- To begin assessing a new competency-based core curriculum.
- To determine how to improve graduate education, with special consideration of the institution, college or program, size, funding, recruitment, curriculum, research, and student life.
- To study institution, college or program outcomes and practices of peer institution, college or program to assess and improve student learning results.
- To re-think and revise the institution, college or program's general education program.

Self – Study Process of Institution

Committees Establishment

Steering Committee and Standards Committees established with clear roles and responsibilities of SSR defined and assigned

Standards Committees

Each Committee will conduct Standards audit and assessment, discussion and analysis and write-up by each committee

Report of Standard analysis and discusion by each committee

Prepare database of Evidence according to Standards

Review and Comment by Consultant — NO→ Review and revise as recommended

- If approved, go for annual continuous improvements monitoring cycle
- If conditional approval, go for action
- plans for immediate remedial actions
- If not approved, start all over again

YES

Draft SSR Consolidation and Write-up by Consolidation Consultant

NO

Review and Comment by Steering Committee

Yes

Final SSR review and approval by Steering Committee and signed by Rector

Send SSR and database to NCAAA

Full Scale Preparation for On-site Visit and Accreditation

Report by NCAAA?

4.

Work Group Organization for the Self – Study Process

Adapted from: MSCHE, (2007), Self -Study: Creating a Useful Process and Report, Second Edition, Middle States Commission on Higher Education, Philadelphia and Armen, B., (2009), Establishing Self-Study Process for Internal Quality Assurance, IREX University Administration Support Program , University of Nebraska - Lincoln

There are three basic ways to organize self-study groups (Table 1) and the self-study report:

✓ **Work Group Type 1 (**Self-Study Report's Context of the Standards based on Characteristics of Excellence) **–** This working group is organized based on each chapter in the report for each of the 14 standards in *Characteristics*.

✓ **Work Group Type 2 (**Self-Study Report's Reordering Standards To Reflect an Institution) – A second organizational format is to group standards together in a way that makes sense to the institution, so that some or all working groups and report chapters will address more than one standard. For example, Standards 1 and 2 on planning and governance which might be assigned to one working group, Standards 4 which is Teaching and Learning and student learning assessment to another group.

✓ **Work Group Type 3 (**Self-Study Report with Emphasis on One or More Standards) – The third organizational format is to organize the groups and report thematically, rather than by the standards. This can be done in comprehensive self-studies, but it is more common in comprehensive self-studies with a special emphasis and in selected topics self-studies in which the topics selected are other than specific standards.

Table 1: Work Group Organization types based on Characteristics

Work Group Type 1	Work Group Type 2	Work Group Type 3
SELF-STUDY REPORT'S CONTEXT OF THE STANDARDS BASED ON CHARACTERISTICS OF EXCELLENCE	SELF-STUDY REPORT'S REORDERING STANDARDS TO REFLECT AN INSTITUTION	SELF-STUDY REPORT WITH EMPHASIS ON ONE OR MORE STANDARDS
Institutional Context • Mission and Goals • Planning, Resource Allocation, and Institutional Renewal	**Planning, Mission, Goals, and Leadership, Governance, and Administration and Quality System**	**Institutional Context** Mission and Goals **Planning, resource allocation, and**

• Institutional Resources • Leadership and Governance • Administration • Integrity • Institutional Assessment **Educational Effectiveness** • Student Admissions and Retention • Student Support Services • Faculty • Educational Offerings • General Education • Related Educational Activities • Assessment of Student • Learning	Standard 1: Mission and Objectives Standard 2: Governance and Administration Standard 3: Management of Quality Assurance and Improvement **Education and Research** Standard 4: Learning and Teaching Standard 10: Research **Student Management and Support Services** Standard 5, Student Administration and Support Services **Institutional Resources** Standard 6: Learning Resources Standard 7: Facilities and Equipment **Faculty** Standard 8: Financial Planning and Management **Human Resources** Standard 9: Faculty and Staff Employment Processes	**institutional renewal** Institutional Resources Leadership and Governance Administration Integrity Institutional Assessment **Educational Effectiveness** Student Admissions and Retention Student Support Services Faculty Educational Offerings **General Education** Related Educational Activities **Assessment of student learning**

Duties of the Working Groups and Guidelines for Their Reports

The design document should include specific duties and responsibilities of the self-study working groups that define their tasks and provide guidance for their research and reporting. These responsibilities should include:

✓ **Focus and areas to address –** The standard(s) or topic(s) the working group is to address and the specific activities and products expected from it, such as developing the research questions or answering them to meet the standards and criteria requirements; gathering and analyzing evidence; and producing outlines, preliminary drafts, and final drafts of reports.

✓ **Developing and responding to Research Questions –** Research questions in findings answers meeting the standards and criteria requirements that will guide the working groups' tasks of research, analysis, and reporting need to be developed. Effective questions are vital to a successful self-study, and this section of the design is in many ways the conceptual center of the whole self-study.

✓ **Unified template –** A standardized or unified template for the different working groups and their reports, so that interim reports can be refined and easily edited into a seamless final self-study report. The template for a Working Group Report could include:

- o An overview of the group's responsibilities, and the questions the group should address
- o An analytical discussion of the inquiry undertaken and the outcomes of that inquiry, including strengths and challenges
- o An explanation of how the group's findings and conclusions relate to the Standards and Criteria
- o Discussion of the connection of the group's topic with those of other groups, and of any collaboration between groups that took place
- o Recommendations for improvement

5. **Guidelines in developing a good Self-Study**

5.1 From an Assessor's Frame of Mind

In general, all colleges and programs will make a genuine attempt to audit and assess their performance which is a good start. The general guidelines discussed here are designed to assist the Colleges and Programs to develop a quality evidenced based self-audit and assessment. One part of the guidelines are based on the lessons learned from a few SSR (Self-Study Report) developed by some programs and colleges. The guidelines here are divided into 4 main parts of:

1. Assessor's Frame of mind when assessing the performance of a College or Program
2. Overall issues when developing a Self-Study
3. Key issues specific to each Standard
4. Proposed Checklist of Supporting Evidence

5.2 Assessor's Frame of mind when assessing the performance of a Institution, College or Program

When assessing the performance of the Institution, College or the Program, the assessors are independent reviewers and are external professional auditors and assessors. As such, the assessors do not have much knowledge or background of the Institution, College or Program being audited and assessed. They will then rely on what is being produced by the College or Program which are:

- i. The self-prepared SSR (Self-Study Report),
- ii. The Statistics, Information and Documents (SID) produced as supporting evidence,
- iii. The site visit to verify the SID and ensure that the quality management is evidence based.

Therefore, when reading an SSR, the overall issue in the assessors' frame of mind is that they will try to identify:

1. **The Key Processes** -- the assessor will try to identify a Systematic Approach used in the quality management of the educational programs offered and that covers all the academic and administrative units aspects affecting education value created and delivered to the stakeholders through the following:

    i. What and how the standard is addressed in terms of its **Approach** (which can be a system, a framework, the mechanisms or tools and techniques or a set of repeatable processes used)?
    ii. Is the approach **Deployed** consistently and coherently and practiced across all work units?
    iii. Is there any **Learning** taking place in terms of improvements or innovations?
    iv. Is the standard or criteria **Integrated** across the other criteria, standards or work units?

2. **The Key Performance Indicators or the Results –** the assessor will try to identify the results based on the following:

    i. **Level** of performance of the achievements reported based on the KPI (Key Performance Indicators) or performance measures
    ii. **Trend** of the performance over a 2 to 5 years period and there is a consistent trend of good performances in the trend analysis
    iii. **Comparison** of the performance level and trend with industry standards or benchmarks
    iv. **Integration** of the KPI and ensure that they are consistent across the different standards or work units.

The notes above highlights that quality is management driven in terms of its planning and deployment of approaches and its evaluation of the achievement of these processes in each of the standard and criterion. All of these are aimed at determining the management of the quality of each of the standards in terms of: planning, organizing, development and deployment of resources, coordination and communication and measurement of its implementation and achievements. This is management (**POC³** – Planning, Organizing, Communicating, Coordinating and Controlling) of quality that is expected of the Program or College.

This would basically mean that to address and meet each of the requirements of the Standards and Criteria of quality, the assessors will try to determine and assess the following:

i. **Planning –** Is there a planned approach that defines how the requirements of the quality standard and criteria are addressed? Normally in each of the Standard, a main plan is required. This plan is the main evidence that normally would address most of the requirements of all the different criteria in each of the Standard. Most of the Standards would require the College or Program to

develop a plan for each of the Standard. For example, in addressing Standard 4 on Learning and Teaching, a basic piece of evidence is the Teaching and Learning Plan. The Teaching and Learning Plan should basically cover the main areas of:

    a. The strategic goals, the objectives, and the strategies used in achieving the goals of the teaching and learning.
    b. The input, processes and outputs and outcomes that will be actioned upon to realize the tactical and operational aspects of the plan (which is the strategies and the action plans). The resources that will be needed and requisitioned to ensure that the action plans are deployed and implemented successfully.
    c. The key performance indicators used to determine the achievements of the quality of the teaching and learning.
    d. The assessment framework in measuring and determining the performance of the teaching and learning.

ii. **Organization –** Once the plan has been defined, the next thing is "what to do" and "how to do" to action the plan. This calls for translating the plan into action oriented practices of organizing the resources and use the resources to achieve the outputs and outcomes. The organization part is the "MEANS" to achieve the "ends".

    a. This would normally mean the determination of the APPROACH (systems, mechanisms, tools, techniques, procedures, processes used and that they are systematic) used to implement the plan to achieve the actions and activities planned.
    b. This will cover the details of the policies, processes, procedures and people or generally the SOP (Standard Operating Procedures) of the systems approach.
    c. It also needs to identify the resources in terms of the capabilities and capacities that need to be developed or created in order to achieve the plan. Successes in implementation of plans are in the capabilities and capacities of the College or Program.

iii. **Communication and Coordination –** Once the approach has been identified and organized, then it needs to be DEPLOYED to all the units involved. This is deployment of the "means to achieve the ends".

    a. The deployment plays a very important part in the sense that there should be a common understanding of the approach used, the consistency and coherence in the implementation to achieve the end outcomes or performance measures.
    b. To make deployment successful, communication, understanding and acceptance by all faculty and staffs within and across the units is important to ensure full commitment by everyone.

iv. **Control –** Once the system approaches have been organized and deployed, there is a need to ensure that the level or degree of success of performance achievement is determined. This goes into the area of the performance assessment framework to:

   a. Set up a performance assessment system to check, monitor and measure that the performance is acceptable. This would entail the development of KPI (Key Performance Indicators) as measures of performance achievement.
   b. Develop and gather the SID (Statistics, Evidence and Documents) to serve as the facts or evidence of a fact based or an evidence based mechanism to support the performance measurement and management.
   c. Assess the performance based on a system of performance which in this case is the ADLI (for process based Criteria) and LeTCI (for result based Criteria).
   d. Ensure that the performance for continuous improvements bring about LEARNING which is the improvements and innovations. Performance management that does not bring about learning in terms of improvements and innovations is of little value or do not contribute to value creation.
   e. Ensure that all the criteria in the different standards or across the different units are INTEGRATED as in a systemic approach; everything is dependent on each other.

The basic denominators of managing quality that needs to be understood are:

- *To develop and implement quality from the management perspectives.*
- *To manage quality, it is about a culture of change, especially change management and the implementations of the changes.*
- *To adapt the international best practices to the local needs and requirements, values and culture.*

6. Overall issues when developing a Self-Study: Lessons Learnt

In this aspect, the comments here are based on the different types of SSR written by different colleges and programs, and overall, it appears that there are a few main issues that are generally misunderstood or done incorrectly and not apparent in the self-study report prepared. These recurrent issues that are found to be common in most of the SSR reviewed apply to all the Standards. Having said that, there are certain areas whereby the audit and assessment could be improved on as follows and these main issues that are normally overlooked or are not clearly addressed are:

➢ *General Issues*

   a. Overall, the way the report is written is more descriptive of what the program or College has (e.g. Committee, manuals, or documents) and there is a lack of the evaluation of the processes and procedures (or analysis) in terms of evidence that states that it is successful, supporting a

constructive analysis. The analysis is sorely missing as it does not clearly reflect: *this is what we have* (processes, procedures and manuals); *this how we implement it* (determination of how the processes, procedures or mechanisms are executed); and *this how we assess our achievements* (the measures or evidence supporting that it is being implemented effectively and efficiently and is producing results – as the results are lacking in most of the standards). Since there is little evidence of analysis and supporting evidence, the overall description with no substantial analysis would appear to be superficial.

b. The report on each of the standard states only what is being done and does not describe a systematic approach that defines clearly the processes, the system or the mechanisms used, and how these approaches address the sub-standard (criteria) and sub-sub-standards (items) requirements.

c. It is apparent that the report does not cover all the key requirements of each of the standard, sub-standard (criteria) and sub-sub-standard (items) as there is little description of the "processes" and the "evaluation of the processes" as to what and how they address the standard and sub-standard (criteria).

d. Since the approaches are neither apparent nor evident, as only some activities, committees or actions are mentioned, it is unclear how the approach is deployed to achieve the sub-standard (criteria) and sub-sub-standards (items).

e. Achievement is based on evidence and the assessment of its efficiency or effectiveness and this is lacking is most of the standards, as there appears to be a lack of evidence to support the evaluation of each of the sub-standard (criteria) and sub-sub-standards (items).

f. Since there is a lack of clear and supporting evidence, it is unclear how the assessment is done to arrive at 4 stars or 3.75 stars that the colleges or programs normally assign subjectively. Using a more constructive approach by looking at the Approach (A), the Deployment (D), the Learning (L) and the Integration (I) of the processes and systems that addresses the criteria and the Standard is of paramount importance. The percentage given is based on the degree of progression or the maturity of the processes or results based on the ADLI or LeTCI. A more matured process that covers a higher level of progression of the ADLI will be accorded a higher percentage performance scoring for that sub-standard (criteria) and sub-sub-standard (item).

g. Supporting evidence should be placed and categorized as Annex at the end of each Standard.

➢ *Strengths and Priorities*

a. Strength is derived from evidence of *what has been done and how it is done and that is effective, and show that there is real improvements and that it can be used to uniquely identify the program better than its*

competing programs or colleges. As such, it should be evidence based and measured for achievement.

b. Priorities are also *based on the analysis that there is an opportunity for improvements and without these improvements; it will affect the program or college achievements*. It should come from the analysis of whether there is a problem in addressing the standard and sub-standards.

c. It appears that often times, the conclusion of the Strengths and the Opportunities are not based on the analysis. If they are not based on the analysis, then the written contents is irrelevant and becomes useless. As such, the determination of the Strengths and Opportunities should be based on the analysis and evaluation of the approaches and its deployment that affects the learning or the improvements and innovations.

d. The action plans to address the priorities of actions or the areas for improvements are lacking.

7. **What Assessors look for in each of the Standard?**

Standard 1

❖ Are the college strategic plans or the program plans, the mission, vision and goals colleges or programs aligned with the University Strategic Plan, especially the College Strategic Plan? Is there any systematic process used for developing the strategic plan? Are there any action plans and milestones for the monitoring and measurement of the successful implementation of the strategic plan?

❖ How do the quality committee unit and the various established committees ensure that the Program Strategic Plan is aligned with that of the College's and the university Strategic Plan? Two key questions are how the program or College has embraced the university Strategic Plan and the College Plan, and in what ways the mission guides decision making at the college and program levels?

Standard 2

❖ With regard to administration, what systematic approach has been used in the development of the Institutional or College or Program Strategic Plan and how the progress and achievements will be monitored and assessed?

❖ As to the governance, there are many established committees, and what do these committees do and how are they aligned with the governance structure and system of the College and the Institution?

❖ How is effectiveness and efficiency in the operation of these committees and the governance in terms of implementing the program or college strategic plan and its action plans determined and assessed?

❖ What evidence is there to support the above?

Standard 3

❖ Is there a quality system in use in the program and the College?

❖ If there is a system, what is the system and how is it used to manage the quality of the whole program or the college – meaning addressing all the 11 program or college standards and sub-standards (criteria)?

❖ What actions will be taken by the College or program quality committee to minimize problems and facilitate the implementation of "quality" in the academic and administrative units?

❖ What main KPI will be assessed to assure quality in the college or the program?

Standard 4

❖ Is there a Teaching and Learning Plan for the college or program a whole and what is being done about the teaching and learning plan? Does the Teaching and Learning Plan comprehensively addresses the main aspects of the strategic goals in terms of quality of teaching and learning, quality of the teaching and learning resources, student qualifications and learning outcomes specifications and measurement, support services and facilities, quality of the teaching pedagogy, quality of the teaching staffs and evaluation and validation of the students' performance and assessment, all of which affect the quality of the students.

❖ Are the student learning outcomes defined for the college as a whole and the programs and for each of the courses, and how will it be done and measured?

❖ What evidence is there to support that there is achievement in teaching and learning and what indicators are used to measure teaching and learning performance and all the quality aspects stated above?

Standard 5, 6 and 7

❖ Is there any action plans for the learning resources, student support services and facilities and equipment? This is with regards to the planning, acquisition, development, deployment of the above to support teaching-learning and research and community services. In addition, how is quality managed in the service support to the stakeholders?

❖ Are there any systematic processes or a comprehensive system in place that manages the creation and delivery of education value to the stakeholders by these learning resources, facilities and equipment and infrastructure and service support?

❖ What measures or key performance indicators have been measured to assess the performance of these administrative units' creation and delivery of services supporting teaching, learning, research and community services to the stakeholders?

Standard 9

❖ Is there a Human Resource Plan for the institution, college or program that maps out the strategic goals to be achieved in the development of the human capital asset (both Saudis and Non-Saudis), and closing the gaps as earlier indicated in the previous self-study and developmental review?

❖ Does the Human Resources Plan comprehensively covers the diversity of the human resources in terms of gender, background and country of origin, the

faculty engagement, staffing policy and procedures and their development in being distinctive faculty?

Standard 10

❖ Is there an Institution, College or Program Research Plan that comprehensively address the aspirations of the college or program and the university to be a research university, and that addresses the creation of the capabilities and capacities to achieve these aspirations?

❖ Is the program's research plan aligned with that of the college's research plans and institutional research plan?

❖ What sort of institutional research is undertaken to comprehend the issues of managing the quality of the issues discussed above in the college or program?

❖ Is there a research management system that comprehensively defines the research protocols, policies, processes, procedures of research requirements and funding? Is there a set of ethical and research governance system to ensure that the quality of the research? What KPI are defined and are used to measure the quality of research?

Standard 11

❖ Is there an Institution, College or Program Corporate Social Responsibility Plan for the institution, college or program's initiatives in societal and community relationships, contributions and developmental efforts consistent with its mission?

❖ Is there any comprehensive system in place to manage, monitor and assess the performance of the community services rendered?

8. **Hallmark of an Effective SSR**

Adapted from: The Higher Learning Commission, The Self-Study Process in Accreditation: Hallmark of an Effective Self – Study Process, The Handbook of Accreditation, Version 1:10/03, North Central Association of Colleges and Schools (NCA), www.ncahigherlearningcommission.org

In any self-study process and the final self-study report, the assessors would expect to see the following:

✓ **Organization profile –** A brief evaluative profile of the organization, including special qualities and distinctive programs is important to tell others "who you are and what you do". Normally the assessment will use this as the key point of reference. A summary of significant changes that have occurred since the last comprehensive evaluation should be included.

✓ **Accreditation or Review History –** A brief summary of the organization's accreditation or review history can provide a better retrospect of what has been accessed or improved on from the past actions. This could include a summary of

the organization's understanding of and response to the major issues identified by the last team(s).

✓ **Thorough Self- Study –** A brief evaluation of the thoroughness of the self-study process that is analytical and reflective rather than reporting.   clear explanation of the purposes of and audiences for the report. A clear explanation of how the report is organized.

✓ **Analytical –** An explicit evaluation of how the organization fulfills each of the Criteria for Accreditation through meeting the Core Components. This also includes the identification early in the report of any requests for change.

✓ **Indexed citations -** Indexed citations and effective cross-referencing within the report in the report corresponding to appendices to the report and exhibits in the resource room are important to verifications.

✓ **Evidenced based –** Use of information and data to create evidence to support the organization's self-evaluation. Thoughtful analysis of evidence is of critical importance.

✓ **Areas of improvement –** Easily identified and succinctly stated institutional priorities for improvement should be substantiated.

✓ **Honest reporting -** Honest evaluation, not public relations, characterizes the tone and content of the self-study process and its report

9. **Specifications of a Self – Study Report**

   Adapted from: NCAAA (2013), Standards for Quality assurance and Accreditation of Higher Education Institutions, National Commission for Academic Accreditation & Assessment, Riyadh, Kingdom of Saudi Arabia and NCAAA (2013), Standards for Quality assurance and Accreditation of Higher Education Programs, National Commission for Academic Accreditation & Assessment, Riyadh, Kingdom of Saudi Arabia.

Generically, the Self-Study Report:

✓ Is a thorough self-study examination of the quality of an institution, college or program. This means that the mission and objectives of the program and the extent to which they are being achieved are thoroughly analyzed according to the standards for quality assurance and accreditation standards and criteria.

✓ Of the institution, college or program self-study should be considered as a research report on the quality of the program. It should include sufficient information to inform a reader who is unfamiliar with the program about the

process of investigation and the evidence on which conclusions are based to have reasonable confidence that those conclusions are sound.

✓ Have conclusions should be supported by evidence, with verification of analysis and advice from others able to offer informed and independent comments.

✓ Include all the necessary information for it to be read as a complete self-contained report on the quality of the institution, college or program.

Specifically, some of the key requirements of the Self – Study Report as reflected by the instructions for each of the Standard and its Criteria are:

✓ **Provide an explanatory report** that describes and analyzes the (dependent on the Standard) processes used in the institution, college or program, particularly relating to indicators and benchmarks of performance and verification of standards for each of the following sub-standards.

✓ **Provide an explanatory report** about the organizational framework and process arrangements followed to demonstrate that the sub-standards are met (For example, use information provided in reports of survey summaries, KPIs and benchmarking analysis, indirect and direct learning outcome assessments or in annual program reports). Normally for each of the sub-standard or Criteria, the specific instructions are:

  o **Describe the processes** followed for program evaluation and review.
  o Evaluation of program evaluation and review processes. Refer to evidence and *provide a report* including a list of strengths, areas recommendations for improvement, and priorities for action.
  o **List** the conclusions that were reached about the quality of the program as a result of using the program evaluation and review processes. Reference should be made to data on indicators and survey results as appropriate.

✓ **Provide a description** of the process for investigation

✓ Choose **ONE OR MORE** KPIs that best supports that the program meets this standard. Each KPI should use a separate KPI table. Insert the KPI in the table below, add the actual KPI benchmark with the other benchmarks, and provide an analytical interpretation that describes the outcome (most benchmarks are numerical and others may be descriptions that verify quality using a rubric).

Basically, the key to a high-impact Self – Study Report are:

✓ **Analytical rather than descriptive –** This means that the self-study process should be analytical, and to serve as a "research" into the institution, college

or program through its "self- study which is analytical and reflective in nature".

✓ **Evidenced based –** This means that the explanations, the discussions and the analysis should be supported by evidence. These evidences can be in the forms of documents or statistical data and information.

For the Self-study to be analytical, the institution, college or program should do THREE main issues:

✓ **Read and Understand the requirements of the Standards and Criteria –** without a good and firm understanding of the requirements, the self-study will normally be more descriptive rather than analytical to just meet the requirements rather than analyzing the "mechanisms and performance of the "WHAT and HOW" the requirements were accomplished and achieved.

✓ **Prepare research questions –** the understanding of the requirements should be converted into "research questions" to find an answer to "WHAT and HOW the institution, college or program effectively and efficiently addressed these requirements."

✓ **Prepare and provide evidence –** "WHAT and HOW the institution, college or program addressed the requirements" and "HOW well it is performing in addressing and meeting these requirements" should be substantiated by documents, statistical data and information of improvements or innovations.

10. **Preparing Effective Self-Study Research Questions**

> *Adapted from: ACAOM Self-Study Guide and Middle States Commission on Higher Education, University of Nebraska IREX, NCA Higher Learning Commission, NACCHO Guide to Accreditation, Liaison Committee on Medical Education Guide to Institutional Self-Study, Arkansas Tech – The Self- Study Process*

An effective self-study process does not merely seek to document compliance with the accreditation standards and criteria. An effective self-study report documents that the various communities of interest of the institution, college or program have reached consensus on its plans for further development and improvement. To properly achieve these objectives and outcomes, the institution, college or program must develop appropriate research questions that reflect the characteristics and circumstances of the institution, college or program and also document compliance with the accreditation standards and criteria.

It is the prerogative of the institution, college or program as to how it wishes to develop self-study research questions; however, the guiding principle must be that they are **<u>analytical rather than descriptive in nature</u>**.

While the Steering Committee might draft generic or general directional questions, the working groups will draft those that are more specific to each standard relative to the institutional or collegial characteristics, profile and operation. As such, effective research questions for working groups are critical to the self-study process. They must provide a solid structure for the working groups to research, analyze and prepare reports leading to the final Self-Study Report of the institution, college or program while documenting compliance with the accreditation standards. The research questions must lead to a final self-study report that results in a detailed plan for institutional, collegial or programmatic improvement. Research questions should **not** solicit purely descriptive responses. However, some description is necessary in a self-study report to provide background information for a more complete understanding of the characteristics and status of the institution, college or program. An effective final self-study report should exhibit internal clarity and completeness and should not depend on the indiscriminate attachment of documents that can be reviewed on site by site visit evaluators. Where documents are appended to the report, they must be considered to be absolutely essential to a complete understanding what is already contained in the self-study narrative and compliance with the accreditation standards. In such instances, the self-study text must provide appropriate citations to items that are included in the appendixes for ease of review and location by the reader.

If the working groups are to draft specific questions, it is prudent for the steering committee to review the questions to ensure:

- ✓ that the questions are analytical rather than descriptive in nature;
- ✓ that they are not redundant with questions drafted by other working groups; and
- ✓ that they collectively address all the accreditation standards and result in a comprehensive and cohesive self-study and self-study report.

Characteristics of research questions

To be considered analytical in nature, self-study questions have the following characteristics:

- ✓ *Critical and Analytical Thinking factor –* Well developed research questions stimulate critical and analytical thinking about issues important to the institution, college or program. The Steering Committee and working groups attempt to relate the accreditation standards to unique dimensions, goals, developments and initiatives relevant to the institution, college or program.

- ✓ *Compliance Factor –* The research questions should demonstrate compliance with each of the standards relative to developments and issues bearing upon the institution, college or program. The Steering Committee and working groups identify the elements of each of the accreditation standard that pertains to the institution, college or program's unique goals, resources, activities and developments. Further, research questions demonstrate the degree to which each of the standards is being met.

✓ *Contextual Issues* – The research questions should address important issues bearing upon the institution, college or program that require evaluation and assessment.

✓ *Closing of Loop* – The research questions will result in a self-study report that constitutes an effective developmental plan for institutional, collegial or programmatic improvement, thus closing the PDCA (Plan-Do-Check-Act) Loop.

Good Practices in Framing Self-Study Research Questions

Ask
- Questions that stimulate thinking about important topics
- Questions that allow the self-study to address the standards through the lens of specific institutional, collegial or programmatic traits, developments, or issues
- Questions that require evaluation and judgment
- Questions that are worth the effort it will take to answer them
- Questions that connect standards and different dimensions of the institution

Avoid
- Questions with obvious answers
- Questions with yes/no answers
- Questions that directly mirror the elements of accreditation standards;
- Questions that cannot be answered;
- Questions that begin with the words "What" and "Where," among others

In developing questions for individual standards, a steering committee or working group might begin by asking the following questions.

- *Requirements of Standards and Criteria* – What are the key requirements or elements of the standard that must be addressed in the self-study?
- *Relation of special interest to Standards* – What are areas of special interest to the institution, college or program that relate to the standard and criteria?
- *Relation of goals to Standards* – Where there are identified institutional goals relative to the standard, how does the institution, college or program assess whether and how it is meeting those goals?

Illustrations of Effective Analytical Research Questions

NOTE: *The following provides an illustrative list of analytical questions. The institution, college or program is expected to develop its own analytical questions that are meaningful to the accreditation standards and criteria.*

11. Research Questions for Self-Study Process

Standard 1 – Mission and Objectives

In analyzing the strategic direction of the institution's mission and goals, just asking, "what is our mission?" and "what are our educational objectives?" are not appropriate analytical self-study questions. These can be addressed by reference to the school catalog or other relevant publications. Rather than seeking a simple description, the analytical questions might address such issues as:

Planning Process and System

- o Describe how the institutional priorities are set. Evaluate the process for and success of institutional planning efforts, and discuss how planning has contributed to the accomplishment of the program's educational, research, and educational services missions and goals.

- o How well does the mission provide direction for the institution, its colleges and its programs, resources, services and activities?

- o How might the institution, college or program improve its methods for determining whether it is achieving its mission, goals and objectives?

- o How has the institution been able to continue to effectively achieve its mission, goals, objectives and outcomes when it has undergone some form of substantive change?

- o How does the institution distinguish the goals and objectives of the doctoral program from those of its undergraduate programs?

Planning Performance Evaluation

- o How effectively are the various elements of the mission statement reflected in the institution, College, program goals? For example, if the mission statement requires students to acquire certain values, what resources and activities exist that demonstrate this?

- o To what degree is the institution, college or program achieving its stated mission, goals, objectives and outcomes? Based on this, what can the institution do to better fulfill its mission, goals, and objectives and achieve its outcomes?

- o How effective is the institution, college or program in achieving its student learning outcomes vis-à-vis its mission? How can the institution, college or program restructure or reallocate its programs, services, resources and activities to ensure stronger outcomes?

o   How effective are the institution, college or program current systems for ensuring that its mission, goals, objectives and outcomes are reviewed by its relevant communities of interest and revised, when necessary, to ensure their continued relevance and accuracy?

Standard 2: Governance and Administration

Governance and Administration Organization and System

o   How can the institution, college and program present legal organization be restructured to better achieve its mission, goals, objectives and outcomes?

o   How does the legal structure of the institution, college and program facilitate or limit its autonomy to operate effectively as an institution of higher education, college and program? How might the institution, college and program address any limitations?

o   How might the institution, college and program governing documents (e.g., Bylaws) be strengthened to be more effective and be in greater alignment with improved institutional, collegial or programmatic decision making?

o   How might the institution, college and program overall administrative structure be improved to facilitate more effective management and supervision of the program?

o   How effective is the management and top leaders in providing leadership for the institution, college and program?

Governance and Administration Organization and System Performance Evaluation

o   How effective is the public representation in the governance structure of the institution, college and program both numerically and substantively?

o   How effective are the institution, college and program policies, procedures and practices for ensuring compliance with all national and local laws and regulations applicable to its operations?

o   How effectively has the institution and its program addressed compliance with new national laws and regulations that impact the institution, college and its programs?

o   How effective are the institution, college and program processes for the oversight of training conducted at off-campus locations, or in collaboration with other institutions and agencies?

o   To what extent are members of the governance structure providing effective or ineffective leadership for the institution and its programs and how might the

composition of the governance structure be improved to strengthen effective institutional, collegial or programmatic decision making?

o How effective is the governance structure with respect to the following functions: establishing policy, engaging in effective planning, appointing and evaluating the performance of the management and leadership, ensuring financial stability, overseeing the budgetary process, approving major program changes, among others?

o How effectively do the institution, college and program ensure that all of its relevant communities of interest have appropriate input into institutional, collegial or programmatic decision making?

o How effective are various administrative functions as reflected in the current administrative structure? How and in what areas might the institution, college and program improve administrative effectiveness?

o To what extent have changes in the administrative structure impacted (favorably or unfavorably) administrative functioning since the institution, college and program last accreditation review? How might such functions be strengthened?

o In what ways and for what reasons have staffing patterns and reporting lines been changed since the last accreditation review? How have these changes impacted the effectiveness of administrative functioning for the institution and its program?

o How effective is the institutional, college and program management in supervising and administering the college or program?

o How effectively do the qualifications of administrative staff assist the institution, college and program in achieving its institution, college and program effectiveness and student learning outcomes?

o How effectively do members of the academic leadership of the institution, college and program fulfill their roles and responsibilities as they relate to academic oversight, curriculum development and program assessment, assessing student performance, faculty development, and improving student learning outcomes?

o How did the institution, college or program evaluate the effectiveness of mechanisms for organizational decision-making? Are necessary decisions made in a timely and efficient manner with appropriate input from faculty and other concerned parties? Describe and assess the relative roles of committees of the faculty, department heads, and school administrators in institutional, collegial or programmatic decision-making.

o Assess the effectiveness of the methods used to communicate with and among the faculty. Do faculties perceive themselves to be well-informed about

important issues at the institution? Do faculties believe that they have sufficient opportunities to make themselves heard?

o Evaluate the efficiency and effectiveness of the governance and administration structure in the administrative functioning of the institution, college or programs. Is the governance and administration structure appropriate for an institution of this size and these characteristics? Are there appropriate safeguards in place to prevent conflict of interest at the level of the governing board, are these safeguards being followed, and are these safeguards effective? Describe any situations that require review by or approval of the governing board (board of trustees) of the school or university prior to action being taken.

o Evaluate the relationship of the college and programs to the university with respect to the effectiveness of the interactions between college or program administration and university administration.

o How effectively do the institution, college and program ensure that all of its relevant communities of interest have appropriate input into institutional, collegial or programmatic decision making?

Standard 3: Management of Quality Assurance and Improvement

Quality Management and Assurance System

o Describe how the institutional, collegial or programmatic quality management priorities are set. Evaluate the process for and success of quality management planning efforts, and discuss how quality management has contributed to the accomplishment of the institutional, collegial or programmatic educational, research, and educational services missions and goals.

o To what degree is the institution, college or program achieving its quality management mission, goals, objectives and outcomes? Based on this, what can the institution, college or program do to better fulfill its mission, goals, and objectives and achieve its outcomes?

o How the quality management outcome is established and how effective is the institution, college or program in achieving its quality management outcomes vis-à-vis its mission? How can the institution, college or program restructure or reallocate its programs, services, resources and activities to ensure stronger quality outcomes?

o How the quality governance and administration is established and how effective is the quality governance and administration structure with respect to the following functions: establishing policy, engaging in effective planning for quality, appointing and evaluating the performance of the management and leadership commitment and practices for quality management, ensuring

financial and motivational support, overseeing the quality management process, approving major program changes for quality, among others?

Quality Management and Assurance System Performance Evaluation

o   How did the institution, college or program evaluate the effectiveness of mechanisms for quality management? Are necessary decisions made in a timely and efficient manner with appropriate input and support from faculty and other concerned parties? Describe and assess the relative roles of committees of the faculty, department heads, and school administrators in quality management and how they are assessed for performance.

o   How does the institution, college ore program evaluate the efficiency and effectiveness of the quality management and practices in the quality functioning, accomplishment and achievements of the institution, college or programs?

o   Evaluate the relationship of the college and programs to the university center for quality with respect to the effectiveness of the interactions between college or program administration and university center for quality management and administration.

o   How effectively do the institution, college and program ensure that all of its relevant communities of interest have appropriate commitment into institutional, collegial or programmatic quality management and accomplishment?

Standard 4 – Learning and Teaching

Program and Curriculum Development System and Evaluation

o   How does the college or programs ensure a consistent level of understanding of the school-wide objectives for the educational program among administrators, faculty members, students, and others in the education community? Do these objectives serve as effective guides for educational program planning and for student and program evaluation?

o   How does the institution, college or program assess the adequacy of the system for managing the curriculum and ensuring that it is coherent and coordinated? Do the curriculum as a whole and its component parts undergo regular, systematic review? Describe the procedures in place to identify and rectify any problems in the curriculum as a whole and in individual courses and practicums? Evaluate the effectiveness of these procedures, and provide specific illustrative examples. Provide evidence that the school monitors the content covered in the curriculum to ensure that all desired content is covered and gaps or unwanted redundancies do not occur.

o How effective are the program's processes for curriculum development and program assessment based on analyses of program and student learning outcomes?

o How effectively does the institution, college or program demonstrate and document that the program of study is consistent with mission, goals, objectives and expected student learning outcomes and supported by sufficient resources and authority? Describe the evidence indicating that institutional objectives are being achieved by college or program.

o How do the curriculum development and program assessment processes foster regular and systematic consideration of academic content and rigor consistent with mission, goals, objectives and expected student learning outcomes?

o To what extent does the program meet the accreditation standards respecting program length, residency requirements, minimum and maximum time for program completion, core curriculum and competency requirements? How might the program be improved to better meet these standards?

o How effectively does the program demonstrate and document that program content and rigor are appropriate to the degree or credential offered upon program completion in all relevant program areas?

o How should the institution use an appropriate assessment feedback loop to improve existing programs and to develop new program components and offerings?

Program and Curriculum Delivery and Assessment System and Evaluation

o How effectively are the program's courses sequenced to ensure that students are academically prepared to take more advanced program courses? To what extent do foundational courses provide adequate preparation for more advanced didactic and clinical program components? How might educational components be better integrated and sequenced to achieve these objectives? Delineate the mechanisms ensuring that the educational program provides a general education that prepares students for all career options in medicine. Cite relevant outcomes indicating success in that preparation.

o How might course syllabi be improved to better articulate course purpose, objectives, prerequisites, content, lab instruction, methods of instruction, course requirements, grading system, and reading requirements?

o How effective are the program policies, procedures and practices for academic progress and grading? Could they be more clearly stated in institutional, collegial or programmatic publications?

o How effective are the systems for maintaining data and statistics for institutional, college or program assessment processes? How effective are institutional, college or program systems for using these data to assess and improve institutional, college or program effectiveness and student learning outcomes?

o How effective are the program's policies, procedures and practices respecting non-matriculated students auditing courses to ensuring that their participation does not adversely impact the quality of instruction?

o For graduate and doctoral programs, how effectively does the program demonstrate and document that students are achieving the competencies and student learning outcomes in the clinical specialty areas designated by the program? What does that documentation reveal in terms of program strengths and areas that require further development? To what extent are various program components consistent with and meet mission, goals, objectives and student learning outcomes for the graduate and doctoral programs?

o If the program is taught in more than one language, how effectively does the program ensure that each language program is achieving mission, goals and expected student learning outcomes and that the quality, content and training experiences of the programs are consistent?

Student Learning Outcomes, Performance and Assessment

o How effectively do academic and support systems document that students in programs are achieving the professional competencies (didactic and clinical) and student learning outcomes expected by the program?

o How effective are the assessment methods and tools for assessing student achievement in the program? How might they be improved? To what degree do they provide clear and tangible evidence that documents the achievement of the required professional competencies and institutional/program and student learning outcomes?

o How effectively has the institution, college or program selected and utilized relevant assessment instruments in the assessment and documentation of student learning outcomes?

o How effectively are outcome data analyzed by the program to assess and document institutional, collegial or programmatic effectiveness and whether the program is achieving positive student learning outcomes consistent with mission, goals and objectives?

o How effective are program assessment methods for documenting the achievement of the student learning outcomes expected at each phase of teaching and learning processes? To what degree do these methods effectively assess and

document that students are prepared adequately for gradually increasing levels of competencies?

o How does the college or program evaluate the adequacy of the methods used to evaluate student attainment of the objectives of the educational program? Comment on the appropriateness of the mix of testing and evaluation methods. Describe the frequency with which students receive formative assessment in addition to summative evaluations. Discuss the timeliness of performance feedback to students.

o How effective is institutional, college or program follow-up with graduates to determine the relationship between program and student learning outcomes and graduate success?

Student Field Training and Off-site Educational System and Evaluation

o How does the college or program curriculum committee ensure that students have sufficient time for learning? How does the college or program evaluate the educational workload and the balance between education and service learning or practicums and assess the effectiveness of the mechanisms used to monitor student duty hours. Do students receive sufficient formal teaching during their service learning, field experiences or practicums?

o For college or programs that operate geographically separate campuses, how does the college or program evaluate the effectiveness of mechanisms to ensure that educational quality and student services are consistent across sites? How does the college or programs evaluate the adequacy of the system for ensuring consistency of educational quality and of student evaluation when students learn at alternative sites within a course or service learning or practicums? How effective is the program in ensuring that student performance is assessed consistently at all training locations, including internships, practicum or field services?

o How does the college or programs evaluate the adequacy of instructional opportunities for students to engage in active learning and independent study? Assess the effectiveness of the program's efforts to prepare students to engage in self-assessment of their learning needs and to develop other skills to support habits of lifelong learning?

o How well do students understand the goals and interrelationships among program training components?

Program Support Services System and Evaluation

o To what extent are class size, instructional load, the nature and purpose of program components, the adequacy of facilities and learning resources (e.g., faculty) and student learning outcomes taken into consideration in planning for effective instruction?

o Assess the adequacy and quality of student study space, lounge and relaxation areas, and personal work facilities. Do available resources for study contribute to an environment conducive to learning and how are they assessed for performance?

o How effective is the institution, college or program in providing a range of student services that reflect program objectives, create good student morale, and assist students in the achievement of professional growth?

o How effective are program student services relative to: orientation, counseling, academic advisement, placement and career development? How might these be further developed to better support program goals, objectives and student learning outcomes?

o If the program has implemented changes in its student support services since the previous internal or external comprehensive review, what evidence is there that the changes were based on appropriate assessment results? To what degree do such changes support the achievement of program goals, objectives and student learning outcomes?

o How might the program improve existing student services or offer additional student services to better achieve goals, objectives and student learning outcomes?

o How does the program provide support to students who are having academic difficulty? How effective are these support services?

Students Engagement and Governance Policies and Procedures

o How effective are program provisions for ensuring student input into institutional decision making? How might these provisions be improved and strengthened?

o How effective are program policies, procedures and practices for responding to student complaints and grievances? To what extent do they provide fundamental due process to students? To what extent is the record and disposition of student complaints documented by the program?

o How effective are program policies procedures and practices governing students in the areas of: i) student rights and privileges; ii) disciplinary procedures; iii)

satisfactory academic progress, and iv) grading? How might these be improved? Could these policies and procedures be more clearly stated in institutional publications and how?

o Describe and evaluate on the effectiveness of school policies for addressing allegations of student mistreatment and for educating the academic community about acceptable standards of conduct in the teacher-learner relationship.

o Describe and evaluate the familiarity of students and course and the school's standards and policies for student advancement, graduation, disciplinary action, appeal, and dismissal. Review and evaluate the adequacy of systems for providing students with access to their records and ensuring the confidentiality of student records.

o How effective are student policies related to: rights and responsibilities, academic progress and grading; disciplinary proceedings; grievances; fair and equitable refunds; as well as access to student support services and clarity of expectations for students?

Quality of Teaching System and Performance Evaluation

o How does the institution, college or program evaluate the system for the appointment, renewal of appointment, promotion, granting of tenure, and dismissal of faculty members. Are the policies clear, widely understood, and followed?

o Assess the adequacy of institutional and departmental conflict of interest policies relating to faculty members' performance of their academic responsibilities.

o Describe the extent of feedback provided to faculty members about their academic performance and progress toward promotion and/or retention. Are faculty members regularly informed about their job responsibilities and the expectations that they must meet for promotion and/or retention?

o Discuss the extent to which education is valued in the institution. How are the degree and quality of participation in student education factored into decisions about faculty retention and promotion?

o Assess the appropriateness of the current size and mix of faculty for the attainment of the college or program educational goals and achievements. How effective are professional staff development and training programs for better achieving mission, goals, objectives and student learning outcomes?

o Describe and evaluate the availability of opportunities for both new and experienced faculty members (fulltime, part-time, and volunteer) to improve their skills in teaching and evaluation. Is institutional or departmental-level

assistance, such as training sessions from education specialists, readily available? Comment on the level of faculty participation in such programs.

Standard 5 – Student Administration and Support Services

o How does the institution, college or program review the process of recruitment and selection of students, and evaluate the results of that process. Is the size of the applicant pool appropriate for the established class size, both in terms of number and quality? How are the program's selection criteria validated in the context of its mission and other mandates?

o How effective are the policies, procedures and practices to ensure the accuracy, completeness, access and security of relevant categories of institutional, college or program records?

o How effectively does the institutional, college or program manage and safeguard students' records consistent with generally accepted usefulness, currency and security practices and national standards?

o How effective are the admissions policies, procedures and practices in ensuring that matriculated students (including foreign students) are capable of meeting the rigors expected of the program?

o How might the admissions policies, procedures and practices be improved to ensure that only qualified applicants who are capable of achieving the program's objectives are admitted to the program?

o If the program is not meeting its admissions goals, are the goals sufficiently clear, realistic and consistent with the mission? To what extent are recruiting materials and processes coordinated to further recruitment goals?

o What do data analysis of student acceptance rates, retention rates, completion rates, and other relevant statistics reveal regarding areas that could be strengthened respecting ad-missions policies and procedures? What do these data reveal relative to whether the pro-gram is achieving its goals and objectives? Relative to possible improvements in student support services?

o How might the program's transfer credit and prior learning assessment policies, procedures and practices be improved to ensure that students have achieved the competencies expected from the program?

o How might the program's admissions policies be stated and described more clearly in institutional publications?

Standard 6 – Learning Resources

o How effective is the institution, college or program in maintaining the adequacy and currency of library and other information resources, including technological applications to support its outcomes?

o To what extent do library and learning resources support adequately mission, goals, objectives and student learning outcomes of the institution, college or program?

o How does the institution, college or program evaluate the quantity and quality of the print and non-print holdings, information technology resources and services of the library as a resource for students, graduate students, and faculty members? Are resources adequate to support the needs of the educational program? Are the information systems of the college or programs sufficiently well integrated to ensure achievement of the medical college or programs' missions?

o To what degree do institution, college or program plans for continued library development strengthen the achievement of program goals, objectives and student learning outcomes? How might these plans be strengthened to better achieve goals, objectives and outcomes?

o To what degree does the institution, college or program provide student access to library and learning resources sufficient to support adequately objectives and student learning outcomes?

o To what degree do technological learning resources (e.g., computers, on-line access, databases) support program goals, objectives and student learning outcomes?

o How effective is the institution, college or program in providing training to students, faculty and staff in the appropriate utilization of information resources, with a particular emphasis on information literacy? How might such training be improved?

o How does the institution, college or program evaluate the usability and functional convenience of the library and of information resources? Are hours appropriate? Is assistance available? Is study space adequate? Are resources, such as computers and audiovisual equipment, adequate? Can students access information from home or other locations?

o How does the institution, college or program assess the contributions of library and information technology staff to the education of students and the professional development of faculty members in the following areas?
- Teaching specific skills, such as instruction in computer usage and bibliographic search.
- Retrieving and managing information.

- Interaction with the curriculum committee to coordinate various library and information resources with planned curricular design.

Standard 7 – Facilities and Equipment

o To what extent do institutional facilities and equipment resources support institution, college or program goals, objectives and student learning outcomes?

o To what extent are institutional facilities and equipment aligned with the nature, size, complexity, student populations and program mix of the institution, college or program?

o To what extent are institutional facilities and equipment sufficient or insufficient to support program and student learning outcomes, including in the areas of: classroom space and learning resources; space and equipment for staff, faculty and students; laboratory facilities; conference space; among others? How might the institution improve facilities and equipment to better support program and student learning outcomes?

o How effective are institutional policies, procedures and practices for ensuring compliance with applicable laws and regulations on fire, safety, and health standards? What are the institution's plans to address code violations, if any?

o How effective has the institution been in developing and implementing policies, procedures and practices for deferred maintenance and equipment replacement to assure that institutional, college program operations and programs are fully supported?

o How does the institution, college or programs evaluate the adequacy of the general facilities for teaching, research, and service activities of the institution, college or programs? Are the opportunities for educational excellence or educational change (e.g., introduction of small group teaching, opportunities for active learning) or for the attainment of other institution, college or programs missions constrained by space concerns? Describe the likelihood that needed space or space upgrading will be available in the near future. Have enrollment increases led to space constraints? If so, describe how these constraints are currently being addressed.

o Discuss the adequacy of security systems on each campus and at affiliated sites.

o Describe and evaluate the interaction between the administrators of these facilities used for teaching and the administrators of the institution, college or programs. Does the level of cooperation between these groups result in a smoothly operating and effective education program?

o   Describe and evaluate the level of interaction and cooperation that exists between the staff members of the facilities and equipment used for teaching and institution, college or programs faculty members and department heads, related especially to the education of the students.

Standard 8 – Financial Planning and Management

o   How can the institution, college or program effectively document that it continually maintains sufficient financial resources to carry out its objectives and to support adequately its programs and activities now and in the foreseeable future?

o   If the institution is experiencing financial difficulty (if any), how effective are institutional plans for ensuring the uninterrupted delivery of the program consistent with accreditation standards respecting program quality and ultimately to improve financial stability? To what degree are these plans supported by reliable data?

o   How effectively has the institution been in addressing debt service (if any) requirements without adversely impacting program quality?

o   How effective are the institutional and program financial management and budgeting systems? How effective are the procedures and practices for addressing a significant, unexpected change in revenue or unexpected increases in expenditures? To what degree are institution and program budget projections consistent with year-end financial reports? How might these systems be improved?

o   How effectively is the institution allocating the financial resources necessary to support program goals, objectives and student learning outcomes? How realistic is the program budget relative to supporting adequately program goals, objectives and student learning outcomes?

o   How effectively has the institution addressed any findings in the most recent audit, including recommendations with respect to internal controls, financial management and "reportable conditions" (if any)?

o   How effectively does the institution manage its student financial aid programs consistent with funding source requirements? How effectively has the program addressed any adverse findings from the financial aid office issued since the recent comprehensive review of the institution?

Standard 9: Faculty and Staff Employment Processes

o   On what basis has the institution, college or program determined those program faculties are qualified and numerically sufficient to deliver the curriculum?

o How effectively do the qualifications of faculty assist the program in achieving its program and student learning outcomes? For graduate and doctoral programs, how effectively has the program documented faculty competence to teach at the graduate or doctoral level?

o To what degree are faculty serving as appropriate role models for students consistent with the program's mission, goals and objectives?

o To what degree do program faculty: i) function as an integral part of the program, including curriculum development and assessment; ii) possess the qualifications appropriate to the program's mission, goals and objectives; iii) provide continuing evidence of keeping abreast of developments in the fields in which they teach; and, iv) provide sufficient guidance to assist students in the timely completion of course and program requirements?

o How effective are program professional development opportunities for faculty in ensuring currency and rigor in the curriculum and its delivery? To what extent is institutional support for faculty development consistent with mission, goals, objectives and student learning outcomes?

o To what degree do the conditions of faculty services, including salary, benefits, academic freedom, and opportunities for professional growth promote or hinder the program goals for the recruitment and retention of well qualified faculty to deliver the curriculum?

o How effective are the policies and procedures governing faculty in relevant areas (e.g., recruitment, appointment, promotion, retention, non-discrimination, academic freedom, evaluation and discipline)?

o How effective are program provisions for regular, systematic communication among faculty and between the faculty and administrative officers of the institution? How effectively does the program document the formal deliberations of its faculty in terms of faculty decision making?

Standard 10: Research

o How does the institution, college or programs formulate its research plan, goals and objectives policies, and processes together with its assessment policies and processes?

o How does the institution, college or programs provide faculty appropriate support and mentorship related to research and scholarship? Are formal institutional programs available to support faculty research and how are these evaluated and assessed for performance?

- How does the institution, college or programs evaluate the research activities of the faculty as a whole, including areas of emphasis and level of commitment, quality, and quantity in the context of the institution, college or programs missions and goals?

- How does the institution, college or programs assess the adequacy of the resources (equipment, space, graduate students) for research? Evaluate any trends in the amount of internal support for research and the level of assistance available to faculty members in securing external research support.

- How does the institution, college or programs assess the impact of research activities on the education of students, including opportunities for student participation in research?

Standard 11: Community Relations

- How does the institution, college or programs identify its communities or societal responsibility and formulate its societal responsibilities plan, goals and objectives policies, and processes together with its assessment policies and processes?

- How does the institution, college or programs provide faculty appropriate support and mentorship related to their rendering of services in their societal responsibilities? Are formal institutional programs available to support faculty societal responsibilities or community relationships and how are these evaluated and assessed for performance?

- How does the institution, college or programs evaluate the societal responsibilities or community relationships activities of the institution, college or programs as a whole, including areas of emphasis and level of commitment, quality, and quantity in the context of the school's missions and goals?

- How does the institution, college or programs assess the adequacy of the resources (equipment, space, graduate students) for societal responsibilities or community relationships activities? Evaluate any trends in the amount of internal support for societal responsibilities or community relationships activities and the level of assistance available to faculty members in securing external societal responsibilities or community relationships activities support.

- How does the institution, college or programs assess the impact of societal responsibilities or community relationships activities on the education of students, including opportunities for student participation in societal responsibilities or community relationships activities?

12. Converting Responses to Research Questions into Effective Narrative Reports

Adapted from: ACAOM, (2008), ACAOM Self-Study Guide, Accreditation Commission for Acupuncture and Oriental Medicine, Maryland, U.S.A.

Once an institution, college or program has developed and answered the analytical questions, it must then convert those answers into effective integrative narrative to be included in the work group and the draft and final self-study reports. The type of research questions and the quality of the analysis will determine the "context and content" of the report narratives.

The guiding principle is that the analytical nature of the research questions should be reflected in the narrative that should also be analytical. If analytical narrative is to be the result then it is clear that the institution, college or program is working for brevity with substance respecting the final self-study product which is the Self-Study Report.

While more descriptive self-study reports have been the norm in most accreditation, institutions should prepare more effective self-study reports that focus on the documentation of institution, college or program key educational process and student learning outcomes. In other words, the narrative of the self-study should be evidenced-based and should focus more on the results of data analysis and institutional, collegial programmatic research and less on unsupported assertions and description.

Descriptive narrative should only be provided to the extent that it is necessary for the reader to understand the institution, college or program analysis of its strengths and opportunities for further development and improvement. For example, if an institution or program makes the statement, "we have graduated 150 students" as simply a description of an outcome, it would be more effective to state that the institution "…has graduated X number of students who have achieved specific competencies necessary to be knowledgeable and skillful graduates." Such statements should be documented through verifiable evidence generated as part of the analytical self-study process.

13. Narrative on the 11 Accreditation Standards and Criteria

A self-study should provide a useful and meaningful vehicle for further institutional, college and program development, the strengthening of institution, college or program and student learning outcomes and demonstrating compliance with the accreditation standards. Thus the narrative must analyze the degree to which the institution, college or program is achieving its mission, goals, objectives and outcomes relative to the accreditation standards.

This narrative must be broken out into chapters for each of the 11 Standards. Each of these chapters must be presented from three perspectives: (1) an analytical narrative with respect to the institution, college or program findings reflecting strengths and areas identified for institution, college or program improvement and compliance with accreditation standards; 2) a list of documents that support the analytical narratives; and 3) the plans and recommendations for future development and improvement of that area of the institution, college or program.

(1) Analytical Narrative

The self-study report must be much more than an amalgamation of reports prepared by working groups, and must not substitute description for analysis. Rather, the report must present the results of the institution, college or program careful analysis and assessment of the adequacy and appropriateness, sufficiency and effectiveness of its policies, procedures, practices, programs, activities, resources, structures and outcomes relative to the accreditation standards. Due regard must be made to the recognition of achievements and the identification of areas that warrant improvement. This critical self-assessment is a significant internal activity of the self-study process to which the site visit team and the accreditation agency will pay particular attention, as these judgments provide considerable insight into internal planning and management of the institution, college or program resources to achieve mission, goals, objectives and student learning outcomes.

Appraisals of institution, college or program strengths and areas that warrant further development relative to the standards assist the institution, college or program with analyzing and assessing its processes, structures, activities, resources, etc., relative to the achievement of mission, goals, objectives and student learning outcomes and compliance with accreditation standards.

(2) Plans and Recommendations for Future Development

Having analyzed its policies, procedures, practices, resources, programs, activities and outcomes in a given area, the self-study narrative must address under each Standard plans and recommendations for future development. Recommendations should be briefly stated, realistic, and specific. To be meaningful, these recommendations must be part of the institution, college or program overall planning process, representing a definite commitment by the Institution, College or Program Council or Board, administration, faculty and other constituencies to improve the quality of its educational services over the next years. It is at this point that the results of self-study are translated into practice. For this reason, the recommendations for improvement **must** be linked or tied directly to the specific findings identified in analytical narrative.

(3) Materials to be appended to the Self-Study Report

Particular documents are required to support each chapter (See the latter section on, "Documentation that May Assist in the Development of the Self-Study"). In appending documents to the Self-Study Report, the institution, college or program is required to cite in the analytical narrative relevant supporting documents and where they can be found in the appendices. In addition, the narrative chapter for each Standard must list the supporting documents for that narrative, with a citation to the tab and page number where it can be located.

Narratives Summary

In this final part of the Self-Study Report, the institution, college or program must bring together all of the plans and recommendations from each of the preceding chapters and present them in summary form for its own use and for use by the visiting team. The institution, college or program plans and recommendations for future development should be considered and presented in three ways: (1) summarizing the recommendations from each of the 11 Standards; (2) synthesizing and prioritizing the recommendations from all 11 Standards into realistic short and long-range timetables for implementation; and, (3) assessing the recommendations and their effect on one another. The summary should also articulate the ongoing structure for long-range planning of the program and how it relates to the recommendations identified as a result of the self-study. Because the timetables and priorities for implementing the recommendations must have support of the Institution, College or program Council or Board, administration and faculty, this support must be demonstrated and documented in the summary chapter.

14. Documentation that May Assist in the Development of the Self-Study

Adapted from: MSCHE, (2007), Self -Study: Creating a Useful Process and Report, Second Edition, Middle States Commission on Higher Education, Philadelphia.

The following list includes the various documents that should be considered by the Steering Committee and its working groups as it conducts the self-study process. The institution/program, however, may consider other documents as this is dependent on the nature or context and content of the Self-Study aims. **Items among this list that are marked with an asterisk (*) MUST be appended to the self-study report. Items that are marked with (**) are very important evidence that MUST exist and be analyzed for performance.**

Documents that Apply to More than One Standard

- ✓ Program Catalogs***** and program brochures
- ✓ Most recent annual performance report (minus attachments)*****
- ✓ Institutional/program strategic and assessment plans******
- ✓ Results of surveys of students, faculty and alumni
- ✓ Budget information
- ✓ Minutes of relevant meetings (governance, staff, faculty)
- ✓ Handbooks/manuals for faculty, staff, students and committees*****

Documents That Apply to More Than One Standard

- ✓ The institution's published catalog or bulletin
- ✓ Institutional data submitted to the federal government in IPEDS reports
- ✓ The president's or the institution's annual report
- ✓ Reports to state and other governmental educational agencies

- ✓ Reports to specialized accrediting organizations
- ✓ Benchmark reports compiled by institutional offices (institutional research, finance, etc.)
- ✓ Statistical data in an institutional "fact book" and specialized reports by the institutional research office
- ✓ An institutional strategic plan
- ✓ An institutional assessment plan
- ✓ Retention studies
- ✓ Surveys of students, employees, alumni
- ✓ Relevant budget information
- ✓ Minutes of relevant and important meetings
- ✓ Reports on and supporting materials from relevant workshops, conferences, orientation/training sessions
- ✓ Handbooks/manuals for faculty, staff, students, and institutional committees
- ✓ Institutional reports to Middle States: Institutional Profiles, a previous Periodic Review Report, a previous Self-Study Report, and any follow-up reports or substantive change proposals
- ✓ Collective bargaining agreements,

Documents specific to the Standards

Standard 1 – Mission and Objectives

- ✓ Institution's Strategic plan**
- ✓ Alignment of institutional, collegial and programmatic mission and goals
- ✓ Catalog and other public documents or other comparable document that includes a statement of the Institution/program's mission, goals and educational objectives*
- ✓ Meeting minutes that document review by relevant communities of interest of the statement of mission, goals and objectives
- ✓ Annual developmental or action plans for implementation and assessment of strategic plan for continuity
- ✓ Assessment of effectiveness of implementation of strategic plans and goals accomplishment and achievements*
- ✓ The Institution, college or program performance outcome data and statistics that document achievement of mission, goals, objectives and outcomes**
- ✓ Planning Process Framework or Model that covers the PDCA (Plan, Do, Check and Act) cycle*

Standard 2: Governance and Administration

- ✓ Articles of Incorporation for the institution
- ✓ Documentation of national authorization to operate or grant degrees in the country*
- ✓ National laws and regulations regarding the practice of Higher Education*

- ✓ If applicable, the most recent accreditation or pre-accreditation action letters and site visit reports by other accrediting agencies*
- ✓ If applicable, the most recent performance reports on the institution/program*
- ✓ Legal compliance audits (if any)
- ✓ Bylaws, rules and policies of the governance structure, including for advisory boards, if any*
- ✓ Meeting minutes and agendas of the governance structure documenting functioning
- ✓ List of current members of the governance structure with summary biographical information; the list must indicate who are public members*
- ✓ Strategic plans**
- ✓ Studies and evaluations of governance effectiveness
- ✓ Governing documents, including charter and bylaws
- ✓ List of University Council members, with job titles
- ✓ Orientation materials and/or handbook for governing board members
- ✓ Conflict of interest policies for the governing board and employees
- ✓ Governing board minutes
- ✓ Job description and qualifications of the Rector
- ✓ Written policies outlining governance responsibilities of administration and faculty
- ✓ Student government constitution and bylaws
- ✓ Organizational chart for the institution and the program, which details by position, title, and incumbent's name the institution/program's ownership, management, and administrative organization*
- ✓ Job descriptions* and brief curriculum vitae for all key administrative and academic leadership staff
- ✓ Brief list of backgrounds and experience of key administrative staff*
- ✓ Staff files, including performance evaluations
- ✓ Staff meeting minutes and meeting minutes of the academic leadership team
- ✓ Organization chart of senior administration
- ✓ Handbooks/manuals for faculty, staff, and institutional committees
- ✓ Job descriptions and qualifications for administrators
- ✓ Orientation materials and handbooks for employees
- ✓ Administrative manuals and handbooks*
- ✓ Studies and evaluations of administrative effectiveness

Standard 3: Management of Quality Assurance and Improvement

- ✓ Quality Management Plan, mission and goals*
- ✓ Quality alignment with institutional mission and goals
- ✓ Quality Management Governance and Administration Structure,
- ✓ Quality Management Policies, Processes and Procedures*
- ✓ Quality literacy and orientation programs and materials for understanding of quality fundamentals

- ✓ Programs and Process for development of knowledge, skills and competencies required of quality management
- ✓ Programs and Process for developing and instilling quality culture and practices across institution, college and programs and all administrative units
- ✓ Quality Management System manual**
- ✓ Quality monitoring and assessment system*
- ✓ Key Performance Indicators and Performance assessment system**
- ✓ Quality developmental system of institution, college or programs
- ✓ Documents and assessment of services provided by central quality units to college, programs and administrative units and how they are administered
- ✓ Benchmarking system*
- ✓ Studies and evaluations of quality governance effectiveness and quality practices
- ✓ Evaluation and assessment of effectiveness of institutional, collegial and programmatic quality management
- ✓ Public documentation and access of quality effectiveness information to stakeholders

Standard 4 – Learning and Teaching

Curriculum Development, Specifications and Assessment
- ✓ Documentation of the professional competencies to be achieved by graduates and the methods and instruments by which attainment is assessed and verified**
- ✓ Policies and procedures governing curriculum development and program assessment, including program assessments and plans*
- ✓ Policies and procedures for the assessment of student academic performance and for portfolio assessment (if applicable)*
- ✓ Completed student assessments (i.e., year-end, pre-clinic, graduation exams; course exams; papers, clinic evaluations and other tools that are used to document success with respect to student achievement
- ✓ Assessments of instruments for documenting student achievement
- ✓ Handbook for students that explains the policies and procedures governing students*
- ✓ Sample minutes documenting the curriculum development and program assessment process
- ✓ Competencies assessment forms
- ✓ Policies and procedures for assessing student research projects and student-completed research projects
- ✓ Catalog, which lists the full curriculum outline, including course sequencing, pre-requisites and course descriptions*
- ✓ Class and field services, service learning or practicum schedules for the at least 4 consecutive and current term*

- ✓ Curriculum documents (including syllabi, lesson plans, etc.) regarding the content of each program course and field services, service learning or practicum
- ✓ Syllabi in major areas of the program such as: theory, independent studies, counseling, communication, ethics and practice management
- ✓ Documents that articulate each phase of the training experience, their educational objectives and standards for satisfactory performance*
- ✓ Studies and assessments of student achievement of competencies
- ✓ Studies and assessments of the curriculum, curriculum breadth and depth, quality of instruction, instructional methods, and other materials documenting program quality and achievement of competencies by students*

Educational Offerings
- ✓ Catalog describing courses and programs and degree requirements
- ✓ Representative examples of course syllabi and program descriptions that incorporate expected learning outcomes
- ✓ Course and program development guidelines and procedures
- ✓ Curriculum audits
- ✓ Curriculum committee reports
- ✓ Summary results of student course and teaching evaluations
- ✓ Summary results of relevant student surveys
- ✓ Internal and external reviews of academic programs
- ✓ Reports to national and other governmental and regulatory agencies
- ✓ Reports to specialized accrediting organizations
- ✓ Library and information services reports and plans
- ✓ Statements of transfer credit policies in the institutional catalog and elsewhere
- ✓ Representative samples of transfer articulation agreements
- ✓ Evidence of appropriate licensure

General Education
- ✓ Catalog, syllabi, or other official publications describing general education, within and outside the major
- ✓ Statements of general education learning objectives
- ✓ Samples of syllabi from a representative selection of general education courses, showing expected course learning outcomes
- ✓ Samples of assessment tools in place in the general education program and courses
- ✓ Examples of the use of assessment results to improve teaching and learning in general education
- ✓ If there is not an implemented assessment strategy for general education, the plans for assessment activities and the schedule for implementing them
- ✓ Reports from internal and external reviews of the general education program

Assessment of Student Learning
- ✓ Institutional, College or Program plan(s) for assessment of student learning
- ✓ Institutional and/or unit-level policies and guidelines for assessing student learning

- ✓ Institutional and/or unit-level policies and practices for recognizing and rewarding efforts to assess student learning
- ✓ Statements of expected learning outcomes for the institutional, program, and general education levels
- ✓ Samples of syllabi from a broad cross-section of programs and courses, showing course-level expected learning outcomes
- ✓ Evidence of faculty training in assessment
- ✓ Samples of assessment tools in place (e.g., rubrics, surveys, portfolios, or capstone courses) from a broad cross-section of programs and courses
- ✓ A cross-section of examples of the use of assessment results to improve teaching and learning
- ✓ Relevant results from student course and teaching evaluations

Faculty

- ✓ List of full- and part-time faculty, with credentials
- ✓ Faculty handbook*
- ✓ Faculty senate and/or council structure, constitution, and bylaws
- ✓ Faculty staffing plan
- ✓ Faculty manual or comparable documents describing procedures, policies, and criteria for hiring and reviewing full and part-time faculty, and for promotion, tenure, grievance, discipline, and dismissal*
- ✓ Policy on academic freedom
- ✓ Materials from new faculty orientation
- ✓ Reports on and plans for faculty development
- ✓ Policies for orientation, integration, and professional development of part-time faculty
- ✓ Summary of results of student course and teaching evaluations
- ✓ Relevant results of internal surveys of faculty
- ✓ Ratios of students to full-time and to part-time faculty
- ✓ Description of shared governance
- ✓ Faculty committee assignments
- ✓ Faculty meeting minutes
- ✓ Studies and assessments of faculty qualifications, competence and effectiveness

Standard 5 – Student Administration and Support Services

Admissions and Student Administration System

- ✓ Enrollment agreement
- ✓ Student, faculty, staff, curriculum and other records
- ✓ Handbooks, which include the policies and procedures for the maintenance and security of academic records*
- ✓ Catalog, which includes published policies, procedures and protocols for admission, transfer credit, prior learning assessment, entrance exams, student recruitment and prerequisites**
- ✓ Statements in the catalog and elsewhere of admissions criteria and policies

- ✓ Information and application packets for students
- ✓ Information supplied to applicants regarding academic programs (including required placement or diagnostic testing); student learning outcomes; financial aid, scholarships, grants, loans and refunds; transfer credit and credit for extra-institutional college-level learning
- ✓ Enrollment management strategic plans
- ✓ Current University catalog**
- ✓ Copies of other institutional and program publications (e.g., handbooks, manuals, brochures, advertisements)*
- ✓ Sample recruiting materials
- ✓ The program's foreign language publications and their translations, (if applicable)*
- ✓ Minutes reflecting review of institutional publications.
- ✓ Student handbooks*
- ✓ Policies and procedures for student grievances, with description of how information is disseminated to students*

Admissions and Student Administration System Evaluation
- ✓ Studies and evaluations of the effectiveness of the program's admissions policies, procedures and practices
- ✓ Relevant results of internal surveys of students and alumni, and external surveys
- ✓ Documents respecting student services provided to enrollees and how they are administered
- ✓ Assessments and credentials of student services personnel
- ✓ Studies and assessments of the adequacy of student support services (orientation, counseling, advising, discipline, placement, etc.)
- ✓ Reports and plans from student service offices (health, housing, dining, counseling, career services, safety and security, disabled students, social/cultural activities, campus areas for prayers, and community service)
- ✓ Studies and evaluations of the institution's record keeping systems
- ✓ Control inventory record used to monitor students' satisfactory academic progress towards graduation requirements

Students Statistics System and Evaluation
- ✓ Institutional profiles showing the number of students enrolled, graduated and readmitted for the past three years
- ✓ Student demographic profiles including average ages, educational and professional backgrounds, and demographic composition for the past three years
- ✓ Admissions data showing the number of applications received and the number accepted over the past 3 years
- ✓ Data showing the number of students who transferred into or out of the program in the past 3 years
- ✓ Data showing the number of students accepted into the program and the credit they were given for prior learning in the past three years
- ✓ Program completion rates based on student backgrounds for the past 3 years

✓ Retention and graduation statistics and studies

Standard 6 – Learning Resources

✓ List of library holdings, including professional journals, broken out by subject area and language and by programs*
✓ Assessment plans for continued library and learning resources development*
✓ Contracts with other entities providing student access to learning resources
✓ Information literacy programs
✓ Assessments of library holdings, organization and management relative to the achievement of mission, goals, objectives and outcomes

Standard 7 – Facilities and Equipment

✓ A floor plan for facilities used to conduct training*
✓ Lease for facilities or equipment*
✓ Documents of compliance with health, fire and safety standards
✓ Inventories of equipment
✓ Assessments of facilities and equipment relative to whether they are sufficient to support the programs
✓ Facilities and equipment plan and management plan

Standard 8 – Financial Planning and Management

✓ Full Independent auditor-prepared audit certifying the balance sheet at the end of the fiscal year, the statement of revenue and expenses, and changes in fund balance and/or financial position. The audit must include a management letter, and any qualifications or reportable conditions*
✓ Balance sheet, with statements of income and expenses, profit and loss and assets and liabilities, for the current and last three years; show budget to actual comparisons for past year and for year-to-date*
✓ Institutional **and** program budget for the past fiscal year, for the current year, and for the next two fiscal years*
✓ Documentation showing the percentages of expenditures for different items in the current fiscal year budget
✓ Financial trend data and supporting analysis
✓ Fiscal plans, particularly if the institution/program is experiencing financial difficulty*

Standard 9: Faculty and Staff Employment Processes

✓ Catalog or other document, which lists full and part-time faculty for the current academic year with an outline of their professional and educational credentials as well as their length of service with the program*

- ✓ Faculty contracts
- ✓ Faculty Manual, which includes policies and procedures for faculty appointment, performance evaluation and promotion *
- ✓ Staff Manual, which includes policies and procedures for faculty appointment, performance evaluation and promotion*
- ✓ Faculty files, including evaluations, CVs, documentation of professional development, etc.*
- ✓ Staff files, including evaluations, CVs, documentation of professional development, etc.*
- ✓ Faculty and Staff governance documents, if applicable (e.g., Bylaws)*
- ✓ Faculty and Staff Performance evaluation and assessment system
- ✓ Faculty and Staff development plans, policies, process and procedures.

Standard 10: Research

- ✓ Research Plan, mission and goals*
- ✓ Research Governance Policies, Processes and Procedures
- ✓ Research evaluation and assessment policies and procedures
- ✓ Research internal and external funding sources, policies and procedures
- ✓ Motivational and incentives system for research performance
- ✓ Research trend data and supporting analysis of research performance
- ✓ Research developmental programs for different categories of faculty*
- ✓ Research KPI and benchmarks
- ✓ Research Manual
- ✓ Assessments of facilities and equipment relative to whether they are sufficient to support the research programs

Standard 11: Community Relations

- ✓ Community Relations and Societal Responsibilities Plan, mission and goals*
- ✓ Community Relations and Societal Responsibilities stakeholders identification and engagement management plan
- ✓ Community Relations and Societal Responsibilities evaluation and assessment plan and methodology
- ✓ Community Relations and Societal Responsibilities funding sources, policies and procedures
- ✓ Community Relations and Societal Responsibilities KPI and benchmarks
- ✓ Community Relations and Societal Responsibilities stakeholder's satisfaction surveys

15. Proposed Checklist of Supporting Evidence as part or NCAAA requirements

Source: Deanship of Quality, KSU (2012), KSU – QMS Handbook 1, Practitioner Edition, 3rd edition April 2012, King Saud University, Kingdom of Saudi Arabia and Deanship of Quality, KSU (2012), KSU – QMS Handbook 2, Practitioner Edition, 3rd edition April 2012, King Saud University, Kingdom of Saudi Arabia

Legend: SID (Statistics, Information and Documents), I (Institution), C (College)

General ORGANIZATION PROFILE

☐ **SID I – A:** Institution Charter, Institution Organization or Authority Chart
SID C – A: College Charter, College Organization or Authority Chart

☐ **SID I – B:** Institution Catalog
SID C – B: College Catalog

☐ **SID I – C:** Institution Organizational Profile (Historical to present standing)
SID C – C: College Organizational Profile

☐ **SID I – D:** Institutional Statistics
SID C – D: Collegial Statistics

☐ **SID I – D1: Intuitional Characteristics –** Number of Colleges and Programs, Faculty/Staff/Students Profile, Learning resources and facilities profile
SID C – D1: College Characteristics – Number of Departments, Faculty/Staff/Students Profile, Learning resources and facilities profile

☐ **SID I – D2: Institutional Faculty Statistics:** Ratio of Instructor : Assistant Prof. : Associate Prof. : Professor by College, Department, by Local Vs. Expat, by Highest Degree attainment, by Geographic Distribution
SID C – D2: College Faculty Statistics: Ratio of Instructor : Assistant Prof. : Associate Prof. : Professor by Department, by Local Vs. Expat, by Highest Degree attainment, by Geographic Distribution

☐ **SID I – D3: Institutional Staff Statistics:** Number of staff by Department, by Local Vs. Expat, by Highest Degree attainment, by Geographic Distribution
SID C – D3: College Staff Statistics: Number of staff by Department, by Local Vs. Expat, by Highest Degree attainment, by Geographic Distribution

☐ **SID I – D4: Institutional Students Statistics:** Number of Students by College and Department, by Local Vs. Expat, by year of program, by Geographic Distribution, enrolment rate by year (1st year to 5th year), retirement and probation rate by year (1st year to 5th year), retention rate by year (1st year to 5th year), progression rate (1st year to 5th year)
SID C – D4: College Students Statistics: Number of Students by College and Department, by Local Vs. Expat, by year of program, by Geographic Distribution, enrolment rate by year (1st year to 5th year), retirement and probation rate by year (1st year to 5th year), retention rate by year (1st year to 5th year), progression rate (1st year to 5th year)

☐   **SID I – D5: Institution Learning Resources Statistics:** Number and Types of Learning resource availability, utilization rate by faculty, staff and students
SID C – D5: College Learning Resources Statistics: Number and Types of Learning resource availability, utilization rate by faculty, staff and students

STANDARD 1: MISSION, GOALS AND OBJECTIVES

☐   **SID I – 1.1:** Institution Strategic Plan and Action Plans
SID C – 1.1: College Strategic Plan and Action Plans

☐   **SID I – 1.2:** Statements of Institutional Vision, Mission, Values, Goals
SID C – 1.2: Statements of College Vision, Mission, Values, Goals

STANDARD 2: GOVERNANCE AND ADMINISTRATION

☐   **SID I – 2.1: Institution By-law:** Provide the institution by-laws or basic documents demonstrating the institution legal responsibility and accountability, codes of professional and academic conduct of the faculty and students
SID C – 2.1: College By-law: Provide the institution by-laws or basic documents demonstrating the college legal responsibility and accountability, codes of professional and academic conduct of the faculty and students

☐   **SID I – 2.2: Institutional Governing Board:** Provide documentation of the structure, authority, and autonomy of the Institution Governing Board, its internal and external composition, policies and procedures and guiding principles of the Governing Board and Committees that are enshrined in its codes of practices and manual and minutes governing its governing and regulatory practices in reviewing institutional academic and administrative policies.
SID C – 2.2: College Governing Board: Provide documentation of the structure, authority, and autonomy of the college Governing Board, its internal and external composition, policies and procedures and guiding principles of the Governing Board and Committees that are enshrined in its codes of practices and manual and minutes governing its governing and regulatory practices in reviewing college academic and administrative policies.

☐   **SID I – 2.3: Institution Governing Board Member:** Provide a list of the internal and external representation of the Institution Board Members including their name, designation, affiliation and occupation, and compensation.
SID C – 2.3: College Governing Board Member: Provide a list of the internal and external representation of the Board Members including their name, designation, affiliation and occupation, and compensation

☐   **SID I – 2.4: Institution Administrative Committee and Members:** Provide a list of the internal and external representation of the various Institution Administrative Committees and its members including their name, designation, affiliation and occupation, and compensation to oversee the various key institutional administrative polices.
SID C – 2.4: College Administrative Committee and Members: Provide a list of the internal and external representation of the various College Administrative Committees and its members including their name, designation, affiliation and occupation, and compensation to oversee the various key collegial administrative polices.

STANDARD 3: MANAGEMENT OF QUALITY ASSURANCE AND IMPROVEMENT

☐ **SID I – 3.1: Institution Quality Management System:** Provide documentation and evidence of the existence of the institution internal quality management system addressing its internal audit and assessment needs and requirements and assuring its institutional quality assessment and assurance practices.
SID C – 3.1: College Quality Management System: Provide documentation and evidence of the existence of the college internal quality management system addressing its internal audit and assessment needs and requirements and assuring its college quality assessment and assurance practices.

☐ **SID I – 3.1: Institution Quality Plan:** Provide documentation and evidence of the existence of the institution quality plan addressing its strive for continuous improvements of its IQA assuring its institutional quality assessment and assurance practices.
SID C – 3.1: College Quality Plan: Provide documentation and evidence of the existence of the college quality plan addressing its strive for continuous improvements of its IQA assuring its institutional quality assessment and assurance practices.

STANDARD 4 LEARNING AND TEACHING

☐ **SID I – 4.1: Institution Oversight of Quality Teaching and Learning:** Provide documentation and evidence of the existence of the institution bodies and committees, policies and procedures or systems and mechanisms applied in overseeing the quality of teaching and learning assuring its institutional quality teaching and ;earning assessment and assurance practices.
SID C – 4.1: College Oversight of Quality Teaching and Learning: Provide documentation and evidence of the existence of the college bodies and committees, policies and procedures or systems and mechanisms applied in overseeing the quality of teaching and learning assuring its college quality teaching and ;earning assessment and assurance practices.

☐ **SID I – 4.2: Institution Student Learning Outcomes:** Provide documentation and evidence of the existence that the college's student learning outcomes conform to the institutional strategic directions and meeting the minimum NCAAA National qualification Framework assuring its institutional quality teaching and learning assessment and assurance practices.
SID C – 4.2: College Student Learning Outcomes: Provide documentation and evidence of the existence that the college's and the department's student learning outcomes conform to the institutional and college strategic directions and meeting the minimum NCAAA National qualification Framework at the program and subject level assuring its institutional quality teaching and learning assessment and assurance practices.

☐ **SID I – 4.3: Institution Oversight of Program development, evaluation and review process:** Provide documentation and evidence of the existence of the institution bodies and committees, policies and procedures or systems and mechanisms applied in overseeing the quality of the systematic program development, evaluation and review processes and procedures assuring its institutional quality teaching and ;earning assessment and assurance practices.
SID C – 4.3: College Oversight of Program development, evaluation and review process: Provide documentation and evidence of the existence of the college bodies and committees, policies and procedures or systems and mechanisms applied in overseeing the quality of the systematic program development, evaluation and review processes and procedures assuring its college quality teaching and ;earning assessment and assurance practices.

☐ **SID I – 4.4: Institution Student Learning Outcomes:** Provide documentation and evidence of the existence of an implemented, systematic and sustained process that the college's student learning outcomes conform to the institutional strategic directions and meeting the minimum NCAAA National qualification Framework assuring its institutional quality teaching and learning assessment and assurance practices.

SID C – 4.4: College Student Learning Outcomes: Provide documentation and evidence of the existence of an implemented, systematic and sustained process that the college's and the department's student learning outcomes conform to the institutional and college strategic directions and meeting the minimum NCAAA National qualification Framework at the program and subject level assuring its college quality teaching and learning assessment and assurance practices.

☐ **SID I – 4.5: Institution Oversight of Quality of teaching and teaching staffs, Support for Improvements processes:** Provide documentation and evidence of the existence of the institution bodies and committees, policies and procedures or systems and mechanisms applied in overseeing the quality of the teaching, qualifications of the teaching staffs and processes and procedures for the support of the development and improvements of teaching and learning practices and teaching staffs assuring its institutional quality teaching and ;earning assessment and assurance practices.

SID C – 4.5: College Oversight of Quality of teaching and teaching staffs, Support for Improvements processes: Provide documentation and evidence of the existence of the college bodies and committees, policies and procedures or systems and mechanisms applied in overseeing the quality of the teaching, qualifications of the teaching staffs and processes and procedures for the support of the development and improvements of teaching and learning practices and teaching staffs assuring its college quality teaching and ;earning assessment and assurance practices.

☐ **SID I – 4.6: Institution education assistance and field experience:** Provide documentation and evidence of the existence that there is an implemented, systematic and sustained education assistance and field experience for the students assuring its institutional quality teaching and learning assessment and assurance practices.

SID C – 4.6: College education assistance and field experience: Provide documentation and evidence of the existence that there is implemented, systematic and sustained education assistance and field experience for the students assuring its college quality teaching and learning assessment and assurance practices.

☐ **SID I – 4.7: Institution Oversight of Student Assessment for Improvements processes:** Provide documentation and evidence of the existence of the institution committees, policies and procedures or systems and mechanisms applied in overseeing the student assessment of the institution teaching and learning practices affecting the development and improvements of teaching and learning practices and teaching staffs assuring its institutional quality teaching and learning assessment and assurance practices.

SID C – 4.7: College Oversight of Student Assessment for Improvements processes: Provide documentation and evidence of the existence of the college committees, policies and procedures or systems and mechanisms applied in overseeing the student assessment of the college teaching and learning practices affecting the development and improvements of teaching and learning practices and teaching staffs assuring its college quality teaching and learning assessment and assurance practices.

☐ **SID I – 4.8: Institution partnership arrangement with other institutions:** Provide documentation and evidence of the existence that there is an implemented, systematic and sustained development of institutional partnerships with other institutions that can assist in assuring its institutional quality teaching and learning assessment and assurance practices.

SID C – 4.8: College partnership arrangement with other institutions: Provide documentation and

evidence of the existence that there is an implemented, systematic and sustained development of college partnerships with other institutions that can assist in assuring its college quality teaching and learning assessment and assurance practices.

STANDARD 5: SUPPORT FOR STUDENT LEARNING

☐ **SID I – 5.1: Institution Admission and registration System:** Provide documentation and evidence of the existence of the policies, procedures and practices or systems and mechanisms applied in the students admission, registration, and payment requirements assuring its institutional quality admission system assessment and assurance practices. Provide also the admissions and actual enrolment profile and the retention and graduation rate and the enrolment projections of the future for the institution and colleges. (Separate them into specific tables of the different type of profiles)
SID C – 5.1: College Admission and registration System: Provide documentation and evidence of the existence of the policies and procedures or systems and mechanisms applied in the students' admission, registration, and payment requirements assuring its college quality admission system assessment and assurance practices. Provide also the admissions and actual enrolment profile and the retention and graduation rate and the enrolment projections of the future for the college and departments. (Separate them into specific tables of the different type of profiles)

☐ **SID I – 5.2: Institution Student Records and Management System:** Provide documentation and evidence of the existence that the institution has an efficient and effective students' records system and student management system of its codes of conduct and appeal system assuring its institutional quality teaching and learning assessment and assurance practices.
SID C – 5.2: College Student Records and Management System: Provide documentation and evidence of the existence that the institution has an efficient and effective students' records system and student management system of its codes of conduct and appeal system assuring its college quality teaching and learning assessment and assurance practices.

☐ **SID I – 5.3: Institution Student and Services Handbook:** Provide evidence of a Student Handbook on the students detailing the students' code of conducts, appeal system, developmental and counseling system and comprehensive students' services including academic and financial and housing and practices in the institution and the colleges. Evidence of the planning and assessment must be provided to ensure its quality service offerings.
SID C – 5.3: College Student and Services Handbook: Provide evidence of a Student Handbook on the students detailing the students' code of conducts, appeal system, developmental and counseling system and comprehensive students' services including academic and financial and housing and practices in the college and departments. Evidence of the planning and assessment must be provided to ensure its quality service offerings.

STANDARD 6: LEARNING RESOURCES

☐ **SID I – 6.1: Institution Learning Resources Plan and System:** Provide documentation and evidence of the existence of the institution learning resource plan detailing the quantity and quality of the learning resources needs and requirements, the policies, procedures and practices or systems and mechanisms applied in the planning and evaluation assuring its institutional quality learning resources system assessment and assurance practices.
SID C – 6.1: College Learning Resources Plan and System: Provide documentation and evidence of the existence of the institution learning resource plan detailing the quantity and quality of the learning resources needs and requirements, the policies, procedures and practices or systems and

mechanisms applied in the planning and evaluation assuring its institutional quality learning resources system assessment and assurance practices.

☐ **SID I – 6.2: Institution Learning Resources Organization and support Management System:** Provide documentation and evidence of the existence that the institution has an efficient and effective institution learning resources organization and support management system assuring its institutional learning resources management assessment and assurance practices.
SID C – 6.2: College Learning Resources Organization and support Management System: Provide documentation and evidence of the existence that the college has an efficient and effective college learning resources organization and support management system assuring its college learning resources management assessment and assurance practices.

STANDARD 7 FACILITIES AND EQUIPMENT

☐ **SID I – 7.1: Institution Facilities and Equipment Plan:** Provide documentation and evidence of the existence of the institution facilities and equipment plan detailing the quantity and quality of the facilities and equipment needs and requirements, the policies, procedures and practices or systems and mechanisms applied in the planning and evaluation assuring its institutional quality facilities and equipment system assessment and assurance practices.
SID C – 7.1: College Facilities and Equipment Plan: Provide documentation and evidence of the existence of the college facilities and equipment plan detailing the quantity and quality of the college facilities and equipment needs and requirements, the policies, procedures and practices or systems and mechanisms applied in the planning and evaluation assuring its quality college facilities and equipment system assessment and assurance practices.

☐ **SID I – 7.2: Institution Facilities and Equipment Organization and support Management System:** Provide documentation and evidence of the existence that the institution has an efficient and effective institution facilities and equipment organization and support management system covering the management and administration of the overall facilities and equipment including the ICT and student housing assuring its institutional facilities and equipment management assessment and assurance practices.
SID C – 7.2: College Facilities and Equipment Organization and support Management System: Provide documentation and evidence of the existence that the college has an efficient and effective college facilities and equipment organization and support management system management and administration of the overall facilities and equipment including the ICT and student housing assuring its college facilities and equipment management assessment and assurance practices.

STANDARD 8 FINANCIAL PLANNING AND MANAGEMENT

☐ **SID I – 8.1:** Institution Financial and Budgeting Plans
SID C – 8.1: College Financial and Budgeting Plans

☐ **SID I – 8.2: Institution Financial and Budgeting Management System:** Provide documentation and evidence of the existence of the institution financial and budgeting management and administration systems detailing financial needs and requirements of the colleges and administrative units, the policies, procedures and practices or systems and mechanisms applied in the planning and evaluation of the institution financial management assuring its institutional quality financial management system assessment and assurance practices.

SID C – 8.2: College Financial and Budgeting Management System: Provide documentation and evidence of the existence of the college financial and budgeting management and administration systems detailing financial needs and requirements of the college and departments, the policies, procedures and practices or systems and mechanisms applied in the planning and evaluation of the college financial management assuring its college quality financial management system assessment and assurance practices.

☐ **SID I – 8.3: Institution Risk Management Plan:** Provide documentation and evidence of the existence of the institution risk management and administration systems detailing all types of risk needs and requirements of the institution, the policies, procedures and practices or systems and mechanisms applied in the planning and evaluation of the institution risk management assuring its institutional quality risk management system assessment and assurance practices.
SID C – 8.3: College Risk Management Plan: Provide documentation and evidence of the existence of the college risk management and administration systems detailing all types of risk needs and requirements of the college, the policies, procedures and practices or systems and mechanisms applied in the planning and evaluation of the college risk management assuring its college quality risk management system assessment and assurance practices.

STANDARD 9 EMPLOYMENT PROCESSES

☐ **SID I – 9.1: Institution Faculty and Staff Records and Management System:** Provide documentation and evidence of the existence that the institution has an efficient and effective faculty and staff records system and faculty and staff management system of its codes of conduct and appeal system assuring its institutional quality teaching and learning assessment and assurance practices. Details of the Faculty and Staff profile by college, by department, by gender, by academic ranks, by highest degree attained, by areas of expertise, by years of services and etc., should be maintained at the institutional and college level.
SID C – 9.1: College Faculty and Staff and Records and Management System: Provide documentation and evidence of the existence that the institution has an efficient and effective faculty and staff records system and faculty and staff management system of its codes of conduct and appeal system assuring its college quality teaching and learning assessment and assurance practices. Details of the Faculty and Staff profile by college, by department, by gender, by academic ranks, by highest degree attained, by areas of expertise, by years of services and etc., should be maintained at the college and departmental level.

☐ **SID I – 9.2: Institution Faculty and Staff and Services Handbook:** Provide evidence of a Faculty and Staff Handbook on the students detailing the Faculty and Staff code of conducts, appeal system, developmental and counseling system and comprehensive Faculty and Staff services including academic and financial and housing and practices in the institution and the colleges.
SID C – 9.2: College Faculty and Staff and Services Handbook: Provide evidence of a Faculty and Staff Handbook on the students detailing the Faculty and Staff code of conducts, appeal system, developmental and counseling system and comprehensive Faculty and Staff services including academic and financial and housing and practices in the college and departments.

STANDARD 10: RESEARCH

☐ **SID I – 10.1:** Institution Research Plan
SID C – 10.1: College Research Plan

☐ **SID I – 10.2: Institution Research Management System:** Provide documentation and evidence of the existence of the institution research management and administration systems detailing financial needs and requirements of the institution, the policies, procedures, sources and uses of the research budget, teaching staff and student research involvement and development, commercialization of its research and research practices or systems and mechanisms applied in the planning and evaluation of the institution research management assuring its institutional quality research management system assessment and assurance practices.

SID C – 10.2: College Research Management System: Provide documentation and evidence of the existence of the college research management and administration systems detailing financial needs and requirements of the institution, the policies, procedures, sources and uses of the research budget, teaching staff and student research involvement and development, commercialization of its research and research practices or systems and mechanisms applied in the planning and evaluation of the college research management assuring its college quality research management system assessment and assurance practices.

STANDARD 11: INSTITUTIONAL RELATIONSHIPS WITH THE COMMUNITY

☐ **SID I – 11.1:** Institution Community Engagement Plan
SID C – 11.1: College Community Engagement Plan

☐ **SID I – 11.2: Institution Community Engagement Management System:** Provide documentation and evidence of the existence of the institution community engagement management and administration systems detailing needs and requirements of the institution outreach efforts to its communities, the policies, procedures, community engagement and outreach practices or systems and mechanisms applied in the planning and evaluation of the institution community and outreach management assuring its institutional quality community and outreach management system assessment and assurance practices.

SID C – 11.2: College Community Engagement Management System: Provide documentation and evidence of the existence of the college community engagement management and administration systems detailing needs and requirements of the college outreach efforts to its communities, the policies, procedures, community engagement and outreach practices or systems and mechanisms applied in the planning and evaluation of the college community and outreach management assuring its college quality community and outreach management system assessment and assurance practices.

16. **Potential Stumbling Blocks**

   Adapted from: ACAOM, (2008), ACAOM Self-Study Guide, Accreditation Commission for Acupuncture and Oriental Medicine, Maryland, U.S.A.

In conducting the self-study process, the institution, college or program should avoid the following:

1. **Stumbling block:** Viewing self-study as peripheral to the institution's work.

   Hint: Focus on issues of importance to the institution and remember that planning, assessment, and accreditation can help the institution to realize greater benefits as it continuously improves the quality of educational programs.

2. **Stumbling block:** Relying on non-specific aspirations as there is minimal Strategic Planning.

   Hint: A strategic plan typically states goals that are based on the institution's mission and value statements and that are measurable. Institutional plans should be consistent, so that goals lead to curricular design, and the institutional assessment plan follows from the design.

3. **Stumbling block:** Describing what the institution does without analysis.

   Hint: Analyze how what the institution does affects its students and whether what it does is related to the goals set out in its plans and mission statement.

4. **Stumbling block:** Describing the institution, college or program rather than analyzing strengths and opportunities for development.

   Hint: Analyze how well the institution, college or program fulfills its mission, goals, objectives and student learning outcomes in relation to the accreditation standards.

5. **Stumbling block:** Viewing the self-study as irrelevant or incidental to the institution, college or program work.

   Hint: The self-study should focus on matters of importance to the institution, college or program. The process of self-assessment and accreditation review identifies opportunities for development, which can assist the institution in improving the quality of its programs.

6. **Stumbling block:** Providing nebulous, un-measurable aspirations in strategic plans and plans for curriculum improvement.

   Hint: Plans should state specific, measurable institution, college or program goals in relation to re-sources, mission, goals, objectives and student learning

outcomes. Assessment results should be used to establish plans and strategies for improvement.

7. **Stumbling block:** Assuming that the institution is too "special" to use available benchmarks.

   Hint: Use benchmarks to set specific goals for the strategic plan, and use those goals for realistic assessment. If widely published available benchmarks are not a good comparison, use a variety of sources to construct a useful cohort. If suitable benchmarks are not available, identify other frames of reference (such as improvement over time, achievement of stated goals, etc.).

8. **Stumbling block:** Making conclusory assertions that are unsupported by data.

   Hint: Integrate the results of data analysis into the report and explain how these data were used to assess institution, college or program and student learning outcomes.

9. **Stumbling block:** Submitting unexplained confusing or inconsistent data with the report.

   Hint: Ensure that the report narrative is analytical and explains what was revealed regarding institution, college or program effectiveness in relation to outcomes.

10. **Stumbling block:** Assuming that the institution, college or program is so unique that it need not use readily accessible benchmarks.

    Hint: Consider the use of relevant benchmarks to establish goals for the institution, college or program and use those goals to establish a foundation for assessment purposes. If suitable criteria or benchmarks are unavailable, consider other methods such as achievement of other goals and objectives, progress over time, etc.

11. **Stumbling block:** Permitting one institution, college or program group such as faculty or administrators to dominate the self-study process.

    Hint: Ensure that there is diversity of representation among the communities of interest at all levels of the self-study process.

12. **Stumbling block:** Using unsupported assertions about student learning and achievement.

    Hint: Provide data, explain the methods used to gather them, and describe how the evidence will be used to promote institutional change and improvement.

13. **Stumbling block:** Using confusing or conflicting data and statistical jargon in analyzing and presenting data.

    Hint: Provide analytical reporting to explain what was learned about students and their achievements, programs and their effectiveness, and whether the institution's mission and goals are being achieved in classrooms and co-curricular programs. Always confirm data sources and accuracy.

14. **Stumbling block:** Allowing a subgroup or individual or Special Interest Groups to stand in the way of the whole.

    Hint: Establish early in the process how the recommendations of the self-study report will be determined. Constituencies should hold each other accountable for constructive participation in the self-study.

15. **Stumbling block:** Allowing one type of institutional constituency (such as faculty or administration or institutional researchers) or authority of each institutional constituency to control or thwart the self-study process.

    Hint: Share accountability for leadership — and the authority to lead — among all key institutional constituencies (governing board, administration, faculty, staff, students, and alumni).

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