Organizational Evaluation Self-Study

Submission Guidelines

The length of an Organizational Self-Study should not exceed approximately 50 pages provided by the Applicant. Additional information and evidence to support the Self-Study may be supplied in concise and relevant Appendices. Please cross-reference appendices in the Self-Study for ease of reference.

Self-Studies must follow the template provided and address all questions in a critically reflective and concise narrative. Self-Studies that exceed the page limit or do not include relevant information will be returned to the Institution.

*Note: it is the Organization’s responsibility to provide CAQC and External Reviewers with a complete and concise package for organizational evaluation.* ***Please see the Organizations Handbook, for full details of all expectations and standards.***

Self-Study Template

# Organization Overview

## Required submissions (please provide in tabular or equivalent form):

* Full Legal Name of Organization
* Operating Name of the Organization
* Common Acronym(s) - if applicable
* URL for Organization’s Homepage
* Addresses for the head office, the main campus and all other operating sites, as well as telephone, facsimile, and email contact information for at least three (3) Senior Administrators or Designates.
* Number of employees and whether members of Administration are considered Academic Staff/Faculty
  + Total Employees:
  + Faculty - Full-Time and Part-Time:
  + Administration - Full-Time:
  + Administration - Part-Time:
  + Staff - Full-Time:
  + Staff - Part-Time:
  + Staff – Student Services:
* Number of students enrolled
  + Total Number of Students (Head Count):
  + Total Number of Students (FLE):
  + Total Number of Domestic Students:
  + Total Number of International Students:
  + Total Number of Part-Time Students
  + Total Number of Full-Time/Full-Load Students
* Written confirmation of the authorization of the representative of the applicant organization to enter into a binding application (including name, title, address, telephone, and email address).
* Written confirmation of the authorization of the organizational contact person to represent the organization throughout the application process (Include name, title, address, telephone, and email address).

# Meeting CAQC Standards

Institutions must provide **concise narratives and evidence (as links or brief appendices)** to demonstrate how they satisfy all six CAQC Organization Standards.

# Governance

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| 1. **Governance infrastructure codified in policies and procedures aligned with best practices among Canadian degree-granting organizations.** |
| **AREAS OF FOCUS** |
| An appropriate governance and reporting structure that includes a legally constituted governing board and a General Faculties Council, Academic Council, or appropriate equivalents allowing for academic faculty, staff and student participation in academic decision-making and policy review and development.  Institutional focus on academic freedom and academic integrity, including clear definitions, disciplinary processes, and appropriate development among all faculty, staff and students.  Intellectual property commitments with clear regulations relating to disputes, conflicts, appeals, due process, and protections for faculty, staff and students. |

### Recommended Submissions

* Clear and transparent governance policies and procedures, including involvement of faculty and students in governance (e.g. GFC/Academic Council Constitution, Bylaws, etc.)
* Identification of governance structures and membership
* Strategic Plan including mission/mandate
* Most recent Operational and Organizational plans
* Faculty, Staff, and Student Handbooks
* University/Academic Calendar
* Polices regarding Intellectual property that have clear alignment to academic freedom
* Organizational chart
* Academic Freedom Policy/Statement

### Assessment Criteria

1. The organization has administrative capacity, through its leadership and governance structure, capable of organizing and managing a reputable, effective, and high-quality degree-granting organization with a governing board that has both authority and independence.
2. The organization’s governing board has adequate provisions for appropriate academic staff participation in academic decision making, and for faculty, staff, students, and administrators to be involved in the development of organizational policies.
3. The organization has an academic freedom policy and procedures and demonstrates that it fosters an environment where students and academic staff can display a high degree of intellectual independence.
4. The organization’s planning processes are comprehensive and link various planning initiatives with performance indicators and benchmarks.
5. Processes exist by which the organization assesses, periodically, all units and operations with input from external experts and consequently acts on its assessments of programs, academic units, and service areas. Staff, Faculty, and Senior Leaders who are required to collect, manipulate, analyse, or interpret data receive training that enables them to undertake these activities accurately, ethically, and securely.

# Resources

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| 1. **Resource Sufficiency, organizational stability, and student protections** |
| **AREAS OF FOCUS** |
| Financial management policies and practices, resources, and appropriate multiyear planning to provide a stable working and learning environment, to ensure enrolled students can complete their education, and to provide staff and faculty with ongoing professional development.  Sufficient student services such as mental health supports, academic advising, career advising/placement and facilities are in place to promote quality of student life outside the classroom. |

### Recommended Submissions

* Concise history of the institution focusing on delivery of post-secondary educational experiences
* Most recent Annual Report
* Most recent Business, Academic, Strategic Enrolment Management plans (or equivalent)
* Description of how the institution is addressing its Investment Management Agreement (Campus Alberta publicly funded institutions only)
* Policies requiring the regular audit of financial methods, performance and stability by a qualified third-party accountant in accordance with generally accepted accounting practices
* Institutional reports/assessments that convey the following:
  + Sufficient and appropriately trained and experienced faculty and staff, including full-time permanent/tenure-track faculty or equivalent,
  + Library holdings appropriate to support all academic programs,
  + Information Technology (IT) infrastructure: that provides reasonable and secure levels of access on and off campus,
  + Physical infrastructure/Space: classrooms, labs, meeting spaces, equipment, technology and research facilities
* Established transfer agreements/processes
* Policies and procedures that protect student interests in the following areas: security of academic student records with assurance of continued access beyond attendance period; payment schedule of fees and charges; student dismissal; and withdrawal and refunds.

### Assessment Criteria

1. The organization has the appropriate financial management procedures, resources and appropriate planning and personnel to provide a stable learning environment and to ensure that students will be able to complete the degree program(s).
2. The organization has evidence of methods to protect student financial involvement in the case of the cessation of activity.
3. The organization has policies and procedures to deal effectively with appointment, evaluation, employment conditions including employment equity, promotion, termination and professional development for faculty and staff. In the case of the latter the organization determines the professional development needs of its staff.
4. The organization’s learning, physical IT, infrastructure, and service resources support the align with the institution’s Mission and Vision and meet the needs of students, faculty, and staff. The methods for establishing priorities for the maintenance of these resources, and acquisition of new resources are evident in annual reporting and planning documents.
5. The provision of student services is appropriate to the institution, regularly assessed, and guided by policies and practices related to students’ security, rights and responsibilities, and the supports for student services are adequately communicated to students. These provisions effectively support the quality of the proposed degree programming. The organization adequately informs students about these policies, practices, and supports.
6. The organization ensures that student academic records and alumni records are secure.
7. The organization has plans and methods for managing health and safety issues appropriate to support degree programming in the program(s) it offers or proposes to offer.

# Teaching and Learning

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| 1. **A culture of excellence in teaching and learning** |
| **AREAS OF FOCUS** |
| Demonstrable support for the assessment and ongoing development of faculty, instructional practices, and curricula. Training for employees that contributes to effective learning, and professional development experiences for faculty and staff. |

### Recommended Submissions

* Institutional definition of teaching excellence and how teaching and learning are assessed, supported, funded, rewarded, and recorded
* Evidence of support of the design, development and delivery of learning experiences for both students and faculty (such as any related Annual Reports or Operation Plans from Teaching & Learning Centres, or other evidence of faculty development)
* Staff dedicated to instructional development and examples of relevant programming
* Instructional, course, and program feedback collected from student surveys and other sources. Feedback analyzed and used where appropriate.

### Assessment Criteria

1. Curricula and program delivery achieve stated learning outcomes.
2. Processes exist to develop and assess curricula and teaching practices, and to implement the results of those assessments in ongoing development.
3. Learning and assessment is informed by research and/or scholarship.
4. Faculty involved in teaching and/or supervising research are appropriately qualified and supported to enhance their teaching and supervisory practice. Research degrees are delivered in supportive environments that are conducive to learning and research.

# Research, Scholarly, and Creative Work

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| 1. Commitment to research, scholarly, and creative work. |
| **AREAS OF FOCUS** |
| Organizational commitment, including but not limited to workload guidelines and academic freedom, supporting the pursuit of research, scholarship, and creative work, with an evaluation system that incentivizes and rewards these pursuits. |

### Recommended Submissions

* Institutional Research Plan (or equivalent)
* Two most recent reports by the Vice President of Research (or equivalent)
* Policies outlining the institution’s definition of scholarship and how it is assessed, supported, funded, rewarded, and recorded
* Staff in place to assist faculty and staff in developing, submitting, and supporting research funding applications, preparing publications and presentations.
* Summary of research space and equipment to support faculty and student research
* Student Research symposia and/or other opportunities to showcase faculty and student scholarly work.
* Brief CVs (using CAQC CV Template) of Permanent/Continuous/Tenure/Tenure Track Faculty who will anchor degrees (e.g. faculty with primary/core responsibility for proposed degrees or who will primarily teach within degree programs moving forward). Note, additional faculty CVs will be required connected to specific Program Proposals.
* Human and Animal Research Ethics Policies and Review Boards (if applicable)

### Assessment Criteria

1. Evidence exists that the organization is developing and fostering a culture of scholarship appropriate for a degree granting organization wherein the value of scholarly/creative activity and its peer review is embedded in the culture of the organization.
2. The organization provides academic staff with clear expectations regarding what constitutes scholarship within the context of the organization and proposed and future degree programming, distinct from professional development, service, and teaching expectations.
3. The organization’s policies and procedures support and facilitate engagement by academic staff and students in scholarship and/or research or creative activity. Required policies, procedures, or manuals may include, but are not limited to:
   1. Academic Freedom
   2. Integrity in Research/Responsible Conduct in Research
   3. Intellectual Property – Faculty & Student (separate or combined)
   4. Information Access/Privacy
   5. Human Research Ethics (Human)
   6. Animal Care / Ethics
   7. Research-related Financial Management (e.g. TAGFA, Support for Research, Contracts for Research, Research Overhead/Indirect Costs, Research Grant Management)
   8. Research Data Management Strategy/Policy (Tri-Council requirement)

# Academic Quality Assurance

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| 1. A culture of academic quality assurance |
| **AREAS OF FOCUS** |
| There are policy-based processes for ongoing and regular assessment of academic standards and quality, which include input from both students and experts external to the institution. There is evidence of consistent implementation of quality assurance processes and findings. |

### Recommended Submissions

* Institutional governance, policy/procedures related to quality assurance
* Evidence of annual or cyclical (ongoing) program reviews (or equivalent) and/or accreditation procedures
* Engagement in external review processes, and accreditation where appropriate
* Evidence of implementation of outcomes of quality assurance reviews and follow-up

### Assessment Criteria

1. Evidence exists that the policies and procedures governing quality assurance contribute to the ongoing quality of programs with a focus on achievement of outcomes, teaching effectiveness, and student experience.
2. Quality assurance processes, including any resulting decisions and/or action plans, are transparent, performed on a schedule appropriate to high-quality program delivery, and include input from all relevant internal stakeholders (especially students, faculty, and staff) and, where appropriate, external experts and approval bodies.
3. The results of quality assurance processes are communicated to faculty, staff, and students.
4. The organization has appropriate policies, procedures, governance models, or engagement/ feedback strategies in place to engage students as active partners in quality assurance processes.
5. Staff, Students, and Faculty are aware of the types of quality assurance data gathered, how it is stored, and how it may be used. (Adapted from UK QAA).

# Commitment to Diversity, Indigeneity, Ethical Practice, and Accessibility

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| 1. Systemic commitments to diversity, Indigeneity, ethical practice, and accessibility. |
| **AREAS OF FOCUS** |
| Policy-based and funded commitments to each of the identified areas, including clear regulations relating to disputes, conflicts, appeals, due process, and protections for students, faculty, and staff. |

### Recommended Submissions

* Related institutional policies and evidence of policy implementation (such as training and development/education opportunities for faculty, staff and students)
* Grievance/Dispute Resolution Policies
* Student Conduct/Rights & Responsibilities Policies or equivalent
* Indigenization/Indigenous Education Plan (or equivalent); International Education Plan (or equivalent), Student Accessibility Plans or Policies or equivalent

### Assessment Criteria

1. The organization has effective policies and procedures for dealing with disputes between the organization and its students, between the organization and its faculty, and between faculty and students. Complaints, grievances, and/or disputes are appropriately dealt with. There is evidence that the principles of natural justice apply.
2. The organization has appropriate policies and practices for supporting and protecting students concerning such matters as equality and diversity, anti bullying, disability, gender, race, sexual orientation, and the handling of complaints regarding sexual harassment and assault.
3. The organization demonstrates how existing and proposed programs relevant to the Truth and Reconciliation Commission’s Calls to Action (e.g., social work, health care, law, business, public administration, education), engage Indigenous peoples in the development, implementation, and ongoing quality assurance processes of the program and its content.
4. ***If not included under Standard 3 and/or Standard 4,*** the organization describes how it ensures that Faculty whose work (teaching and/or research) involves Indigenous Peoples have agreements with them that uphold Indigenous data collection processes and collaborative research design and include principles of ownership, control, access, and protection to avoid cultural appropriation (OCAP®).
5. ***If not included under Standard 2,*** the organization demonstrates the supports and resources provided for traditionally underrepresented students promoting their admission, retention, and success.
6. ***If not detailed under Standard 2,*** the organization describes how applications from qualified people from traditionally underrepresented groups are encouraged for faculty and staff positions within the context of relevant legislation and the Alberta Human Rights Act.

# Conclusion