Academic Auditor Training
2020-21

Office of Academic Affairs
Purpose and Timeline

Session 1 of 3
What is the Academic Audit?

FACULTY-driven peer feedback

Improve teaching and learning processes

STUDENT SUCCESS

WORKFORCE DEVELOPMENT
The Academic Audit is used for...

- Institutional Effectiveness/SACSCOC
- Quality Assurance Funding (QAF)
- Continuous Quality Improvement
Quality Assurance Funding: 2020-25 Cycle Standards

“Institutions may earn an additional 5.45 percent over operating budgets based on performance on metrics particular to their sector and aligned to the Tennessee Higher Education Master Plan.”
QAF: 2020-25 Cycle Standards

- January 2020, THEC approves 2020-25 Tennessee Higher Education Master Plan

- High quality credentials for sustainable careers.

- Emphasizes examining learning outcomes
QAF: 2020-25 Cycle Standards

“Learning outcomes must ensure that all students have the tools necessary for success including low-income students and students of color who remain underrepresented in public higher education in Tennessee.”
QAF: 2020-25 Cycle Standards

<table>
<thead>
<tr>
<th>QAF Cycle Revisions</th>
<th>Community College</th>
<th>University</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. General Education</td>
<td>15</td>
<td>10</td>
</tr>
<tr>
<td>2. Major Field Assessment</td>
<td>15</td>
<td>15</td>
</tr>
<tr>
<td>3. Academic Programs</td>
<td>15</td>
<td>25</td>
</tr>
<tr>
<td>o Specialty Accreditation</td>
<td>5</td>
<td>15</td>
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<tr>
<td>o Program Evaluation</td>
<td>10</td>
<td>10</td>
</tr>
<tr>
<td>4. Institutional Satisfaction</td>
<td>10</td>
<td>10</td>
</tr>
<tr>
<td>5. Student Equity</td>
<td>-</td>
<td>10</td>
</tr>
<tr>
<td>Adult Learner Success</td>
<td>10</td>
<td>-</td>
</tr>
<tr>
<td>6. Job Placement</td>
<td>10</td>
<td>10</td>
</tr>
<tr>
<td>7. Student Access &amp; Success</td>
<td>25</td>
<td>20</td>
</tr>
<tr>
<td>TOTAL</td>
<td>100</td>
<td>100</td>
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</tbody>
</table>
QAF: 2020-25 Cycle Standards

Major Themes

- Increase Points Associated with Accreditation
- Focus on Student Equity
- Further Emphasis on Quality
- Workforce Alignment
Academic Audit Timeline

1. **Self Study process** – 3 August 2020 – 29 January 2021

2. **Written Self Study Report** – 29 January 2021

3. **Audit Team Virtual Site Visit** – 15 March – 16 April 2021

4. **Auditor Team Written Report** - 7 May 2021
The Academic Auditor Team

- Three to two trained members
- Experienced team leader
- In-Discipline member
- Functions as a Peer Review Team to provide
  - Recognition of highly effective practices
  - Support of noteworthy endeavors
  - Suggestions for improvement
Conflicts of interest [Guide p 5]

- Prior interactions between institution and auditor are anticipated
- Avoid excessive bias either
  - Favorably or
  - Unfavorably
Timeline

0 Today - training
0 February – March
1. Confer with Team
2. Review Self-study
3. Prepare for the Site Visit
0 March- April: Site Visit ___________
0 By May 7th: Write and submit report
1. Confer with team members
   - Discuss plans for the **virtual** site visit
     - MS Teams, team meeting
   - Plan virtual site visit schedule
   - Decide on assigned **Focal Areas**
   - Develop questions/prompts
   - Review **NEW** QAF Rubric criteria
2. Review the Self Study

- Read/review entire report, appendices and web links
- Focus on your assigned focal areas
- Develop questions/prompts for each stakeholder group
- Identify possible “CARs”
- Review **NEW** QAF Rubric criteria
The Self Study Report
Table of Contents

1. Introduction
2. Overall Quality Assurance
3. Quality Assurance by Focal Area
4. Potential Initiatives
5. Matrix of Improvement Initiatives
6. Follow-up report (if previous visit)
7. Appendix
3. Prepare for the Virtual Site Visit

- Make virtual arrangements with assistance from TBR Central Office and Campus Coordinator
- Stakeholder group questions/prompts
- Discuss/merge possible “CARs”
- Review NEW QAF Rubric criteria*

* Only for programs using the Academic Audit for Quality Assurance Funding
# Academic Auditor Team

**VIRTUAL Visit Schedule**

<table>
<thead>
<tr>
<th>Session</th>
<th>Attendees</th>
<th>Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>Opening Session</td>
<td>All</td>
<td>8:30 am</td>
</tr>
<tr>
<td>Meeting #1</td>
<td>Faculty</td>
<td>9:00 – 10:00 am</td>
</tr>
<tr>
<td>Meeting #2</td>
<td>Students</td>
<td>10:15 – 11:15 am</td>
</tr>
<tr>
<td>Meeting #3</td>
<td>Stakeholders</td>
<td>11:30 – 12:30 pm</td>
</tr>
<tr>
<td>Work Time</td>
<td>Audit Team only</td>
<td>1:30 – 3:30 pm</td>
</tr>
<tr>
<td>Exit Session</td>
<td>All</td>
<td>3:30 – 4:00 pm</td>
</tr>
</tbody>
</table>
Prelude to the Virtual Site Visit

1. Discuss key issues
2. Review virtual visit schedule, logistics
3. Clarify roles – who asks, who notates...
During the **Virtual** Site Visit Conversations

- Provide clear, short, open-ended prompts about processes and experiences (‘how’ more than ‘what’)
- Listen for understanding
- Follow-up to “clarify and verify”
- Be aware of the **time**
- Take notes (share this task)
Session One Ends
Quality Philosophy
Continuous Improvement

Session 2 of 3
7.1 Institutional Planning and Effectiveness – 

Effective institutions demonstrate a commitment to principles of continuous improvements, based on a systematic and documented process of assessing institutional performance with respect to mission in all aspects of the institution. An institutional planning and effectiveness process involves all programs, services, and constituencies; is linked to the decision-making process at all levels; and provides a sound basis for budgetary decisions and resource allocations.
Why:
Institutional Effectiveness - SACSCOC

7.2 Quality Enhancement Plan -

The Quality Enhancement Plan (QEP) is an integral component of the reaffirmation of accreditation process and is derived from an institution’s ongoing comprehensive planning and evaluation processes. It reflects and affirms a commitment to enhance overall institutional quality and effectiveness by focusing on an issue the institution considers important to improving student learning outcomes and/or student success.

Section 8: Student Achievement

Student learning and student success are at the core of the mission of all institutions of higher learning. Effective institutions focus on the design and improvement of educational experiences to enhance student learning and support student learning outcomes for its educational programs. To meet the goals of educational programs, an institution provides appropriate academic and student services to support student success.
Why: Student Success - SACSCOC

Section 8: Student Achievement

1. An institution needs to be able to document its success with respect to student achievement. In doing so, it may use a broad range of criteria to include, as appropriate: enrollment data; retention, graduation, or course completion; job placement rates; state licensing examinations; student portfolios; or other means of demonstrating achievement of goals.

Why: Student Success - SACSCOC

Section 8: Student Achievement

1. Note the three related obligations of the institution in order to meet this standard: student achievement goals (target levels of performance) must be identified; data for student achievement must be presented and evaluated (outcomes); and both the goals and the outcomes must be published. For purposes of this standard, “multiple measures” refers to several distinct outcomes, not multiple ways of measuring the same outcome. Being published means in a way accessible to the public—not published only behind an internal firewall.

Why:
Quality Assurance Funding (QAF)

- Accepted by THEC since 2005 as a means of program evaluation for non-accreditible degree and certificate programs for Quality Assurance Funding.
- QAF Academic Audit Rubric is completed by the Academic Auditor Team and results in a score that is computed into the QAF formula.
- This Rubric was revised for the 2021-2025 cycle.
Some measures more important than others
Dynamic Measures
A family of measures
A Strategic System of measures
Objective: We’ll know it when we see it?
Objective: Measure everything!
Objective: Win Games– Call the next trained play
Objective: Simple?
Objective: Performance Measures
Defining Performance

- Profitability/Budgetability
- Effectiveness
- Innovation
- Efficiency

Sink 1985
Defining Performance

- Productivity
- Quality of Work Life
- Quality

Sink 1985
Transcendent Quality

I know it when I see it

Gavin 1987
Product Based Quality

- Feature differences

$\text{Product 1, 9.9 APR}$
$50k \text{ MPG}$

$\text{Product 2, 13.9 APR}$
$.000000005 \text{ MPG}$

Gavin 1987
User-based Quality

Fitness for use

Gavin 1987
Manufacturing Based Quality

Meets specifications

Gavin 1987
Value Based Quality

Cost/Benefit Analysis

Gavin 1987
Quality = Defined by the Customer

- Value Based
  - Manufacturing Based
  - Product Based
  - User Based
  - Transcendent

- Product Based
  - Transcendent

- Value Based
  - Manufacturing Based

- Customer
  - Outputs

- Supplier
  - Inputs
Quality Checkpoints

- Who is the Customer?

- What have we done to meet or exceed customer expectations?

- What must we do to meet or exceed customer expectations?

- How do we know these future actions meet or exceed customer expectations?
Underlying Quality Principles or
How do You know Quality when you see it?

1. Define quality in terms of OUTCOMES
2. Focus on PROCESS
3. Work COLLABORATIVELY
4. Base decisions on EVIDENCE
5. Strive for COHERENCE
6. Learn from BEST PRACTICE
7. Make CONTINUOUS IMPROVEMENT a priority
Session Two Ends
Evaluation and the Report

Session 3 of 3
To Finalize during the Site Visit Work Time

“CARs”

- Onsite Evaluation Checklist
- Commendations
- Affirmations
- Recommendations
Commendations

Processes, practices, initiatives, and commitments that are particularly praiseworthy and merit recognition of a superior process and practice.
Affirmations

Processes, practices, or plans that warrant the auditor team’s support and encouragement cited in Matrix of Improvement Initiatives that the audit team especially advocates (sometimes all)
Recommendations

Descriptive NOT Prescriptive value-added opportunities for improvement
not cited in the Matrix of Improvement
Initiatives
To Present at the Exit Session

- Onsite Evaluation Checklist (signed by auditor team)
  - Commendations
  - Affirmations
  - Recommendations

- QAF Rubric – ONLY IF REQUIRED AND ONLY IF READY
Exit Session: Auditor Team Presentation

- 15 - 20 minutes in length
- To program faculty, administrators, and guests
- Orally & in writing CARs
- Written QAF Rubric – Only if ready
- Not a time for discussion, explanation or disputation
THEC Rubric

Only required if your program is undergoing the academic audit for Quality Assurance Funding purpose

- QAF Academic Audit Rubric
  - QAF programs only
    - Undergraduate
    - Graduate
The Academic Auditor Team Evaluation for QAF Rubric

- Not Applicable
- Not Evident
- Emerging
- Established
- Highly Developed
The Academic Auditor Team Evaluation for QAF Rubric

- Not Evident
  - Program does not address the criterion in the Self Study documents.
  - Program responses to questions during the site visit do not demonstrate that criterion has been addressed or that a plan is in process to address the criterion.
The Academic Auditor Team Evaluation for QAF Rubric

Emerging

- Program indicates the criterion as an area that has only recently been addressed.
- Program has a planning process in place to address this criterion or is in initial stages of plan implementation.
The Academic Auditor Team Evaluation for QAF Rubric

- Established
  - Program demonstrates that its plans, activities and assessments of the criterion are in place in an appropriate, reasonable and well-organized manner.
  - Program faculty are aware of and participate in continuous improvement processes related to the criterion.
The Academic Auditor Team Evaluation for QAF Rubric

Highly Developed

Program thoroughly exhibits that its plans, activities and assessments of the criterion are fully articulated and richly incorporated into the culture of the program. This includes the active engagement of all FACULTY (full and part-time) as well as students and other stakeholders as pertinent to the criterion.

Program demonstrates the use of results of assessments regarding the criterion for ongoing improvement of performance in that criterion.
QAF Rubric Criteria – Focal Areas

1. Learning Outcomes
2. Curriculum and Co-Curriculum
3. Teaching and Learning
4. Student Learning Assessment
QAF RUBRIC CRITERIA

Undergraduate

5. Support

6. Academic Audit Process

7. Follow-up of Previous Audit
Post-Site Visit
Write and Submit Report

- Complete final written report of the Auditor Team
- Provide contributions as agreed upon with team
- Explain Recommendations
- Discuss areas for growth from QAF Rubric
- Proofread final report

Submit to TBR by deadline: Friday, 7 May 2021
for more information...

https://www.tbr.edu/academics/academic-audit

Office of Academic Affairs
Tennessee Board of Regents