

## Worksheet for Preliminary Self-Review Under the Standards (Draft 10-8-03)

### **Purpose of the Worksheet**

This worksheet has been developed to assist planning groups preparing for a WASC review to undertake a preliminary, systematic institutional self-analysis. Every institution is expected to describe in its Proposal how the review will address issues that are priorities in its own context that have arisen from a self-review under Commission Standards. This worksheet has been designed to assist that purpose. Its use is entirely optional and voluntary, and the institution may choose some other means of reviewing itself under the Standards. This worksheet leads planning groups to identify strengths and areas of good practice, as well as areas that may need attention under each Standard and Criteria for Review and that may suggest themes or topics for further exploration in the accreditation review.

### **The WASC Standards and CFRs**

The WASC Standards are the framework of evaluation for the Proposal Review Committee, evaluation team, and the Commission, and are applied within each institution's mission and context. Accreditation judgments are made at the level of the Standard itself. Within each Standard are sub-areas titled "Criteria for Review" (CFRs). Each of the CFRs defines topical areas essential to the Standard and is meant to support the decision about whether the institution meets the Standard. Many of the CFRs have associated Guidelines. The Guidelines identify the expected forms or methods of demonstrating performance. If an institution chooses not to employ the practices described in a particular Guideline, the institution is responsible for showing that it has addressed the intent of the CFR in an equally effective way. The attached worksheet lists the four WASC Standards, their CFRs and associated Guidelines. For a more complete description of the Standards, CFRs, and Guidelines, see the *2001 Handbook*, p. 15-16.

### **Strategies for Using this Worksheet**

The worksheet may be used during the early stages of thinking about the review and writing of the Institutional Proposal or later as part of the preparation for the Preparatory Review. The worksheet is meant to be a heuristic tool for stimulating discussion and exploration, rather than a definitive grading scheme or a mechanical check-list for compliance. Through its use, key areas may be identified where more evidence is needed or more development is required. The planning group for the accreditation review may use the worksheet in any way appropriate to its own way of organizing and its own priorities for the review, and may modify the worksheet in any way that suits its purposes. One approach is to have members of the planning group complete the worksheet individually with responses reviewed by the group and reconciled, as in a modified Delphi approach. Another approach is to divide the worksheet by Standards with different groups completing each Standard, or one group completing Standards 1 and 3 (oriented more toward the capacity review) and one group Standards 2 and 4 (oriented more toward the educational effectiveness review).

Once the institution has completed this self-review process, priorities that are identified using this form should be integrated with the institution's context, goals, and planning in the development of its Institutional Proposal for the accreditation review. Summary questions are provided in the worksheet as a means of assisting institutions determine those areas of greatest concern, or areas of good practice to be addressed or highlighted in the Proposal and Institutional Presentation. Institutions have also found helpful the Questions for Institutional Engagement included in the *Handbook* following each Accreditation Standard.

# Worksheet for Preliminary Self-Review Under the Standards

## Suggested Rating for Columns in the Worksheet:

### **Self Review Rating**

- 1= We do this well; area of strength for us
- 2= Aspects of this need our attention
- 3= This item needs significant development
- 0= Does not apply or not enough evidence to address

### **Importance to address at this time**

- A= High priority
- B= Lower priority
- C= Does not need to be addressed at this time

## **Standard 1. Defining Institutional Purposes and Ensuring Educational Objectives.**

*The institution defines its purposes and establishes educational objectives aligned with its purposes and character. It has a clear and conscious sense of its essential values and character, its distinctive elements, its place in the higher educational community and its relationship to society at large. Through its purposes and educational objectives, the institution dedicates itself to higher learning, the search for truth, and the dissemination of knowledge. The institution functions with integrity and autonomy.*

Criteria for Review	Guideline	Self-Review Rating	Importance to address at this time	Evidence/Evaluation
<b>Institutional Purposes</b>				
1.1 The institution's formally approved statements of purpose and operational practices are appropriate for an institution of higher education and clearly define its essential values and character.	The institution has a published mission statement that clearly describes its purposes. The institution's purposes fall within recognized academic areas and/or disciplines, or are subject to peer review within the framework of generally recognized academic disciplines or areas of practice.			
1.2 Educational objectives are clearly recognized throughout the institution and are consistent with stated purposes. The institution has developed indicators and evidence to ascertain the level of achievement of its purposes and educational objectives.	The institution has published educational objectives that are consistent with its purposes.			
1.3 The institution's leadership creates and sustains a leadership system at all levels that is marked by high performance, appropriate responsibility, and accountability.				

Criteria for Review	Guideline	Self-Review	Importance to address at this time	Evidence/Evaluation
<b>Integrity</b>				
1.4 The institution publicly states its commitment to academic freedom for faculty, staff, and students, and acts accordingly. This commitment affirms that those in the academy are free to share their convictions and responsible conclusions with their colleagues and students in their teaching and in their writing.	The institution has published or has readily available policies on academic freedom. For those institutions that strive to instill specific beliefs and world views, policies clearly state conditions, and ensure these conditions are consistent with academic freedom. Due process procedures are disseminated, demonstrating that faculty and students are protected in their quest for truth.			
1.5 Consistent with its purposes and character, the institution demonstrates an appropriate response to the increasing diversity in society through its policies, its educational and co-curricular programs, and its administrative and organizational practices.	The institution has demonstrated institutional commitment to the principles enunciated in the WASC Statement on Diversity.			
1.6 Even when supported by or affiliated with political, corporate, or religious organizations, the institution has education as its primary purpose and operates as an academic institution with appropriate autonomy.	The institution has no history of interference in substantive decisions or educational functions by political, religious, corporate or other external bodies outside the institution's own governance arrangements.			
1.7 The institution truthfully represents its academic goals, programs, and services to students and to the larger public; demonstrates that its academic programs can be completed in a timely fashion and treats students fairly and equitably through established policies and procedures addressing student conduct, grievances, human subjects in research and refunds.	The institution has published or readily-available policies on student grievances and complaints, refunds, etc. and has no history of adverse findings against it with respect to violation of these policies. Records of student complaints are maintained for a six-year period. The institution clearly defines and distinguishes between the different types of credits it offers and between degree and non-degree credit, and accurately identifies the type and meaning of the credit awarded in its transcripts.			
1.8 The institution exhibits integrity in its operations as demonstrated by the implementation of appropriate policies, sound business practices, timely and fair responses to complaints and grievances, and regular evaluation of its performance in these areas.	The institution has published or readily-available grievance procedures for faculty, staff, and students. Its finances are regularly audited by external agencies.			

## Synthesis/Reflections on Standard One

1. After completing this analysis, what are the 2 or 3 most important issues that should be emphasized in the Review under this Standard?

2. Looking overall at the quality and effectiveness of the institution's data gathering and systems to support the review process, what are institutional **strengths** for the Preparatory Review? For the Educational Effectiveness Review?

3. Looking again at the overall quality and effectiveness of the institution's data gathering and systems, what are **areas to be addressed or improved** for the Preparatory Review? For the Educational Effectiveness Review?

## Standard 2. Achieving Educational Objectives Through Core Functions

*The institution achieves its institutional purposes and attains its educational objectives through the core functions of teaching and learning, scholarship and creative activity, and support for student learning. It demonstrates that these core functions are performed effectively and that they support one another in the institution's efforts to attain educational effectiveness.*

Criteria for Review	Guidelines	Self-Review	Importance to address at this time)	Evidence/Evaluation
<b>Teaching and Learning</b>				
2.1 The institution's educational programs are appropriate in content, standards, and nomenclature for the degree level awarded, regardless of mode of delivery, and are staffed by sufficient numbers of faculty qualified for the type and level of curriculum offered.	The content, length, and standards of the institution's academic programs conform to recognized disciplinary or professional standards and are subject to peer review.			
2.2 All degrees—undergraduate and graduate—awarded by the institution are clearly defined in terms of entry-level requirements and in terms of levels of student achievement necessary for graduation that represent more than simply an accumulation of courses or credits.	Competencies required for graduation are reflected in course syllabi for both General Education and the major.			
♦ Baccalaureate programs engage students in an integrated course of study of sufficient breadth and depth to prepare them for work, citizenship, and a fulfilling life. These programs also ensure the development of core learning abilities and competencies including, but not limited to, college-level written and oral communication; college-level quantitative skills; information literacy; and the habit of critical analysis of data and argument. In addition, baccalaureate programs actively foster an understanding of diversity; civic responsibility; the ability to work with others; and the capability to engage in lifelong learning.	The institution has a program of General Education that is integrated throughout the curriculum, including at the upper division level, consisting of a minimum of 45 semester credit hours (or the equivalent), together with significant study in depth in a given area of knowledge (typically described in terms of a major).			

Criteria for Review	Guideline	Self-Review	Importance to address at this time	Evidence/Evaluation
<p>Baccalaureate programs also ensure breadth for all students in the areas of cultural and aesthetic, social and political, as well as scientific and technical knowledge expected of educated persons in this society. Finally, students are required to engage in an in-depth, focused, and sustained program of study as part of their baccalaureate programs.</p>				
<p>◆ Graduate programs are consistent with the purpose and character of their institutions; are in keeping with the expectations of their respective disciplines and professions; and are described through nomenclature that is appropriate to the several levels of graduate and professional degrees offered. Graduate curricula are visibly structured to include active involvement with the literature of the field and ongoing student engagement in research and/or appropriate high-level professional practice and training experiences. Additionally, admission criteria to graduate programs normally include a baccalaureate degree in an appropriate undergraduate program.</p>	<p>The institution employs at least one full-time faculty member for each graduate degree program offered.</p>			
<p>2.3 The institution's expectations for learning and student attainment are clearly reflected in its academic programs and policies. These include the organization and content of the institution's curricula; admissions and graduation policies; the organization and delivery of advisement; the use of its library and information resources; and (where applicable) experience in the wider learning environment provided by the campus and/or co-curriculum.</p>	<p>The use of information and learning resources beyond textbooks is evidenced in syllabi throughout the undergraduate and graduate curriculum.</p>			

Criteria for Review	Guideline	Self-Review	Importance to address at this time	Evidence/Evaluation
2.4 The institution's expectations for learning and student attainment are developed and widely shared among its members (including faculty, students, staff, and where appropriate, external stakeholders). The institution's faculty takes collective responsibility for establishing, reviewing, fostering, and demonstrating the attainment of these expectations.				
2.5 The institution's academic programs actively involve students in learning, challenge them to achieve high expectations, and provide them with appropriate and ongoing feedback about their performance and how it can be improved.				
2.6 The institution demonstrates that its graduates consistently achieve its stated levels of attainment and ensures that its expectations for student learning are embedded in the standards faculty use to evaluate student work.				
2.7 In order to improve currency and effectiveness, all programs offered by the institution are subject to review, including analyses of the achievement of the program's learning objectives and outcomes. Where appropriate, evidence from external constituencies such as employers and professional societies is included in such reviews.	The institution incorporates its assessment of educational objectives results with respect to student achievement, including program completion, license examination, and placement rates results.			
<b>Scholarship and Creative Activity</b>				
2.8 The institution actively values and promotes scholarship, curricular and instructional innovations, and creative activity, as well as their dissemination at levels and of the kinds appropriate to the institution's purposes and character.				

Criteria for Review	Guideline	Self-Review	Importance to address at this time	Evidence/Evaluation
2.9 The institution recognizes and promotes appropriate linkages among scholarship, teaching, student learning and service.				
<b>Support for Student Learning</b>				
2.10. Regardless of mode of program delivery, the institution regularly identifies the characteristics of its students and assesses their needs, experiences and levels of satisfaction. This information is used to help shape a learning-centered environment and to actively promote student success.	The institution's policy on grading and student evaluation is clearly stated, and provides opportunity for appeal as needed; and periodic analyses of grades and evaluation procedures are conducted to assess the rigor and impact of these policies.			
2.11 Consistent with its purposes, the institution develops and implements co-curricular programs that are integrated with its academic goals and programs, and supports student professional and personal development.				
2.12. The institution ensures that all students understand the requirements of their academic programs and receive timely, useful, and regular information and advising about relevant academic requirements.	Recruiting and admission practices, academic calendars, publications, and advertising are accurate, current, disclosing, and are readily available to support student needs.			
2.13. Student support services—including financial aid, registration, advising, career counseling, computer labs, and library and information services—are designed to meet the needs of the specific types of students the institution serves and the curricula it offers.				
2.14. Institutions that serve transfer students assume an obligation to provide clear and accurate information about transfer requirements, ensure equitable treatment for such students with respect to academic policies, and ensure that such students are not unduly disadvantaged by transfer requirements.				

## Synthesis/Reflections on Standard Two

1. After completing this analysis, what are the 2 or 3 most important issues that should be emphasized in the Review under this Standard?

2. Looking overall at the quality and effectiveness of the institution's data gathering and systems to support the review process, what are institutional **strengths** for the Preparatory Review? For the Educational Effectiveness Review?

3. Looking again at the overall quality and effectiveness of the institution's data gathering and systems, what are **areas to be addressed or improved** for the Preparatory Review? For the Educational Effectiveness Review?

### Standard 3. Developing and Applying Resources and Organizational Structures to Ensure Sustainability

*The institution sustains its operations and supports the achievement of its educational objectives through its investment in human, physical, fiscal and information resources and through an appropriate and effective set of organizational and decision-making structures. These key resources and organizational structures promote the achievement of institutional purposes and educational objectives and create a high quality environment for learning.*

Criteria for Review	Guidelines	Self-Review	Importance to address at this time	Evidence/Evaluation
<b>Faculty and Staff</b>				
3.1 The institution employs personnel sufficient in number and professional qualifications to maintain its operations and to support its academic programs, consistent with its institutional and educational objectives.				
3.2. The institution demonstrates that it employs a faculty with substantial and continuing commitment to the institution sufficient in number, professional qualifications, and diversity to achieve its educational objectives, to establish and oversee academic policies, and to ensure the integrity and continuity of its academic programs wherever and however delivered.	The institution has an instructional staffing plan that includes a sufficient number of full-time faculty with appropriate background by discipline and degree levels.			
3.3. Faculty and staff recruitment, workload, incentive, and evaluation practices are aligned with institutional purposes and educational objectives. Evaluation processes are systematic, include appropriate peer review, and, for instructional faculty and other teaching staff, involve consideration of evidence of teaching effectiveness, including student evaluations of instruction.				
3.4. The institution maintains appropriate and sufficiently supported faculty development activities designed to improve teaching and learning consistent with its educational objectives and institutional purposes.				

Criteria for Review	Guideline	Self-Review	Importance to address at this time	Evidence/Evaluation
<b>Fiscal, Physical, and Information Resources</b>				
3.5. Fiscal and physical resources are effectively aligned with institutional purposes and educational objectives, and are sufficiently developed to support and maintain the level and kinds of educational programs offered both now and for the foreseeable future.	The institution has a history of financial stability, appropriate independent audits, and realistic plans to eliminate any accumulated deficits and to build sufficient reserves to support long-term viability.			
3.6. The institution holds, or provides access to, information resources sufficient in scope, quality, currency, and kind to support its academic offerings and the scholarship of its members. For on-campus students and students enrolled at a distance, physical and information resources, services, and information technology facilities are sufficient in scope and kinds to support and maintain the level and kind of education offered. These resources, services and facilities are consistent with the institution's purposes, and are appropriate, sufficient, and sustainable.				
3.7. The institution's information technology resources are sufficiently coordinated and supported to fulfill its educational purposes and to provide key academic and administrative functions.				
<b>Organizational Structures and Decision- Making Processes.</b>				
3.8. The institution's organizational structures and decision-making processes are clear, consistent with its purposes, and sufficient to support effective decision making.	The institution has an organization chart that clearly depicts positions, associated responsibilities, and lines of authority.			

Criteria for Review	Guideline	Self-Review	Importance to address at this time	Evidence/Evaluation
3.9. The institution has an independent governing board or similar authority that, consistent with its legal and fiduciary authority, exercises appropriate oversight over institutional integrity, policies, and ongoing operations, including hiring and evaluating the chief executive officer.				
3.10. The institution has a chief executive whose full-time responsibility is to the institution, together with a cadre of administrators qualified and able to provide effective educational leadership and management at all levels.				
3.11. The institution's faculty exercises effective academic leadership and acts consistently to ensure both academic quality and the appropriate maintenance of the institution's educational purposes and character.				

## Synthesis/Reflections on Standard Three

1. After completing this analysis, what are the 2 or 3 most important issues that should be emphasized in the Review under this Standard?

2. Looking overall at the quality and effectiveness of the institution's data gathering and systems to support the review process, what are institutional **strengths** for the Preparatory Review? For the Educational Effectiveness Review?

3. Looking again at the overall quality and effectiveness of the institution's data gathering and systems, what are **areas to be addressed or improved** for the Preparatory Review? For the Educational Effectiveness Review?

**Standard 4. Creating an Organization Committed to Learning and Improvement**

*The institution conducts sustained, evidence-based, and participatory discussions about how effectively it is accomplishing its purposes and achieving its educational objectives. These activities inform both institutional planning and systematic evaluations of educational effectiveness. The results of institutional inquiry, research, and data collection are used to establish priorities at different levels of the institution, and to revise institutional purposes, structures, and approaches to teaching, learning, and scholarly work.*

Criteria for Review	Guidelines	Self-Review	Importance to address at this time	Evidence/Evaluation
<b>Strategic Thinking and Planning</b>				
4.1. The institution periodically engages its multiple constituencies in institutional reflection and planning processes which assess its strategic position; articulate priorities; examine the alignment of its purposes, core functions and resources; and define the future direction of the institution. The institution monitors the effectiveness of the implementation of its plans and revises them as appropriate.	A clear charge to planning bodies with a regular schedule and the existence of an understandable and coherent plan for assessing the attainment of educational objectives must be developed. Evidence of the ways the results of planning and evaluation are linked to decision-making is demonstrable.			
4.2. Planning processes at the institution define and, to the extent possible, align academic, personnel, fiscal, physical, and technological needs with the strategic objectives and priorities of the institution.				
4.3. Planning processes are informed by appropriately defined and analyzed quantitative and qualitative data, and include consideration of evidence of educational effectiveness, including student learning.				
4.4. The institution employs a deliberate set of quality assurance processes at each level of institutional functioning, including new curriculum and program approval processes, periodic program review, ongoing evaluation, and data collection. These processes involve assessments of effectiveness, track results over time, and use the results of these assessments to revise and improve structures, and processes, curricula, and pedagogy.				

Criteria for Review	Guideline	Self-Review	Importance to address at this time	Evidence/Evaluation
<b>Commitment to Learning and Improvement</b>				
4.5. Institutional research addresses strategic data needs, is disseminated in a timely manner, and is incorporated in institutional review and decision-making processes. Included among the priorities of institutional research function is the identification of indicators and the collection of appropriate data to support the assessment of student learning consistent with the institution's purposes and educational objectives. Periodic reviews of institutional research and data collection are conducted to develop more effective indicators of performance and to assure the suitability and usefulness of data.	The institution exhibits existence of clear institutional research capacities with appropriate reporting lines and support appropriate to the institution's size and scope. Institutional research or equivalent databases are developed that are sufficient to meet all external reporting needs (e.g. IPEDS), and there are appropriate ways to access or disseminate this information through publications, reports, or widely-accessible databases.			
4.6 Leadership at all levels is committed to improvement based on the results of the processes of inquiry, evaluation and assessment used throughout the institution. The faculty take responsibility for evaluating the effectiveness of the teaching and learning process and use the results for improvement. Assessments of the campus environment in support of academic and co-curricular objectives are also undertaken and used, and are incorporated into institutional planning.	The institution has clear, well-established policies and practices for gathering and analyzing information that leads to a culture of evidence and improvement.			
4.7. The institution, with significant faculty involvement, engages in ongoing inquiry into the processes of teaching and learning, as well as into the conditions and practices that promote the kinds and levels of learning intended by the institution. The outcomes of such inquiries are applied to the design of curricula, the design and practice of pedagogy, and to the improvement of evaluation means and methodology.				
4.8. Appropriate stakeholders, including alumni, employers, practitioners, and others defined by the institution, are involved in the assessment of the effectiveness of the educational programs.				

## Synthesis/Reflections on Standard Four

1. After completing this analysis, what are the 2 or 3 most important issues that should be emphasized in the Review under this Standard?

2. Looking overall at the quality and effectiveness of the institution's data gathering and systems to support the review process, what are institutional **strengths** for the Preparatory Review? For the Educational Effectiveness Review?

3. Looking again at the overall quality and effectiveness of the institution's data gathering and systems, what are **areas to be addressed or improved** for the Preparatory Review? For the Educational Effectiveness Review?

## Summative Questions

1. Who participated in preparing this self inventory? What approach was used in completing the worksheet?

2. What areas were identified as issues or concerns to be addressed before the review?

3. What areas emerged as either institutional strengths or topics for further exploration that might be targeted as themes or topics to be explored in the review?

4. What are the next steps in preparing for the accreditation review?

