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MEMORANDUM

ATTENTION Senate **DATE** December 10, 2015
FROM Jon Driver **PAGES** 2
RE: Vice President, Academic and Provost
 NWCCU Accreditation: Comprehensive Self Evaluation Report (Draft #2)

Since 2009, SFU has been in the process of applying for accreditation with the Northwest Commission on Colleges and Universities (NWCCU). Institutional accreditation examines the overall governance and management of the university in relation to its stated mission and goals. It is distinct from accreditation of academic programs by professional bodies (such as occurs in business, engineering, health sciences, etc.) but similar to the external review of academic programs with the preparation of a self-study report (at the institutional level for NWCCU accreditation) and a site visit by an Evaluation Committee.

The attached draft Comprehensive Self Evaluation Report is being submitted to Senate for comment. The Report, as well as the April 6-8, 2016 site visit, is the last step in seeking accreditation from the NWCCU. The contents of the Report are as follows:

Response to Topics Previously Requested by the Commission

Reports on progress made to recommendations resulting from previous NWCCU peer-evaluation reports.

Chapter 1

Defines SFU's Vision/Mission, core themes, fundamental theme and the criteria by which the assessments in Chapter 4 will be carried out.

Chapter 2

Responds to approximately 80 standards on SFU's resources and capacity. It explains in some detail the Canadian and British Columbian contexts for an American audience. Subheadings are taken from NWCCU's standards.

Chapter 3

Describes SFU's major institutional planning processes.

Chapter 4

Covers the planning and assessment of SFU's core themes and fundamental theme.

Chapter 5

Addresses how well SFU is achieving its Vision/Mission and its ability to adapt and sustain itself.

This is an opportunity for you to comment on the substance of the Report, as well as possible omissions, contradictions, etc. All data and electronic links will be checked before the Report is submitted to the NWCCU in early February.

Comments should be submitted to accredit@sfu.ca by no later than January 13, 2016 and should reference chapter, page, heading/subheading and paragraph number.

NWCCU Accreditation: Comprehensive Self Evaluation Report (Draft #2)
December 10, 2015

The Accreditation Steering Committee (President, Vice Presidents and Deans) has reviewed the draft Report. It is also to be made available for comment to the Board of Governors and the SFU community in January 2016.

c: Glynn Nicholls



Simon Fraser University's
Comprehensive Initial Accreditation Self Evaluation Report
to the Northwest Commission on Colleges and Universities

December 2015
(Draft 2)



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Institutional Overview

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Institutional Overview

Simon Fraser University (SFU) was created in 1963 by the government of British Columbia to relieve enrollment pressures on the University of British Columbia by providing basic programs in the arts and sciences and teacher education. The province created SFU by amending the *University Act*¹ that governed the University of British Columbia, which ultimately granted SFU a significant measure of autonomy. SFU's first chancellor, Gordon Shrum, was quick to exploit this by expanding the University's mandate to incorporate graduate education and research, thus, setting the stage for SFU's quick rise to prominence as both a teaching and research intensive institution. When it opened its doors in 1965, SFU's 2500 new students included 83 graduate students, 33 of whom were PhD candidates.

SFU's institutional culture was profoundly shaped by its birth in the cultural ferment of the mid-1960s. From the outset, there was a visionary quality to SFU's creation, and that vision—in keeping with its moment—was experimental, fluid, and surprisingly and consciously democratic.

In many ways, SFU's youth shaped its future: newly minted PhDs came to SFU seeking an opportunity to shape the new University in ways not possible at older institutions. They were young and idealistic and their hopes were more than met. Empowered beyond their expectations within the new and quickly developing institution, they brought their youthful energies, creativity, and desire for innovation, and built them into the fabric of SFU's institutional culture. In doing so, they contributed enormously to the boldness and the willingness to try new ideas and approaches that still distinguish SFU. Innovative faculty were matched with adventurous students, who chose SFU precisely because it was new and promised to be different.

Among Canadian universities, SFU was the first to introduce the trimester system (1964), to offer athletic scholarships (1964), to instill student representation on its senate (1967), to create an executive MBA (1968), to implement computerized registration (1970), and to appoint a female president (Dr. Pauline Jewett—1974). This tradition of innovation continues into the present day, with SFU becoming the first university outside of the United States to achieve provisional status in the National Collegiate Athletic Association, or NCAA (2011).

SFU, currently celebrating its 50th anniversary, has grown into one of Canada's premier comprehensive universities and British Columbia's second largest research intensive university. It boasts three campuses in three adjacent cities within the lower mainland of BC: Burnaby (its main campus), Vancouver, and Surrey. SFU has approximately 35,000 students enrolled in for-credit programs, another 20,000 participating annually in non-credit programs, 3000 faculty and staff, and over 130,000 alumni. SFU's economic impact for 2012/13 was estimated to be in the order of \$4.72 billion.

¹ http://www.bclaws.ca/EPLibraries/bclaws_new/document/ID/freeside/00_96468_01

**Response to Topics Previously Requested
by the Commission**

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Initial Candidacy Self Evaluation Report (August 2011)

Recommendation 1 – Indicators for Assessment

The committee recommends that the University develop a manageable set of meaningful, assessable, and verifiable indicators for assessment of its cores themes, programs and services and ensure that it has the capacity to collect, assess, disseminate and utilize the data for institutional improvement (Standards 1.B.2, 2.C.1, 3.B.3, 4.A.1, 4.A.5, 4.B.1).

Year One Self Evaluation Report (August 2012)

Recommendation 2 – Alignment of Outcomes and Indicators

While the university has identified core themes, outcomes, and indicators of achievement, the evaluation committee found unevenness in the indicators of achievement in relationship to the goals, stated strategies, and outcomes. The evaluation committee recommends that outcomes and indicators of achievement be aligned to provide evidence consistent with the goals and strategies for all core themes on mission fulfillment (Standard 1.B.2).

Progress to Date

Simon Fraser University's Vision/Mission was developed after extensive consultation within and beyond the University and was launched in February 2012. In support of this Vision/Mission, SFU adopted three core themes, each with its associated goal. The Vision/Mission and its core themes are depicted in the figure below.

Figure 1: SFU's Vision/Mission

<p>TO BE THE LEADING ENGAGED UNIVERSITY DEFINED BY ITS DYNAMIC INTEGRATION OF INNOVATIVE EDUCATION, CUTTING-EDGE RESEARCH, AND FAR REACHING COMMUNITY ENGAGEMENT.</p> <ul style="list-style-type: none">ENGAGING STUDENTS To equip students with the knowledge, skills, and experiences that prepare them for life in an ever-changing and challenging world.ENGAGING RESEARCH To be a world leader in knowledge mobilization building on a strong foundation of fundamental research.ENGAGING COMMUNITIES To be Canada's most community-engaged research university.

Following the launch of the Vision/Mission, the University Planning Framework was developed. Its aim is to show how SFU's Vision/Mission is to be achieved and supported through the contributions of institutional plans and planning processes.

Outcomes were determined for each core theme's goal. For each outcome, a number of indicators were identified, each with a rationale for its adoption as a valid and reliable indicator of progress. These indicators are expected to provide a means of assessing whether each outcome is being achieved.

During the development of the Planning Framework, a fourth theme was added: Leveraging Institutional Strength. This fundamental theme supports the three core themes. Its intent is to ensure that resources and capacity are in place so that core theme activities can be carried out.

Ultimately, the Framework's purpose is to provide direction for all University planning activities and to ensure such planning aligns with the Vision/Mission. For example, the Academic Plan 2013-2018 is closely aligned to the three core themes of the Vision/Mission and follows the philosophies and principles of the University Planning Framework. The first assessment was completed November 2014. The Faculty Plans are aligned with the Academic Plan and also cover the three core themes.

Two years after the launch of the Vision/Mission and the release of the Planning Framework, SFU undertook its first Strategic Review in 2014. The Review served as the University's first self-assessment of Vision/Mission fulfillment, based on indicators identified in the Planning Framework.

The University Planning Committee undertook a careful analysis of the data collected by the Institutional Research and Planning department. The committee assessed each indicator as either "on course" or "needs review." If an indicator showed a positive trend or remained relatively neutral, that indicator was deemed to be "on course." If an indicator showed a negative (or downward) trend, that indicator was assessed as "needs review." According to the results, the committee made an overall assessment that the themes' associated goals were being achieved; therefore, the University Vision/Mission was being fulfilled.

The Strategic Review was approved by the President and Vice-Presidents and reviewed by Senate and the Board of Governors. It has since been placed on the University's web site as a public document.

In addition to providing its assessment of Vision/Mission fulfillment, the committee suggested improving the indicators. Four Theme Teams were established to assess the indicators for their relevance to Vision/Mission fulfillment, and to recommend changes where deemed necessary to the University Planning Committee.

The Theme Teams' recommendations regarding the indicators were reviewed by the University Planning Committee and approved by the President and Vice-Presidents for incorporation into the next iteration of the University Planning Framework.

The figure below demonstrates the University's assessment approach, beginning with the Vision/Mission, through the core themes, to outcomes, indicators and their rationale, to a review of performance, and subsequent assessment of Vision/Mission fulfillment.

Figure 2: Assessing the Indicators to Determine Vision/Mission Fulfillment

SFU undertook a second Strategic Review in 2015 (appendix A) for this Comprehensive Initial Accreditation Self Evaluation report, and certain indicators were improved, an outcome was added to one core theme, and a number of actions to improve performance as well as targets were suggested by the Theme Teams. These were considered by the University Planning Committee and approved by the President and Vice-Presidents. They are now included in the updated University Planning Framework (appendix B).

Conclusion

The University Planning Framework now has a well-articulated set of indicators for measuring outcomes and providing the evidence necessary to demonstrate that the University is achieving its goals. This latest set of indicators forms part of the 2015 Strategic Review.

Initial Candidacy Self Evaluation Report (August 2011)

Recommendation 2 – Learning Outcomes

The committee recommends that the University establish and assess student learning outcomes across the institution and use the results for continuous improvement (Standards 2.C.1, 2.C.2, 2.C.5, 2.C.10).

Mid-Cycle Self Evaluation Report (September 2014)

Recommendation 1 – Learning Outcomes

The Commission recommends that the institution identify and publish expected course, program, and degree learning outcomes. Expected student learning outcomes for courses, wherever offered and however delivered, are provided in written form to enrolled students (Standard 2.C.2).

Introduction

In the Canadian context, there is no tradition of using learning outcomes in research universities, except when required by professional accreditation bodies (e.g., Business, Engineering). Attempts to change this have been resisted by faculty unions and the Canadian Association of University Teachers. Furthermore, decades of using learning outcomes in the USA, have led to a body of literature that is critical of this approach, and especially critical of processes that are detailed and mechanistic.

That said, as part of a process to move towards a more student-centred approach, Simon Fraser University continues to work toward establishing articulated and assessable learning outcomes. Some SFU academic units have already developed learning outcomes at both the program and course level, and have achieved professional accreditation, such as the Beedie School of Business, the School of Engineering Science, and the Masters in Public Health program in the Faculty of Health Sciences. An example of the Beedie School of Business' commitment to the application and assessment of learning outcomes, which shows that the actions put into place by the School have produced the intended positive outcome, is attached as appendix C. Formal, university-wide adoption of a learning outcomes and assessment model is a work in progress.

Moving an entire institution to assessment of student learning via a learning outcomes process is a significant task, especially when there is no regulatory body that requires it. Adopting a learning outcomes and assessment approach is a significant cultural and administrative change for the SFU academic community. But steady progress is being made. Engaging faculty in a change-management process, including wide and meaningful consultation, has been crucial to the successful adoption and implementation of a learning outcomes model that will do three things: (1) satisfy the NWCCU requirements; (2) allow SFU to maintain its identity as a leading, renowned Canadian post-secondary institution; and, most importantly, (3) allow SFU to continually improve in all aspects of its education and research.

Progress to Date

In the fall of 2011, the Vice-President, Academic established a Learning Outcomes and Assessment Working Group (LOAWG) to recommend how meaningful, assessable, and verifiable learning outcomes could be established for courses, programs, and the University. The LOAWG was chaired by an Associate Dean from the Faculty of Arts and Social Sciences (SFU's largest

Faculty, with more than 25 programs), and composed of representatives from several of SFU's academic units; and from the Office of the Vice-President, Academic; the Teaching and Learning Centre; and the Office of Institutional Research and Planning.

The Learning Outcomes and Assessment Working Group's Terms of Reference were:

1. Draft principles to guide the establishment and use of learning outcomes for curricular assessment at SFU.
2. Identify academic units that currently use, or are in the process of developing, processes for learning outcomes assessment.
3. Identify the curricular assessment processes (regular and off-cycle) currently utilized in academic units.
4. Review best-practice processes for establishing a learning outcomes assessment process, and recommend the most appropriate process for SFU.
5. Recommend appropriate timelines and milestones for implementing learning outcomes assessment at SFU, bearing in mind the timeline for accreditation with NWCCU, the importance of a communication plan, and the need to take a consultative approach.
6. Recommend how an ongoing process of learning outcomes assessment and curricular review could best be incorporated into current structures and processes at SFU.

The working group drafted a set of principles to guide the establishment of learning outcomes and assessment across all courses, programs, degrees, Faculties, and the University. The draft principles underwent an important consultation process in the SFU community. In February 2012, the draft principles went to the Senate Committees on Undergraduate and Graduate Studies, respectively. Simultaneously, they were sent to the general University community, and later forwarded to the chair of the Senate Committee on University Teaching and Learning. Feedback was collected and evaluated for relevance prior to incorporation into the draft principles.

The final draft of the principles then went to the University Senate. Under the *British Columbia University Act*, Senate is responsible for the University's academic governance and oversees all matters of import that bear on teaching and research. These matters include the development of new academic initiatives, the formation of academic priorities, and the approval of academic policies. The Senate emphasized that the successful adoption and implementation of learning outcomes and assessment by the University community relied on continuing and extensive consultation. A commitment was made to this consultation process.

The seven Learning Outcomes and Assessment Principles approved by Senate on June 11, 2012, were as follows:

1. The primary purpose of learning outcomes and assessment processes is to communicate transparently the purposes of all degree, program, and course requirements.
2. As per its Vision/Mission, SFU is committed to academic and intellectual freedom. Learning outcomes for courses and programs will be developed and determined at the local academic unit level and will reflect local disciplinary cultures. These will be aligned with enduring institutional goals, values, and principles as articulated in the SFU Vision/Mission.

3. SFU values regular assessment of achievement of specified learning outcomes as a means of promoting continuous improvement of its courses and programs, and acknowledges that appropriate assessment of learning outcomes can occur before, during, and after completion of a course or program.
4. Processes required by the establishment of learning outcomes and their assessment will be integrated into the regular processes of curricular and program review, renewal, and disciplinary accreditation wherever possible.
5. Learning outcomes assessment will enable instructors to improve upon existing curricula and teaching methodologies. Processes of regular assessment will allow the academic units and the University to collect data concerning unit- and university-level achievement of identified learning outcomes. Learning outcomes assessment data will not be utilized for the evaluation of individual instructor and TA/TM performance, nor will the data be used as evidence to demote, fail to promote, dismiss, or otherwise penalize individuals.
6. It is the responsibility of the University to provide resources (human, capital, technological) to academic units as required to enable and support learning outcomes and assessment procedures. Provision of this support is intended to minimize any addition to the net workload of instructors, TAs/TMs, and department staff.
7. As much as possible, the documentation generated by the Learning Outcomes and Assessment working group will be made broadly available to the SFU community for transparency and in accordance with SFU's sustainability goals.

Guided by this set of principles, the LOAWG turned to its second and third tasks: the collection and analysis of key data gathered through a University-wide survey of all undergraduate and graduate level programs within every academic unit. The survey, both quantitative and qualitative, provided the working group with a broad perspective on the current state of learning outcomes and assessment activity (or lack thereof) across campus. It captured practical, measurable data and yielded important insights into the state of affairs of unit-level learning outcomes and assessment practices, particularly with regard to the various cultural and/or administrative approaches of these units. Analysis of the survey results was completed at the end of summer 2012.

In conjunction with internal research, the LOAWG addressed its fourth task: researching accredited post-secondary institutions across North America to collect information on best-practice processes for learning outcomes and assessment. Combined with internal research results, this external research provided the working group with important points of comparison that better positioned it to recommend ways of integrating appropriate learning outcomes and assessment models into SFU's current structures and processes over the course of a specified timeline.

The University also invited two renowned experts to speak to SFU audiences on learning outcomes and assessment in an effort to better inform SFU's internal expertise, and to build University community understanding and buy-in. Dr. Peter Ewell from the National Center for Higher Education Management Systems presented in September 2011, and Dr. Kathi Ketcheson from Portland State University presented in June 2012. In November 2012, Peter Wolf, formerly from the University of Guelph and now at Queen's University, met with several SFU community members to share his experiences in the implementation of learning outcomes in a Canadian post-secondary setting, and his expertise in academic program assessment.

The working group provided its recommendations to the Vice-President, Academic in November 2012. The Senate Committees on Undergraduate and Graduate Studies, the Senate Committee on University Priorities, and the Deans' Council reviewed the report. Comments were collected and revisions made in December. In February 2013, the Vice-President, Academic presented the revised report to Senate, as well as a draft proposal for incorporating learning outcomes and assessment into University structures, for discussion. The report and draft proposal elicited intense debate, particularly about the need for further community consultation.

To facilitate further discussion, in March 2013 the Vice-President, Academic held a series of town-hall meetings at each of the University's three campuses. Throughout April, the Vice-President, Academic met individually with concerned members of the community, and consulted with senior administration. The central message was that cycles of continuous improvement were already part of the institutional culture, and that articulating and assessing such cycles would not mean wholesale change, but enhancement of one element of the process. As a result, a significantly revised proposal to develop a "made-at-SFU" compromise initiative was presented to Senate in May 2013.

To ameliorate the considerable concerns regarding the nomenclature of learning outcomes and assessment, and following advice from the Faculty of Education, the Vice-President, Academic proposed that Senate approve the requirement that all academic units develop and, subsequently, assess "educational goals" at the academic program-level (majors, minors, masters, and doctorates). Beginning at the program-level seemed logical because it would allow academic departments to define a broader set of ambitions for undergraduate and graduate learners. Program-level goals or outcomes are typically broad and require lower level assessment processes. Course-level goals or outcomes can be defined specifically, but only make sense if they are integrated with program-level goals. Because SFU's course development has taken place for 50 years without reference to program-level goals, formalizing goals at the course level, prior to mapping against program goals, made little sense. Further benefits to starting at the program-level include investment by entire academic units in goal discussion and development, recognition of disciplinary differentiation, and clear communication to students and other stakeholders. The articulation of program-level goals allows for existing curricula to be mapped onto those goals, with subsequent curricular modification where necessary. Once curriculum mapping has occurred, instructors of individual courses can define, communicate, and assess course-level goals and link them to program-level goals.

To link program goal processes to existing academic unit assessment processes, the Vice-President, Academic proposed that educational goals be defined and assessed as an integral part of each unit's regular seven-year external review process. These goals, assessment plans, and any resultant modifications are to be articulated within external review self-study reports, post-review action plans, and mid-cycle progress reports and made publicly accessible on unit websites. Academic units up for review may then use feedback from their external review teams to adjust their articulated goals and develop their assessment plans. At the mid-cycle point (at year four in the seven-year cycle), units will report out to the Vice-President, Academic on the progress made from the assessment process. By incorporating the development of goals and assessment into the external review process, which is already a well-entrenched and valued method of continuous improvement, the entire initiative would begin incrementally, commencing with those units scheduled for the spring 2014 external review cycle. This would also allow for a review of the

process as it evolved in small groups of academic units, and provide the opportunity to assess and make changes as part of the progression to full institutional compliance.

As a result of the extensive consultation, and compromises, made by the Vice-President, Academic and the SFU community, Senate approved the revised proposal at its May 2013 meeting. Members of Senate, even those skeptical of the proposed process, thanked the Vice-President, Academic for taking a slower approach to implementing such a shift, and for considering all viewpoints within the community.

As approved at Senate, educational goals at SFU are considered broadly, as the anticipated benefits to students from participation in an academic program, and may include knowledge, understanding, skills, competences, experience, attitudes, ethics, and professional development. The goals are intended as a framework for curriculum discussion, course mapping, and program structure, and will more clearly reflect what is already occurring within units. While educational goals may be written as learning outcomes, SFU's definition allows a diversity of intentions to be incorporated along with more specific outcomes. For example, educational goals can incorporate student experiences with certain pedagogies (experiential education, reflective education), rather than being confined to what operations students can perform or what specific knowledge they possess. SFU's academic units are being encouraged to define and assess their goals in a way that best suits each unit's discipline and context.

In fall 2013, the first six academic units began developing and articulating program-level educational goals in their external review self-study reports. Assessment planning for these units began in summer 2014 after they received their external review reports. The plans were then articulated in the external review action plans forwarded to Senate in the fall. Four more units were externally reviewed in 2015, undertaking the same educational goals development process; five will begin the process in spring 2016, and eight in spring 2017. By spring 2020, all units will have undergone an external review, developed their program-level educational goals and assessment plans, and begun collecting assessment data.

Dedicated financial support has been made available by the Vice-President, Academic to units at different stages of the process. The Teaching and Learning Centre's educational consultants are providing expertise in curriculum development, and assistance with educational goals articulation and assessment methods development. A core group of staff from Academic Planning, the Teaching and Learning Centre, Institutional Research and Planning, University Curriculum, and Information Technology are working on a plan to integrate data collection and analysis processes for various assessment activities across the University.

SFU continues to develop its internal expertise to support faculty and staff through the cultural shift to articulated educational goals and assessment. The University has sent key internal academic and administrative personnel to relevant national and international learning outcomes and assessment symposia and conferences. Teaching and Learning Centre educational consultants familiar with learning outcomes, educational goals development, and assessment planning, provide support and guidance to faculty in formulating assessable educational goals. In May 2013, the Centre hosted Dr. Gloria Rogers, a world-renowned expert in outcomes-based education and Senior Scholar for the Higher Learning Commission of the North Central Association of Colleges and Schools, as the keynote speaker for SFU's annual Symposium on Teaching and Learning. This

presentation was so well received that Dr. Rogers was asked to facilitate a three-day intensive workshop on educational goals development in August 2013, targeting senior academic administrators, faculty, and staff members involved in goals implementation and assessment. The Office of the Vice-President, Academic has sponsored annual summer workshops since, facilitated by the educational consultants who are working directly with academic units on educational goals and assessment.

During the period of the LOAWG efforts, a dedicated website was created to inform the SFU community of the initiative's parameters and progress. The site detailed initiative developments and knowledge, and was a strategic and practical communications tool for ensuring transparency, providing information and answering questions from the SFU community to the Vice-President, Academic and the working group. The website was supplemental to direct communications sent out to the community by the Office of the Vice-President, Academic.

The Teaching and Learning Centre has subsequently developed a dedicated Educational Goals and Assessment website to support units by providing informational resources, examples, and templates that can be adapted and customized to their unique needs. The information ties the educational goals process into the external review process and provides timelines and milestones for all aspects of the cycle. The Centre developed the site with ease of use in mind and incorporated significant feedback from faculty and staff, the targeted audience. The website is designed to be dynamic and as the initiative progresses, more information and interactivity will be added.²

Next Steps

To further embed a culture of learning outcomes and assessment at all levels and across the entire University, a number of steps are currently underway:

1. Program-level educational goals are routinely developed and reviewed as part of the seven-year cycle of the external review processes.
2. Many disciplines have developed, and are regularly assessing, learning outcomes independently at the course level, and information is being gathered to identify where this is happening.
3. A proposal to formalize a requirement for course-level learning outcomes is in development for consideration by Senate.
4. Many new courses approved by Senate now include course-level learning outcomes. Inclusion of course-level outcomes is becoming the norm and articulated course learning outcomes are published on course outlines.
5. Canvas, SFU's learning management system, has the potential to provide a repository for course-level learning outcomes and related student assessment data. This new functionality is currently being tested with small pilot projects. At the same time, units involved in

² <http://educationalgoals.tlc.sfu.ca/>

assessment and data collection are considering a multi-function tool that could potentially facilitate the entire data collection and assessment process.

6. The Vice-President, Academic continues to provide supplemental funding to departments developing and articulating learning outcomes as part of the external review cycle.
7. The Teaching and Learning Centre continues to provide support via Faculty-dedicated educational consultants for the ongoing development and assessment of learning outcomes at the program and course levels.

Conclusion

Simon Fraser University is working very hard to identify and adopt best practices for the implementation of assessable educational goals across the curricula in a realistic timeframe, given the challenge of promoting change to institutional culture. The Terms of Reference and Senate-approved principles furnished SFU and the Learning Outcomes and Assessment Working Group with guidance as the University navigated the politically and administratively complex process of transforming into an institution that practices learning outcomes assessment consistently across more than 100 undergraduate, and more than 45 graduate, programs. The resultant Senate-approved proposal to develop program-level educational goals and assessment methods is the culmination of many months of consultation, debate, and compromise and represents an innovative model that acknowledges SFU's uniqueness. The process will develop and build over time, which will allow for a review and assessment of the initiative as the University moves forward.

The method adopted for integrating educational goals and assessment processes is best suited to SFU's uniquely Canadian institutional culture and is aligned with the University's Vision/Mission. The initiative recognizes the importance of supporting SFU faculty and staff over the course of this cultural shift and it promotes the direct benefits of an outcomes and assessment approach for SFU's academic programs, students, instructors, and the University as a whole.

Initial Candidacy Self Evaluation Report (August 2011)

Recommendation 3 – Integration of WQB Courses

The committee recommends that the University clearly articulate its “General Education” program as an integrated course of study related to the institution’s mission and assure that it has clear and assessable student learning outcomes which are effectively communicated to students and stakeholders (Standards 2.C.9, 2.C.10, 2.C.11).

Mid-Cycle Self Evaluation Report (September 2014)

Recommendation 2 - General Education Components

The Commission recommends that Simon Fraser University undertake the necessary steps toward ensuring that the General Education components of its baccalaureate degree programs have identifiable and assessable learning outcomes that are stated in relation to the institution’s mission and learning outcomes for these programs (Standard 2.C.10).

Introduction

Post-secondary undergraduate education in Canada varies from that of the United States. While the Canadian system follows similar general principles and structures to those in the United States, it also derives from the United Kingdom system. As a result, Canadian undergraduate education blends the British approach, in which students focus on the subject area of their declared concentration, with elements of American diversified General Education program models. SFU does not have a General Education program, but has developed Writing, Quantitative, and Breadth (WQB) requirements. Like General Education programs, these requirements provide all undergraduate students with a diverse education experience.

Background

In September 2006, after six years of intensive consultation and development, and following Senate approval, SFU implemented changes to its undergraduate degree requirements. The University introduced for the first time a set of core skill development and distribution requirements across all undergraduate degrees. Prior to September 2006, the elective and breadth course requirements needed for an SFU degree were determined by each Faculty; the only common standard was the 120 hour credit minimum requirement, with a residency requirement of upper division credits completed at SFU, in the major.

The WQB requirements are based, in part, on aspects of General Education programs prevalent in the US. However, because of SFU’s decentralized approach to undergraduate degree requirements, it was not possible to impose a traditional lower division Gen Ed curriculum, which would have been extremely costly and completely disrupted well-developed and mature curricula.

In addition, British Columbia has a well-developed college-to-university and inter-institutional transfer system, used extensively for more than 30 years by all post-secondary institutions in the province. It is a best-practice model of transfer systems in North America and is managed by the British Columbia Council on Admissions and Transfer (BCCAT), which maintains and quality-assures transfer agreements and protocols. Many SFU undergraduate students take their first two years at a community college or other post-secondary institution within the system. As an active partner in this system, SFU develops curricula and degree requirements that support and enhance

student transfer and mobility. Traditional two-year, standardized General Education programs do not fit well in this system and as an alternative, SFU developed WQB requirements that draw on key features of General Education programs. These are now fully integrated into SFU undergraduate degrees. For students who transfer to SFU, previous coursework is assessed by SFU against WQB requirements, to minimize duplication of effort.

Students completing an undergraduate degree across all SFU Faculties are required to meet WQB core requirements. The requirements are as follows:

WRITING REQUIREMENTS – Courses with a “W” designation assist students to learn course content through the process of writing-intensive assignments. These courses help students improve their writing abilities and overall communication skills, and teach students to write in the genres of their disciplines. Many existing “gate-keeper” courses in degree programs have been modified in their pedagogies to conform to this approach, and new writing-intensive courses continue to be developed to meet the requirement. W courses typically follow the practice of “writing in the discipline” pioneered by the Knight Institute at Cornell University in New York.³

Students take a minimum of:

- One lower-division W course (at least 3 units)
- One upper-division W course (at least 3 units), in the student’s major subject
The upper-division W course must be taken at SFU.

QUANTITATIVE REQUIREMENTS – Courses with a “Q” designation assist students to develop quantitative (numerical, geometric) or formal (deductive, probabilistic) reasoning and to develop skills in practical problem solving, critical evaluation, or analysis.

Students take a minimum of:

- Two Q courses, lower or upper division (at least 6 units)

BREADTH REQUIREMENTS – Courses with a “B” designation expose students to concepts and ideas from a range of disciplines and perspectives outside of their major subjects. This is a distribution requirement and students may complete breadth courses throughout their degree programs, taking courses at the lower or upper division. Many of the B courses are taken as program-specified electives (many undergraduate degree programs have harmonized their allowable electives to this requirement), and only courses outside of the student’s major subject may count as a B.

Students take a minimum of:

- Two courses labeled as Breadth-Humanities (B-Hum, 6 units)
- Two courses labeled as Breadth-Science (B-Sci, 6 units)
- Two courses labeled as Breadth-Social Sciences (B-Soc, 6 units)
- Two additional courses outside the student’s major subject (6 units). These additional courses may or may not be formally designated as breadth and, in most cases, will fulfill the particular Faculty or program breadth requirements.

³ http://www.arts.cornell.edu/knight_institute/index.htm

An implementation committee was struck prior to the 2006 launch date of the WQB requirements to assess SFU courses and determine which might be deemed Writing, Quantitative, Breadth-Humanities, Breadth-Social Science, and Breadth-Science. New courses were created by academic departments where needed; for existing courses, departments were required to apply for W, Q, and B course designations and rationalize why and how those courses met the criteria. Courses that did not immediately fit the criteria were amended prior to designation approval. This assessment and amendment process continues and is applied to all new or revised courses designated as W, Q, and/or B prior to being incorporated into the SFU undergraduate curriculum.

The Undergraduate Curriculum Initiative (UCI) implemented these changes in 2006. The Office of the Vice-President, Academic continues to oversee the process to provide quality assurance and maintenance of the requirements as well as regular communication about them. Annual assessment of the impact of the requirements has been undertaken through the annual Undergraduate Student Survey. Year over year, students' understanding and appreciation of the specified outcomes of the WQB requirements has improved. Interestingly, the Breadth requirements remained the least well-understood component of the WQB requirements. As a result, statements about the B requirements were reviewed and additional survey questions added to provide greater clarity to students on the intended outcomes.

The requirements are communicated to students in every iteration of the SFU Calendar and on the UCI website. Faculties and departments have also embedded information on the WQB requirements as part of their overall program requirements. Additionally, faculty members are informed about the intended outcomes of WQB requirements in the application forms completed for designation and in the orientation packages provided to new faculty. The outcomes are as follows:

WRITING-INTENSIVE (W) courses assist students to learn the course content through the process of writing assignments. Specifically:

- Students improve writing abilities and overall communication skills.
- Students use the process of writing as a way of exploring and critiquing complex concepts.
- Students practice writing in such disciplinary forms as lab reports, literary analyses, or policy briefs.
- Students use and produce samples of typical forms of the writing in their discipline.
- Students enhance their course content knowledge and communication skills by revising their work, and via opportunities to make use of feedback.

QUANTITATIVE (Q) courses assist students to develop quantitative (numerical, geometric) or formal (deductive, probabilistic) reasoning. Specifically:

- Students deepen understanding and appreciation of quantitative and formal reasoning, their utility, and their creative potential.
- Students develop skills in practical problem solving and critical evaluation.

- Students focus on the relation between concepts and structures and other systems of abstract representation.

BREADTH (B) courses expose students to concepts and ideas from a range of disciplines and perspectives. Specifically:

- Students are exposed to new theoretical perspectives, forms of thought, and modes of enquiry.
- Students address how and why a discipline defines, acquires, and organizes knowledge in particular ways.
- Students identify important questions and problems in the discipline.
- Students describe procedures used to generate valid answers to the questions, or workable solutions to the problems of the discipline.
- Students gain a broad understanding of the historical development and/or the contemporary dynamics of the physical, natural, social, and/or cultural environments.
- Students are exposed to a survey of a substantial body of the knowledge, theories, and/or controversies that are deemed to be central to a discipline.

In addition to the SFU Calendar, the UCI website is available to students, faculty, and advisors as a resource. The website provides a history of the UCI, along with information pertaining to the WQB requirements and the writing and quantitative admission requirements.⁴

SFU would like to emphasize that although the WQB requirements are similar to, and informed by, American General Education programs, they are not the same. WQB requirements are not a stand-alone program, but are a customized institutional response to SFU's decentralized and flexible curricular environment. The WQB requirements are the basis for the development of common skills across programs and they are just one aspect of SFU's undergraduate degree level learning. They provide standardized breadth of knowledge for SFU students completing undergraduate degrees.

Currently, the learning objectives of WQB requirements are being incorporated into undergraduate degree level educational goals, and/or institutional "graduate attributes." As part of this effort to articulate educational goals, SFU will be better able to connect the WQB requirements with SFU's recently adopted Vision/Mission. Appropriate assessment mechanisms will then be developed for all of these outcomes.

Information regarding the development of learning outcomes at SFU is available in the response to Initial Candidacy Self Evaluation Report Recommendation 2 and Mid-Cycle Self Evaluation Report Recommendation 1.

⁴ <http://www.sfu.ca/ugcr.html>

Conclusion

Because SFU exists in an articulated Canadian post-secondary system that is based on components of the British and American education systems, it is not an exact match to American General Education program models. However, SFU's WQB requirements oblige students to diversify their scope of knowledge and expertise beyond their major concentration, and to develop identified core competencies in writing and quantitative analysis. This approach may be slightly different from that of American General Education program models, but essentially the objectives are the same: to provide students with a diversified education experience.

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Initial Candidacy Self Evaluation Report (August 2011)

Recommendation 4 – Deferred Maintenance

The committee recommends that the University develop more aggressive and comprehensive short- and long-term plans for addressing the institution's deferred maintenance needs (Standards 2.F.5 and 2.G.1).

Introduction

Simon Fraser University's challenge with deferred maintenance is similar to that of other public post-secondary institutions of its size and age in British Columbia and across Canada. In a 2014 report from the Canadian Association of University Business Officers (CAUBO), total deferred maintenance was estimated to be \$8.4 billion for the 51 member institutions that provided information to CAUBO, more than double the amount reported in 2000.

In the absence of additional government funding, deferred maintenance must be partially addressed by reallocating limited existing resources. As suggested by the NWCCU evaluators, SFU must look at both short- and long-term goals to address the issue while continuing to pressure the provincial government for additional capital funding. Clearly, the University will have to be creative and efficient with accessible funds. SFU is managing this issue through its long-term Capital Plan and with the use of a facilities condition assessment tool called VFA,⁵ which the University purchased in 2008, and which was subsequently implemented on a province-wide basis for all post-secondary institutions by the provincial government.

Progress to Date

SFU's Capital Plan⁶

In June 2015, SFU's Board of Governors approved a Five-Year Capital Plan for the academic years 2016/17 to 2020/21. The Capital Plan is based on four strategic initiatives designed to support the University's Vision/Mission as the engaged university. The four initiatives are:

1. Expansion – SFU Surrey
2. Renewal and Rehabilitation – SFU Burnaby
3. Community Engagement
4. Sustainability and Climate Action

SFU's commitment to addressing its deferred maintenance issue is reflected in strategic initiative #2, Renewal and Rehabilitation – SFU Burnaby. The Capital Plan notes that SFU's Burnaby campus suffers from an ongoing deferred maintenance problem that is only getting worse with time. The aging facilities and infrastructure at the Burnaby campus are significantly compromised. Extensive rehabilitation and renewal is required to extend their useful life and to improve their

⁵ VFA is one of the leading providers of integrated software and services for facilities asset management, facilities capital planning, and capital spend management. Organizations in a wide range of industries rely on VFA solutions to help them strategically manage their facility assets and maximize the value of their capital investments.

<http://www.vfa.com>

⁶ Link not yet available

sustainability and functionality. Addressing these critical deferred maintenance and capital renewal requirements directly supports the University's Vision/Mission.

SFU continues to address maintenance deficiencies. For instance, in 2014/15 the University began to rehabilitate the road system at the Burnaby campus. This was a major infrastructure renewal project. Gagliardi Way, the entrance road to the campus, and University Drive West were in terrible condition despite annual repairs. The rebuild of the roadway was completed in the fall/winter of 2014 and was self-funded.

SFU is also working with the Simon Fraser Student Society (SFSS) to design and construct a new 100,000 square foot Student Union Building (SUB) on the Burnaby campus. Construction is to begin in spring 2016 and completion is scheduled for late 2018. The student-funded SUB project will add much needed lounge space, individual study areas, meeting rooms, and recreational facilities. The SFSS is also developing a \$10 million stadium project, with an additional \$10 million of SFU internal funding committed to address deferred maintenance issues in the adjacent infrastructure. Furthermore, a \$15 million Field House is under consideration, which will complement the new stadium and improved athletics facilities. These projects will go a long way to improving the quality of student life at SFU.

In addition to the capital renewal projects noted above, SFU has also taken steps to refresh its inventory of student residences, both at the Burnaby campus and in downtown Vancouver. A market demand study and master plan for student residence expansion at the Burnaby campus are underway, with the expectation that a business case can be developed to support additional student residences. Also in Burnaby, SFU is working with UniverCity, the world-leading sustainable community on Burnaby Mountain, to develop market rental family housing to address demand previously met by SFU's Louis Riel House, which is being demolished. In downtown Vancouver, construction has started on a downtown Innovation Centre and Residence for graduate students, with completion scheduled for May 2016.

Deferred Maintenance Pilot Project – VFA

To make the most beneficial and efficient allocation of limited resources to address deferred maintenance, SFU purchased VFA in 2008. Its capabilities include:

- Consolidating all existing building condition information
- Providing a comprehensive database of building condition information
- Creating a formal, organized, and ongoing approach to assessing and updating building condition information
- Providing all stakeholders with reports that accurately demonstrate building condition, areas of risk, and funding requirements
- Assisting in the development of a renewal strategy
- Assisting in managing and correcting SFU's deferred maintenance situation

VFA is an efficient assessment tool for determining where best to spend the limited resources provided by the provincial government for deferred maintenance.

Using VFA, the University has done an initial facility condition assessment of all buildings. This involved an inventory of building system components, their condition, and their potential replacement costs. VFA is an industry-standard parametric tool that considers all of these issues and produces a list of requirements based on priority.

While VFA has been very useful for determining where maintenance needs are the highest, it does not take into account maintenance of infrastructure assets outside of buildings, such as roads, sidewalks, utilities, etc. SFU is in the process of documenting and assessing the conditions of these infrastructure items so that a full and complete database of capital assets is available. In addition, VFA does not factor in the risk of a given requirement remaining unresolved. That said, the four strategic initiatives laid out in the Capital Plan were determined, in part, with VFA's help.

Working with Government

SFU has also been working proactively and collaboratively with the provincial government on the deferred maintenance issue, which extends, to a large degree, to all post-secondary institutions in British Columbia. The British Columbia government has followed SFU's lead and purchased the VFA system. It has also set up an advisory committee to deal with the deferred maintenance issue. The committee has emphasized to the government just how urgent this issue is and the province has begun to respond. Over the last three years, SFU has received annual maintenance and rehabilitation funding in the range of \$2 million to \$3 million per year from the province's Routine Capital program, but in 2015/16 this figure saw a one-time increase of \$7.2 million, in addition to the annual funding of \$2.5 million, for a total of \$9.7 million.

In October and November 2015, SFU participated in a province-wide facilities condition assessment covering the core academic facilities at the Burnaby campus. The assessment was required by the BC Ministry of Advanced Education as part of its Capital Planning Framework for the BC post-secondary sector. The assessment was conducted by a team of VFA engineers who visually inspected each facility's mechanical, electrical, and structural condition.

The results of the previous government-supported VFA assessment clearly illustrate the need for significant renewal work. According to the Facilities Condition Index, 57% of SFU's Burnaby campus buildings (55% of the Burnaby space inventory) are in "poor" condition. Notably, this audit includes academic buildings only and does not include the deferred maintenance needs of residences, other ancillary buildings, roads, utilities, and campus infrastructure, which also require significant and overdue upkeep.

Additional Internal Funding

SFU has established a deferred maintenance fund to help address the most critical requirements while also committing funds from additional internal sources, such as unplanned revenue. In the University's 2014/15 budget, the Board approved a Deferred Maintenance Advance initiative to help address deferred maintenance requirements. This initiative provides a \$30 million internal line of credit to support facility upgrades. In 2014/15, \$15 million of work was completed, in addition to other targeted projects. To complement the Advance Initiative, the University has established a specific fund to refurbish critical areas. The fund is budgeted at \$5 million for 2015/16 and is expected to increase by \$1 million per year. The University has also committed \$10 million to

address deferred maintenance issues in the campus buildings adjacent to the proposed SFSS stadium project, and has directed specific funds to deferred maintenance projects from the University Priority Fund, contingency, and carry-forward funds.

Conclusion

There is no doubt that the deferred maintenance situation at SFU represents a significant challenge for the University. Provincial funding has simply not kept up with maintenance demands. To the limited extent that is possible under a very tight operating budget, SFU has focused a portion of its Capital Plan on much needed maintenance and renewal.

The University has also been in regular contact with government in an effort to raise awareness regarding the deferred maintenance issue, not only at SFU, but at other post-secondary institutions throughout the province. As a result, the provincial government has become more responsive by allocating a one-time increase of \$7.2 million to SFU for 2015/16 specifically for deferred maintenance. These funds help, but they do not completely solve the problem. SFU will continue to lobby government for more funds while it also searches for creative ways within its own infrastructure to help resolve its deferred maintenance situation.

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Chapter 1

**Standard One:
Mission, Core Themes, and Expectations**

1. Standard One – Mission, Core Themes, and Expectations

The institution articulates its purpose in a mission statement, and identifies core themes that comprise essential elements of that mission. In an examination of its purpose, characteristics, and expectations, the institution defines the parameters for mission fulfillment. Guided by that definition, it identifies an acceptable threshold or extent of mission fulfillment.

Executive Summary of Eligibility Requirements 1 - 3

Eligibility Requirement 1 – Operational Status

The institution has completed at least one year of its principal educational programs and is operational with students actively pursuing its degree programs at the time of the Commission accepting an institution's Application for Consideration for Eligibility. The institution has graduated at least one class in its principal educational program(s) before the Commission's evaluation for initial accreditation.

Simon Fraser University (SFU) opened its doors to its first class on September 9, 1965.

Eligibility Requirement 2 – Authority

The institution is authorized to operate and award degrees as a higher education institution by the appropriate governmental organization, agency, or governing board as required by the jurisdiction in which it operates.

In 1963, British Columbia's *University Act*⁷ created SFU and prescribed its governance system. The Board of Governors and the Senate are the principal governing bodies, with the *University Act* defining the scope and limits of each one's authority, membership, and responsibilities. SFU has in its own right and name the power to grant degrees established in accordance with this *Act*.

Eligibility Requirement 3 – Mission and Core Themes

The institution's mission and core themes are clearly defined and adopted by its governing board(s) consistent with its legal authorization, and are appropriate to a degree-granting institution of higher education. The institution's purpose is to serve the educational interests of its students and its principal programs lead to recognized degrees. The institution devotes all, or substantially all, of its resources to support its educational mission and core themes.

Simon Fraser University's Vision/Mission⁸ and core themes are appropriate to a research university and are consistent with its legislated authority.

At its November 24, 2011, meeting, the Board of Governors approved the institution's Vision/Mission. At its November 7, 2011, meeting, the Senate stated that the vision and goals fairly reflected both the aspirations and the mission of Simon Fraser University. The Vision/Mission was officially launched on February 20, 2012.

⁷ http://www.bclaws.ca/EPLibraries/bclaws_new/document/ID/freeside/00_96468_01

⁸ <http://www.sfu.ca/content/dam/sfu/engage/StrategicVision.pdf>

SFU's purpose is to serve its students' educational interests and for all of its credit-bearing programs to lead to degrees, certificates, or diplomas that are recognized as of high academic quality by government, by other degree-granting institutions, and by the public. The University's resources are entirely devoted, directly or indirectly, to the support of its educational Vision/Mission and core themes.

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Standard 1.A - Mission

1.A.1. *The institution has a widely published mission statement—approved by its governing board—that articulates a purpose appropriate for an institution of higher learning, gives direction for its efforts, and derives from, and is generally understood by, its community.*

SFU's Vision/Mission⁹

Simon Fraser University's Vision/Mission is to be the leading engaged university defined by its dynamic integration of innovative education, cutting-edge research, and far-reaching community engagement. There are three strategic goals that guide all new planning at all levels within the institution.

On February 10, 2011, SFU started one of the most extensive community consultation processes ever undertaken by a Canadian university. The goal was to develop a strategic vision/mission that builds upon the University's three defining strengths:

- SFU's commitment to students
- SFU's dedication to research
- SFU's engagement with community

On November 7, 2011, the SFU Senate concurred that SFU's Vision/Mission and goals had been developed from a comprehensive and inclusive process, and fairly reflect Simon Fraser University's aspirations and mission. On November 24, 2011, the University Board of Governors gave final approval to the Vision/Mission.

Along with this new Vision/Mission, SFU established a complementary tag line: "Engaging the World."

Core Themes and Strategic Goals

Engaging Students

Goal: To equip SFU students with the knowledge, skills, and experiences that prepare them for life in an ever-changing and challenging world.

Engaging Research

Goal: To be a world leader in knowledge mobilization building on a strong foundation of fundamental research.

Engaging Communities

Goal: To be Canada's most community-engaged research university.

⁹ <http://www.sfu.ca/content/dam/sfu/engage/StrategicVision.pdf>

Fundamental Theme: Leveraging Institutional Strength

Although not a core theme that contributes directly to the achievement of the Vision/Mission, this theme ensures that the strategies of the three core themes can be implemented while also contributing to the ongoing success of the institution. This institutional strength includes being well-resourced financially, having well-developed administrative systems, recruiting and retaining excellent faculty and staff, and maintaining and developing supporting physical structures and facilities.

1.A.2 *The institution defines mission fulfillment in the context of its purpose, characteristics, and expectations. Guided by that definition, it articulates institutional accomplishments or outcomes that represent an acceptable threshold or extent of mission fulfillment.*

Interpretation of Vision/Mission Fulfillment

To realize the Vision/Mission, SFU designed a Planning Process that begins with the Vision/Mission. Using the values, philosophies, and core themes of the Vision/Mission, SFU established goals, which led to strategies for achieving these goals, including identifying indicators to ensure the goals were being met. From this process, the University Planning Framework was developed to provide guidance to all institutional planning activities, and mechanisms for monitoring progress and achievements. The Framework is a dynamic document that reflects the University's response to its changing environment.

Acceptable Threshold, Extent, or Degree of Mission Fulfillment

The adoption of best practices requires the review of institutional performance in achieving the Vision/Mission, as well as continuous improvement of indicators. Regular, systematic, participatory, self-reflective, and evidence-based assessments of accomplishments are imperative. Assessments should be linked to quality and operational effectiveness, and should be a measure of vision/mission fulfillment.

The assessment, in the form of a Strategic Review, involves data collection and analysis for each indicator identified in the Planning Framework. From these results, an overall assessment is made as to whether the themes' goals are fulfilling the University Vision/Mission. As well, the Strategic Review includes recommendations for improving the indicators.

Steady progression and/or target attainment of prescribed indicators will show that SFU is achieving its Vision/Mission. To monitor this progression, SFU identified a strategic goal for each core theme of the Vision/Mission. To achieve these goals, the institution has developed respective strategies for attaining the favoured outcomes. Indicators have been established for each outcome, and are weighted against data from previous years. If the data improve each year, and/or meet prescribed targets, then SFU is meeting its goals and, ultimately, fulfilling its Vision/Mission.

Standard 1.B. - Core Themes

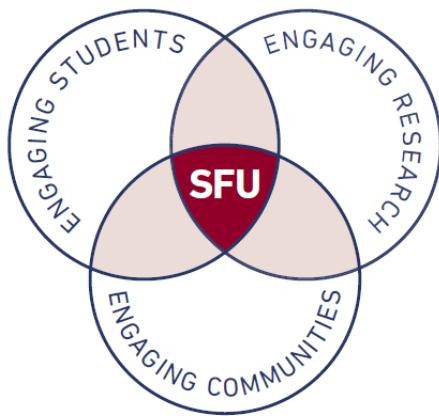
1.B.1 *The institution identifies core themes that individually manifest essential elements of its mission and collectively encompass its mission.*

In support of this Vision/Mission, SFU has identified three core themes, each with its associated goal and supporting activities, to help it become the leading engaged university:

- **Engaging Students**
- **Engaging Research**
- **Engaging Communities**

The themes are not independent of one another, but overlap to a large degree, and it is where the themes overlap that SFU's unique strength can be found.

Figure 3: The integration of SFU's core themes



- **Fundamental Theme: Leveraging Institutional Strength**

For SFU to achieve its Vision/Mission, it must leverage the strength within its human, financial, and capital infrastructures. This supporting fundamental theme addresses SFU's need to be financially flexible by continuously improving its administrative systems, strengthening its infrastructure, and engaging the best people.

1.B.2 *The institution establishes objectives for each of its core themes and identifies meaningful, assessable, and verifiable indicators of achievement that form the basis for evaluating accomplishment of the objectives of its core themes.*

Core Theme: Engaging Students

The education of students is the central purpose for any university, and students' experience while attending a university can enhance or inhibit their ability to learn. At SFU, students are not "end-users" to be trained and produced, but partners in learning, discovery, and community engagement. In addition to encouraging critical thinking and research skills, SFU provides opportunities for students to gain practical experience, social aptitudes, and civic understanding, not only to be job-ready, but also to be life-ready. Engaging students and helping them achieve their educational and life objectives are at the core of SFU's Vision/Mission.

Goal - To equip students with the knowledge, skills, and experiences that prepare them for life in an ever-changing and challenging world.

Strategies

- SFU will foster supportive learning and campus environments.
- Combining the best traditions of academic and teaching excellence, SFU will provide students with diverse and transformative learning opportunities that enable them to gain the knowledge, critical capacities, research skills, and civic understanding required to become engaged global citizens and to thrive and adapt in demanding and dynamic environments.
- Students will have opportunities to participate in advanced research, thereby sharing in the labour and joy of creating and applying knowledge while acquiring the skills for lifelong learning.
- Students will have access to an unparalleled selection of experiential learning opportunities that allow them to apply knowledge, to grow as individuals, to engage with diverse communities, to develop entrepreneurial skills, and to refine their sense of civic literacy.

Table 1

Objective	Outcome	Indicator	Rationale for Indicator
Engaging Students To equip students with the knowledge, skills, and experiences that prepare them for life in an ever-changing and challenging world.	Students gain the knowledge to complete degree requirements.	Undergraduate composite graduation rate (%) (6-year graduation rate) for degree programs Graduate composite graduation rate (%) (6-year for master's programs, and 8-year for doctoral programs) Undergraduate retention rate (%) (year 1 to year 2) Graduate retention rate (%) (year 1 to year 2)	These indicators enable SFU to measure graduation rates of the various types of degrees the University offers as composite indicators for undergraduate and graduate studies, respectively. The selected timeframes are based on the average completion time for the respective types of degrees. Retention of students in the critical first two years of study is a good indicator of future degree completion.
		Undergraduate average credits in co-operative education and field schools per graduating student	Co-operative education and field schools are direct on-the-job and practical training experiences where students acquire “real world” working skills.
		Undergraduate student assessment of skill development (average %), as measured by the BC Baccalaureate Graduate Survey	Student self-assessments help SFU to determine if students are acquiring the necessary skills from their studies.
		Graduate student assessment of skills and abilities acquired during graduate program, as measured by the SFU Graduate Exit Survey	
	Students apply knowledge in the workplace or further studies.	Undergraduate student assessment of usefulness of knowledge and skills gained in performing job, as measured by the BC Baccalaureate Graduate Survey	SFU alumni most likely apply the knowledge gained at SFU in their employment or further studies after graduation.
	Graduate student assessment of graduate experience in current employment/position, as measured by the SFU Graduate Exit Survey		
	Undergraduate student assessment of academic preparation for further studies, as measured by the BC Baccalaureate Graduate Survey		
	Graduate student assessment of academic preparation for further studies, as measured by the SFU Graduate Exit Survey		

Core Theme: Engaging Research

SFU's Vision/Mission commits the University to becoming a world leader in knowledge mobilization, renowned for its capacity to disseminate knowledge and to harness new ideas and innovations for society's benefit. This commitment rests on a solid foundation of fundamental research, and at its centre is the five-year Strategic Research Plan, which highlights, supports, and promotes SFU's continued impact on the research community via output, chairs, and partnerships as it works to fulfill its Vision/Mission.

Goal - To be a world leader in knowledge mobilization building on a strong foundation of fundamental research.

Strategies

- SFU will leverage its fundamental research strengths, including interdisciplinary research, close community connections, and partnerships and collaborations to become a global leader in research mobilization.
- SFU will support and promote the full continuum of research, from the fundamental generation of knowledge, through the dissemination of that knowledge within the academic community and beyond, to the application of transformative ideas for the benefit of society.
- SFU will promote research excellence, supporting and encouraging all researchers, including undergraduates, graduate students, faculty, staff members, and community partners who assist the research mission.
- SFU will seek opportunities to transfer the results of its research to the broader society, including policy-makers, civil society leaders, and the community.

Table 2

Objective	Outcome	Indicator	Rationale for Indicator
Engaging Research To be a world leader in knowledge mobilization building on a strong foundation of fundamental research.	Research is high quality.	Research income: Tri-Council funding (\$) (SSHRC, NSERC, CIHR)	Total research funding is a generally accepted KPI for university research. It is collected annually by CAUBO and is commonly used in university rankings (Research Infosource, Times Higher Education Index, <i>Maclean's</i> , etc.). It is an input measure that serves as a good surrogate for research reputation and capacity.
		Research impact: number of citations for papers published (in a 5-year period)	Citation analysis serves as an output and outcome measure. The actual number of citations reflects research productivity, while the frequency of citations reflects the impact of the publications. As it takes several years for the research to be incorporated into work from other researchers, a five-year time window was chosen. The selected performance indicator incorporates both changes in output and impact.
	Knowledge is mobilized through partnerships/ collaborations with external partners.	Research partnerships: number of funded collaborative research projects with external partners	Almost all research carried out in the University requires some funding. Collaborative research is funded by contracts or grants from partner organizations (business, foundations, government branches) or through special programs by the Tri-Council set up to support partnership grants.
	Research is integrated into learning and teaching.	Research training: number of PhD degrees awarded each year	Active participation of undergraduate students in research projects is the best way to integrate research and teaching.

Core Theme: Engaging Communities

Community engagement is defined as collaboration between the university and communities for the mutually beneficial exchange of knowledge and resources in a context of partnership and reciprocity.¹⁰ The term *engagement* contrasts with that of *outreach*, which typically refers to one-way dissemination and communication to the public. SFU's communities are local, provincial, national, and global, and its partnerships and initiatives involve public and private sector organizations from diverse sectors and industries, as well as academic and professional networks. Engagement with the community is an important component of SFU's Vision/Mission.

Goal - To be Canada's most community-engaged research university.

Strategies

- SFU will maintain and expand its community connections as an integral part of its academic mission, creating opportunities for practical and experiential learning, informing and inspiring research, and contributing to its relevance and success.
- SFU will develop partnerships and maximize the capacities of its three campuses to enhance the social, economic, environmental, and cultural well-being of communities both locally and globally. The University will build respectful and mutually beneficial community relationships.
- SFU will meet the lifelong learning needs of students, alumni, and the community, and will respond with innovative programs and learning opportunities for academic, personal, and professional development.
- SFU will be BC's public square for enlightenment and dialogue on key public issues, and will be known as the institution to which the community looks for education, discussion, and solutions.

¹⁰ This definition is used by the Carnegie Foundation, an organization that provides a community engagement classification service for US institutions.

http://www.nerche.org/index.php?option=com_content&view=article&id=341&Itemid=92

Table 3

Engaging Communities	Objective	Outcome	Indicator	Rationale for Indicator
To be Canada's most community-engaged research university.		SFU is engaged with its alumni.	Alumni engagement score	This multi-level approach is based on research on best practices at several other universities. It allows SFU to evaluate the multi-faceted nature of alumni engagement.
		SFU is engaged locally.	Number of participants in SFU local outreach programs	The number of members of the community that participate in SFU outreach offerings is one measure of SFU's community engagement. SFU offers a spectrum of outreach programs that provide meaningful engagement with a range of BC communities and age groups. SFU's youth outreach programs support not only the academic development of children but their aspirations. Community lectures and events provide opportunities to not only share University expertise but also to learn from the community. New programs such as SFU's Public Square will provide further opportunities to engage all levels of government and communities in topics that are important to the community and where SFU can add value.
		SFU is engaged globally.	Number of active international partners	The number of current agreements with international organizations is an important indicator of SFU's global engagement. SFU enters into formal agreements with universities and other organizations around the world. These agreements cover a range of opportunities for SFU students, faculty, and staff, including student exchange programs, field schools, faculty exchanges, and research projects. Agreements are time limited and are not renewed if meaningful activity has not taken place. SFU's international strategy, currently under development, will ensure that new agreements are strategic and resources are in place to support and deepen SFU's relationships with international partners.

Fundamental Theme: Leveraging Institutional Strength

Although not a core theme that contributes directly to the achievement of the Vision/Mission, this theme ensures that the three core theme strategies can be implemented while also contributing to the institution's sustainability. This institutional strength includes being financially well-resourced, having well-developed administrative systems, recruiting and retaining excellent faculty and staff, and maintaining and developing supporting physical structures and facilities.

Table 4

Leveraging Institutional Strength	Objective	Outcome	Indicator	Rationale for Indicator
To be financially flexible by continuously improving administrative systems, strengthening infrastructure, and engaging the best people.	SFU is financially sound.	Net operating assets as a percentage of consolidated revenues	Net operating assets are a measure of flexibility and liquidity that indicates the degree to which the University is effectively managing its revenue sources, its operating expenses, and its investment portfolio. It is important to build and maintain a healthy surplus as it provides the University reserves that can be utilized to absorb short-term, unanticipated cost fluctuations not included in the operating budget.	
	SFU has IT services that support its priorities.	Joint availability of core services: SFU Connect, Canvas, SIMS, and off-campus internet connectivity	Indicator is under review.	
	SFU attracts and retains the best people.	Canada's Top 100 Employers	To attract and retain top quality employees, it is important for the University to be viewed as a highly desirable place to work. The Top 100 list is generated through a rigorous examination of employers and is an influential ranking that is utilized by prospective employees when making career choices. Being included on this list indicates the University has maintained high employment standards and is creating a very favourable environment in which to work.	
	SFU has facilities that meet its needs.	Facilities Condition Index (FCI)	The FCI metric indicates the condition of the University's buildings and related infrastructure and provides a formal basis for analyzing and prioritizing the maintenance needs of the campus. In order for the University to provide a safe, suitable environment for students, faculty, and staff, it has to maintain its assets to an acceptable level. The FCI is an important planning mechanism to ensure this occurs.	

Underlying Principles of the Core Themes of the Vision/Mission

In addition to the core themes and fundamental theme, SFU commits to the following underlying principles:

- **Academic and Intellectual Freedom:** SFU will be an open and inclusive university whose foundation is intellectual and academic freedom.
- **Diversity:** SFU will foster a culture of inclusion and mutual respect, celebrating the diversity and multi-ethnic character reflected amongst its students, staff, faculty, and our society.
- **Internationalization:** SFU will value international knowledge, understanding, and engagement, and will seek to engender an active global citizenship among its students, faculty, and staff, to ensure that SFU is an engaged partner and contributor on the international stage.
- **Respect for Aboriginal Peoples and Cultures:** SFU will honour the history, culture, and presence of Aboriginal peoples. The University will welcome and nurture Aboriginal students and seek opportunities for greater representation of Aboriginal peoples amongst its faculty and staff.
- **Supportive and Healthy Work Environment:** SFU will recognize, respect, and value the essential contribution made by staff and faculty, and will seek to build and sustain a work environment that is equitable, supportive, rewarding, and enjoyable.
- **Sustainability:** SFU will pursue ecological, social, and economic sustainability through its programs and operations. Through teaching and learning, research and community engagement, SFU will seek and share solutions. In its own operations, it will develop and model best practices, from minimizing its ecological footprint, to maximizing its social health and economic strength.

Chapter 2

**Standard Two:
Resources and Capacity**

2. Standard Two - Resources and Capacity

By documenting the adequacy of its resources and capacity, the institution demonstrates the potential to fulfill its mission, accomplish its core theme objectives, and achieve the intended outcomes of its programs and services, wherever offered and however delivered. Through its governance and decision-making structures, the institution establishes, reviews regularly, and revises, as necessary, policies and procedures that promote effective management and operation of the institution.

Executive Summary of Eligibility Requirements 4 - 21

Eligibility Requirement 4 – Operational Focus and Independence

The institution's programs and services are predominantly concerned with higher education. The institution has sufficient organizational and operational independence to be held accountable and responsible for meeting the Commission's standards and eligibility requirements.

Simon Fraser University (SFU) is a public post-secondary institution offering courses and programs for credit at the graduate and undergraduate levels, as authorized by British Columbia's *University Act*, which also guarantees the institution's organizational and operational independence and accountability.

Eligibility Requirement 5 – Non-Discrimination

The institution is governed and administered with respect for the individual in a nondiscriminatory manner while responding to the educational needs and legitimate claims of the constituencies it serves as determined by its charter, its mission, and its core themes.

The University establishes policies and procedures designed to ensure fairness and natural justice, address real or potential conflicts of interest, and prohibit discrimination on the basis of gender, age, ethnicity, or physical ability.

Eligibility Requirement 6 – Institutional Integrity

The institution establishes and adheres to ethical standards in all of its operations and relationships.

As a public institution that receives significant funding from both the provincial and federal governments, as well as tuition revenues from students, it is important that all University employees demonstrate ethical behavior to safeguard SFU's integrity and good reputation. To this end, the University has in place a number of measures to provide guidance to employees.

Eligibility Requirement 7 – Governing Board

The institution has a functioning governing board responsible for the quality and integrity of the institution and for each unit within a multiple-unit institution to ensure that the institution's mission and core themes are being achieved. The governing board has at least five voting members, a majority of whom have no contractual or employment relationship or personal financial interest with the institution.

The University has a governing Board of 15 members; the majority has no contractual or financial interest in the University. The Board has broad and overarching power to manage, administer, and

control the University's property revenue, business, and affairs. A Senate of 69 members provides academic governance.

Eligibility Requirement 8 – Chief Executive Officer

The institution employs a chief executive officer who is appointed by the governing board and whose full-time responsibility is to the institution. Neither the chief executive officer nor an executive officer of the institution chairs the institution's governing board.

The President is the University's chief executive officer. Appointed by the Board, the President never serves as its Chair, but does chair the academic Senate.

Eligibility Requirement 9 – Administration

In addition to a chief executive officer, the institution employs a sufficient number of qualified administrators who provide effective leadership and management for the institution's major support and operational functions and work collaboratively across institutional functions and units to foster fulfillment of the institution's mission and achievement of its core themes.

Additional leadership is provided by a complement of senior academic and other administrators appropriate to the University's size and to the scope of its activities. Each of the University's core themes is represented at the vice-presidential level, and senior officers act collaboratively to advance the University's Vision/Mission and the achievement of its core themes.

Eligibility Requirement 10 – Faculty

Consistent with its mission and core themes, the institution employs and regularly evaluates the performance of appropriately qualified faculty sufficient in number to achieve its educational objectives, establish and oversee academic policies, and ensure the integrity and continuity of its academic programs wherever offered and however delivered.

Faculty are appropriately qualified to carry out their responsibilities as teachers and researchers, and are evaluated regularly through tenure and promotion, student evaluations, and through granting bodies.

Eligibility Requirement 11 – Educational Program

The institution provides one or more educational programs which include appropriate content and rigor consistent with its mission and core themes. The educational program(s) culminate in achievement of clearly identified student learning outcomes, and lead to collegiate-level degree(s) with degree designation consistent with program content in recognized fields of study.

Existing academic programs are subject to regular external peer review. Starting in 2013/14, these reviews included learning outcomes for programs. (In 2013/14, 14% of all academic units had identified program learning outcomes. At the end of 2014/15, 65% of all academic units had identified program learning outcomes.) Proposed new programs are considered extensively for their academic rigour, their suitability to the curriculum, and for their appropriateness within the provincial system. Program objectives are increasingly demanding as students progress through undergraduate requirements, and graduate program content and objectives meet the standards for each discipline.

Eligibility Requirement 12 – General Education and Related Instruction

The institution's baccalaureate degree programs and/or academic or transfer associate degree programs require a substantial and coherent component of General Education as a prerequisite to or an essential element of the programs offered. All other associate degree programs (e.g., applied, specialized, or technical) and programs of study of either 30 semester or 45 quarter credits or more for which certificates are granted contain a recognizable core of related instruction or General Education with identified outcomes in the areas of communication, computation, and human relations that align with and support program goals or intended outcomes. Bachelor and graduate degree programs also require a planned program of major specialization or concentration.

The completion of any first undergraduate degree at SFU requires passing 30 credits in designated writing, quantitative, and breadth courses and the fulfillment of program requirements specific to, and appropriate for, the discipline.

Eligibility Requirement 13 – Library and Information Resources

Consistent with its mission and core themes, the institution maintains and/or provides access to library and information resources with an appropriate level of currency, depth, and breadth to support the institution's programs and services wherever offered and however delivered.

Library and information resources are extensive and provide sufficient currency, depth, and breadth to support SFU's teaching and research programs on campus and at a distance. The SFU Library is guided by its commitment to equal access and to the principles of the University's Vision/Mission.

Eligibility Requirement 14 – Physical and Technological Infrastructure

The institution provides the physical and technological infrastructure necessary to achieve its mission and core themes.

SFU's physical facilities are accessible, safe, secure, and sufficient in quantity and quality to ensure the healthy learning and working environments that support SFU's Vision/Mission, programs, and services.

The technological infrastructure is well-developed, functional, up-to-date, stable, and adequate to support the functions, programs, and services delivered by the University. Information Technology (IT) changes over the last decade have been massive, pervasive, and successful and SFU's IT environment continues to evolve in response to the intense demands and needs of the SFU community and within the context of a complex funding landscape.

Eligibility Requirement 15 – Academic Freedom

The institution maintains an atmosphere in which intellectual freedom and independence exist. Faculty and students are free to examine and test all knowledge appropriate to their discipline or area of major study as judged by the academic/educational community in general.

Within the Underlying Principles of its Vision/Mission, SFU commits to being an open and inclusive university with a foundation of intellectual and academic freedom. SFU's position is that the practice of academic freedom is a fundamental pre-condition for knowledge advancement.

Eligibility Requirement 16 – Admissions

The institution publishes its student admission policy which specifies the characteristics and qualifications appropriate for its programs, and it adheres to that policy in its admissions procedures and practices.

Admission decisions are transparent and based on criteria that are clearly and widely communicated. Admission standards and processes, including processes for appealing negative admission decisions, are clearly and publicly stated in numerous prominent places.

Eligibility Requirement 17 – Public Information

The institution publishes in a catalog and/or on a website current and accurate information regarding: its mission and core themes; admission requirements and procedures; grading policy; information on academic programs and courses; names, titles and academic credentials of administrators and faculty; rules and regulations for student conduct; rights and responsibilities of students; tuition, fees, and other program costs; refund policies and procedures; opportunities and requirements for financial aid; and the academic calendar.

The University publishes a *Calendar* (i.e., a catalogue) for current and potential students that provides comprehensive information on all rules, regulations, program requirements, grading scales, fee schedules, and other relevant topics. The *Calendar* also includes a complete list of approved courses and programs at the time of publication.

The University also has a website specifically dedicated to its Vision/Mission and its core themes.¹¹

Eligibility Requirement 18 – Financial Resources

The institution demonstrates financial stability with sufficient cash flow and, as appropriate, reserves to support its programs and services. Financial planning reflects available funds, realistic development of financial resources, and appropriate risk management to ensure short-term solvency and long-term financial sustainability.

SFU publishes annual budgets, financial plans, and other financial reports that provide extensive data on current and anticipated financial circumstances, as well as the financial planning principles that guide financial decisions.

To effectively manage strategic risks, a framework for risk identification, measurement, and monitoring has been implemented and the most significant risks are reported annually to the Audit, Risk and Compliance Committee of the Board of Governors.

Eligibility Requirement 19 – Financial Accountability

For each year of operation, the institution undergoes an external financial audit, in a reasonable timeframe, by professionally qualified personnel in accordance with generally accepted auditing standards. Results from the audit, including findings and management letter recommendations, are considered in a timely, appropriate, and comprehensive manner by the administration and governing board.

¹¹ <http://www.sfu.ca/engage/background.html>

As a public entity, the University is subject to annual audits by the Auditor General of British Columbia. The Board of Governors reviews audit results, including findings and the management letter.

Eligibility Requirement 20 – Disclosure

The institution accurately discloses to the Commission all information the Commission may require to carry out its evaluation and accreditation functions.

SFU accurately discloses to the NWCCU all information the Commission may require to carry out its evaluation and accreditation functions.

Eligibility Requirement 21 – Relationship with the Accreditation Commission

The institution accepts the Standards and related policies of the Commission and agrees to comply with these Standards and policies as currently stated or as modified in accordance with Commission policy. Further, the institution agrees that the Commission may, at its discretion, make known the nature of any action, positive or negative, regarding the institution's status with the Commission to any agency or members of the public requesting such information.

SFU accepts the NWCCU's Standards and related policies, and agrees to comply with them. SFU agrees that the Commission may make known the nature of any action, positive or negative, regarding SFU's status with the Commission to any agency or to members of the public who request such information.

Standard 2.A - Governance

A post-secondary institution relies on three principal resources to fulfill its mission: people, space, and money. Section 2 provides a high-level account of SFU's resources and how they are managed to fulfill its Vision/Mission.

To help those unfamiliar with the Canadian post-secondary environment to understand Simon Fraser University's place in it, this Report begins with an outline of the national and provincial contexts in which SFU operates.

The Canadian Context

In Canada, the constitutional authority for education is vested in provincial and territorial governments. There is, therefore, no Canadian equivalent to the US Department of Education. Each province and territory establishes laws to govern its own post-secondary institutions.

Canada's higher-education system has been predominantly public and public institutions remain, by far, the principal providers of university education. In some provinces, separate legislation and mechanisms have been established to govern private and out-of-province universities and colleges, leading to provincial differences in the post-secondary education environment.

Canada's post-secondary landscape is composed primarily of universities and colleges. Universities typically offer four-year undergraduate degrees and, in most cases, master's and doctoral degrees in the arts, sciences, and professions. In British Columbia, the 1960s saw significant growth of colleges and technical institutes offering university transfer courses and two-year programs in the technical and trades fields, and in the social sciences. In 2008, the demand for increased access to post-secondary education was met, in part, by elevating some colleges to degree-granting institutions. In British Columbia, the former "university colleges" have been designated teaching-intensive universities (TIU). The traditional universities, now designated as "research-intensive," are distinguished from TIUs by their much greater research orientation and a corollary requirement for continuing faculty in most disciplines to hold doctoral degrees.

Quality Assurance in the Absence of Accreditation

Canada has no national system of institutional accreditation. Instead, Canadian universities derive their authority from provincial legislation. Historically, the appropriate provincial charter, plus membership in Universities Canada (formerly the Association of Universities and Colleges of Canada), served in lieu of institutional accreditation. As a result of their long-standing commitment to work within a common standards framework across provincial jurisdictions, Canadian universities have developed a shared understanding of the value of each other's credentials. Universities Canada also provides the mechanism for inter-provincial co-ordination of inter-university transfer credit and advocates on behalf of its member institutions with government.

Canada's provincial and territorial governments also use legislation, to varying degrees, to establish, govern, recognize, and ensure high-quality post-secondary education. Under specific legislation,

programs and their standards may be either established by government or require government approval.

Each Canadian university is autonomous in academic matters and robust institutional quality-assurance policies and processes are the foundation of the Canadian quality-assurance regime. Universities use self-assessment methods, usually involving external academic expertise, to conduct quality reviews of the programs they offer. In some jurisdictions, institutional quality-review results may be considered when determining public-funding eligibility.

Despite a common institutional framework, differences do exist among universities, primarily in the programs they offer, the number of students they serve, and the scope and size of their external research grants. In 1990 the Canadian magazine, *Maclean's*, recognized the potential market for a Canadian version of the *US News and World Report* post-secondary rankings and created its own system for ranking Canadian institutions.

Maclean's groups Canadian institutions into three major categories, using a matrix that has since become standard. The categories are: "Medical-Doctoral" (universities with a range of PhD programs and research, as well as medical schools); "Comprehensive" (universities with a range of graduate and undergraduate programs, including professional degrees and significant research activity); and "Primarily Undergraduate" (universities that are undergraduate-focused, with relatively few graduate programs).

Simon Fraser University is considered one of Canada's 15 "Comprehensive" universities, based on its combination of research intensity and its broad offering of undergraduate programs. It has been ranked by *Maclean's* as the number one comprehensive university in the country for eight of the last nine years.¹²

British Columbia

In British Columbia, the *University Act*¹³ and the *Degree Authorization Act*¹⁴ ensure that provincially legislated universities and approved degree programs have an approved, clearly articulated, and published mission statement reflecting goals that are appropriate to an academic institution of high standard; and appropriate policies and processes concerning academic integrity and standards, including the admission and recruitment of students and the evaluation and awarding of academic credit.¹⁵

Relevant policies include quality assurance processes such as external reviews for new and existing institutions and programs.

The province monitors programs to the extent that the Ministry of Advanced Education (AVED) approves new and significantly revised programs. In addition to quality assurance and governance, Ministry approvals are also based on sufficiency of resources, linkages between the proposed curriculum and learning outcomes, anticipated student demand for the program, evidence of

¹² <http://www.macleans.ca/education/best-of-the-best-introducing-the-2016-macleans-university-rankings/>

¹³ http://www.bclaws.ca/EPLibraries/bclaws_new/document/ID/freeside/00_96468_01

¹⁴ http://www.bclaws.ca/EPLibraries/bclaws_new/document/ID/freeside/00_02024_01

¹⁵ http://www.aved.gov.bc.ca/degree-authorization/documents/exempt_status.pdf

labour market demand for program graduates, and the efficiency of program delivery across British Columbia's institutions.

Post-secondary Institutions in British Columbia

British Columbia has over 1,900 programs offered at 25 publicly funded post-secondary institutions, including 11 universities, 11 colleges, and three institutes. All of them receive provincial funding through AVED. Four of the universities are research-intensive: the University of British Columbia, the University of Northern British Columbia, the University of Victoria, and Simon Fraser University.

The research-intensive universities offer an array of undergraduate degree programs and graduate level programs. The teaching-intensive universities offer a narrower range of undergraduate-degree programs, as well as courses and programs in trades, vocational, and career technical studies leading to certificates and diplomas. They also offer developmental programs that prepare adult learners for post-secondary studies. A few offer largely graduate and applied programs.

Colleges offer developmental programs that prepare adult learners for post-secondary studies, as well as courses and programs in trades, vocational, career technical, and academic studies leading to certificates, diplomas, associate degrees, and applied degrees. Transfer credit for college-level work is assessed for all British Columbia post-secondary institutions through the British Columbia Council on Admissions and Transfer (BCCAT).¹⁶

Institutes are organized according to career, vocational, and technical specialties covering a variety of occupations. They may offer credentials from certificates to degrees.¹⁷

A number of private colleges, primarily with offerings in English as an Additional Language education, operate within British Columbia, and many private universities have been granted approval by the provincial government to award degrees.¹⁸

2.A.1 *The institution demonstrates an effective and widely understood system of governance with clearly defined authority, roles, and responsibilities. Its decision-making structures and processes make provision for the consideration of the views of faculty, staff, administrators, and students on matters in which they have a direct and reasonable interest.*

The University Act

In 1963, British Columbia's *University Act* (the "Act")¹⁹ created SFU and prescribed its governance system, which is "composed of a chancellor, a convocation, a board, a senate and faculties." The Board of Governors (the "Board") and the Senate are the principal governing bodies, with the *Act* defining the scope and limits of each one's authority, membership, and responsibilities.

¹⁶ <http://www.bccat.ca/>

¹⁷ <http://www.aved.gov.bc.ca/publicpsed/welcome.htm>

¹⁸ <http://www.aved.gov.bc.ca/privatepsed/institutions.htm>

¹⁹ http://www.bclaws.ca/Recon/document/ID/freeside/00_96468_01

The respective roles of the Board and Senate are well understood and extensively communicated within the University. All policies and procedures relating to their operations are published on the University website, and meetings are held regularly according to schedules published months in advance. Senate and Board agendas are published and circulated broadly and meetings are open to the public, except where law, regulation, or policy requires that matters be addressed *in camera*.²⁰

Representation of faculty, students, and staff on SFU's Board is provided for in the *Act*.²¹ In 2015, SFU's Board has 15 members: the Chancellor; the President; two faculty members elected by the faculty; eight members appointed by British Columbia's Lieutenant Governor in Council (two of these appointed from among persons nominated by the alumni association); two elected students, one from the undergraduate student society and one from the graduate student society; and one person elected by and from University employees who are not faculty members.

The *Act* also provides for the appointment by the Board of a President, requires that the University collect student society fees and remit them to the appropriate society, and mandates the appointment of an internal auditor to report to the Board annually. At SFU, the Internal Auditor works directly with the Board's Audit, Risk and Compliance Committee.

2.A.2 *In a multi-unit governance system, the division of authority and responsibility between the system and the institution is clearly delineated. System policies, regulations, and procedures concerning the institution are clearly defined and equitably administered.*

As the principal stakeholder in its public post-secondary education system, the provincial government mandates some reporting requirements. Under the *University Act*, a university "must provide the minister with reports and any other information that the minister considers necessary to carry out the minister's responsibilities in relation to the university."²²

These reporting requirements take several forms. SFU submits an externally audited annual FTE enrollment report and quarterly financial reports to AVED to meet its obligations under the *Budget Transparency and Accountability Act*.²³ Reports are used by the government to prepare key financial reports, such as the budget and fiscal plan, quarterly report, and the public accounts.

Every publicly funded post-secondary institution also must submit to government an annual *Institutional Accountability Plan and Report* (IAPR), which includes an Accountability Framework featuring key performance indicators (KPIs) with targets. FTE enrollments, completion rates, and student satisfaction with the quality of teaching are examples of KPIs. IAPRs for all British Columbia universities are posted on the AVED website.²⁴

Government retains final approval of all new degree program proposals from post-secondary institutions. The proposals are formally reviewed and commented on by other institutions with

²⁰ <http://www.sfu.ca/policies/gazette/board/B10-10.html>

²¹ http://www.bclaws.ca/EPLibraries/bclaws_new/document/ID/freeside/00_96468_01

²² http://www.bclaws.ca/EPLibraries/bclaws_new/document/ID/freeside/00_96468_01

²³ http://www.bclaws.ca/EPLibraries/bclaws_new/document/ID/freeside/00_00023_01

²⁴ http://www.aved.gov.bc.ca/framework/accountability_plans.htm

similar programs. Considerations include the institution's existing ability to support the program (e.g., current expertise in related fields), demand within the provincial system for such programs (e.g., marketability), and whether similar programs already exist within the system (e.g., competitiveness).

Proposals for new degree programs from established universities go directly to the minister for approval following a 30-day Notice of Intent period, during which the proposal is posted on the Ministry's website. The Degree Quality Assessment Board reviews a proposal only when the minister has concerns about it and refers it to the Board.

2.A.3 *The institution monitors its compliance with the Commission's Standards for Accreditation, including the impact of collective bargaining agreements, legislative actions, and external mandates.*

The SFU Board monitors the University's compliance with provincial and governmental mandates. The Accreditation Steering Committee, consisting of the President, Vice-Presidents, and Deans, monitors the University's compliance with the standards of the NWCCU.

As SFU is a public sector employer, the province also prescribes compensation for SFU's employees under its *Public Sector Employers Act* ("PSEA").²⁵ Through this mechanism, government establishes the bargaining mandate and funds the settlements across the board.

Governing Boards

2.A.4 *The institution has a functioning governing board consisting of at least five voting members, a majority of whom have no contractual, employment, or financial interest in the institution. If the institution is governed by a hierarchical structure of multiple boards, the roles, responsibilities, and authority of each board—as they relate to the institution—are clearly defined, widely communicated, and broadly understood.*

The principal elements of SFU governance are vested in a bicameral arrangement involving the Board of Governors and the Senate, and in its institutional policies. The University is a statutory body, created by the *University Act of British Columbia*. The Act prescribes that SFU shall have a Senate and Board of Governors, defines their roles and responsibilities, and establishes their composition. The governance structures established in legislation are reinforced and refined in University policy and procedural documents at all levels of the University.

Major strategies and significant decisions taken by governing bodies and senior officers are informed by the views of faculty, students, staff, and other members of the community through a variety of means. The major structures and processes through which governance takes place are addressed in greater length and detail below.

Students are represented on both the Board of Governors and the Senate, and on their several

²⁵ http://www.bclaws.ca/EPLibraries/bclaws_new/document/ID/freeside/00_96384_01

committees.

The Board of Governors

By statute, the Board of Governors is the University's primary governing body. The powers of the Board of Governors are "without limitation to its broad and overarching power to manage, administer and control property revenue, business and affairs of the university." Further, the *University Act* states that a university's Board of Governors is authorized "to do and perform all other matters and things that may be necessary or advisable for carrying out and advancing, directly or indirectly, the purposes of the university."

SFU's Board of Governors has 15 members; of these, the majority must have no employment, contractual, or financial relationship with the University. Governance structures, including lines of authority, roles, and responsibilities for principal governing bodies and their members, are clearly defined, broadly communicated, and well understood.

The Board Chair is elected by, and from among, its members. It is a statutory requirement that the Chair be one of the eight Order-in-Council members appointed by the province.

The *Act* also sets terms of office for Board members and provides for their reappointment, re-election, and removal from office. It identifies who is not eligible to serve on the Board and establishes how vacancies will be filled. According to the *Act*, at least four meetings must be held each year, the threshold for quorum is 51% of members, and the Chair is given equal voting rights with other members.

All Board-related University policies can be found in the University's *Policy Gazette*.²⁶

2.A.5 *The board acts only as a committee of the whole; no member or subcommittee of the board acts on behalf of the board except by formal delegation of authority by the governing board as a whole.*

The Board has created seven standing committees to which it delegates some authority to act on its behalf. A list of the standing committees, and their individual terms of reference and memberships, is published on the University's *Policy Gazette*²⁷ as well as on the Board's website.²⁸

Board meetings are typically held bi-monthly, with the majority of business being carried out in open meetings. Under policy, a schedule of meetings for the coming year must be published before the end of the current year. To ensure transparency, few items are addressed *in camera*; clear guidelines are set and published to identify what those items may be.²⁹

All decisions made by the Board can only be passed with a majority vote. Where there are equal

²⁶ <http://www.sfu.ca/policies.html>

²⁷ <http://www.sfu.ca/policies/gazette/board/B10-02.html>

²⁸ <http://www.sfu.ca/bog.html>

²⁹ <http://www.sfu.ca/policies/gazette/board/B10-01.html>

votes for and against a motion, the question is resolved in the negative, and the Chair shall so declare.

New Board members receive a comprehensive information binder to help them understand their roles and responsibilities and they meet individually with the University Secretary to review key information.

2.A.6 The board establishes, reviews regularly, revises as necessary, and exercises broad oversight of institutional policies, including those regarding its own organization and operation.

Policies and rules for the conduct of the Board are reviewed regularly and revised as needed. All Board-specific policies have been created or revised since 2004 to maintain their currency and relevance.

All University policies come to the Board for approval or for information. Policies affecting the University's academic governance are approved by Senate and reviewed by the Board's University Relations Committee to fulfill the *Act*'s requirements and to ensure Senate maintains primary responsibility for academic governance.

With Senate approval, the Board establishes procedures for the selection of candidates for the President, Deans, Registrar, and any other senior academic administrators designated by the Board. The Board also formally appoints these officials, as it does professors and other members of the teaching staff. The Board has the power to fix salaries and define the duties and tenure of office for its appointees, but teaching staff members may not be appointed, promoted, or removed without the President's recommendation.

The Board receives from the President and adopts, with or without modification, the University's operating and capital budgets. The Board also fixes student fees; administers funds, grants, fees, endowments, and other assets; and, with the approval of Senate, determines the number of students who may be enrolled.

The Board's Executive and Compensation Committee determines compensation for the University's most senior officers; including the President, Vice-Presidents, and Deans. Compensation levels are based on the University's ability to pay, an assessment of the value of the work done, and the importance of maintaining salaries competitive with the market for similar positions. Performance of senior officers is reviewed annually.

2.A.7 The board selects and evaluates regularly a chief executive officer who is accountable for the operation of the institution. It delegates authority and responsibility to the CEO to implement and administer board-approved policies related to the operation of the institution.

The President

Leadership at SFU begins with the President. Under the *University Act*, the University must have

a President who "will generally supervise the academic work of the university." Presidents are chosen under the terms set out in policy.³⁰ A hiring committee with broad representation from all levels of the University carries out the searches. Faculty, students, and staff elected by their several constituencies must be among the committee members. The search committee's recommendation is subject to Board approval.

Conducting an annual evaluation of the University's President is one of the Board's most important responsibilities. It provides a formal opportunity for the Board and President to review together the University's performance and the President's leadership.

2.A.8 *The board regularly evaluates its performance to ensure its duties and responsibilities are fulfilled in an effective and efficient manner.*

Since 2006, the Board's Governance and Nominating Committee has carried out a bi-annual survey of members to hear their views on how the Board and its sub-committees are meeting their responsibilities, and on how the University is supporting members in their work. The survey is developed by the Governance and Nominating Committee and distributed to all Board members, with responses submitted to the Board Chair. The Board also attends an annual two-day retreat to review their performance and to discuss future plans and actions.

The Senate

Under Part 7, section 37 of the *Act*, "the academic governance of the university is vested in the Senate." Senate is concerned with all matters that bear on the University's teaching and research, including the development of new initiatives, the formation of priorities, and the consideration and approval of policies.

The Senate has many statutory powers; among them, the ability to identify and conduct its business; to elect a vice-chair; to establish committees and delegate authority to them; to set admission and graduation criteria; to award scholarships, bursaries, and academic prizes; to recommend to the Board the approval or concluding of academic programs; to set the terms of affiliation with other post-secondary (or secondary) institutions; and to establish a standing committee of final appeal for students facing academic discipline.

The President is Chair of Senate and is responsible for the orderly advancement of the legitimate business of the Senate. Each year Senate elects a Vice-Chair, who sits on the Senate Committee on Agenda and Rules (SCAR). Vice-Chairs can serve no more than two consecutive terms. An orientation is held annually to introduce new members to Senate. Under the *Act*, the Registrar is the *ex officio* Secretary to the Senate; duties of the position include managing the Senate's day-to-day operations and its constituent committees, and ensuring that all Senate-related records are properly maintained.

Senate membership is defined in Section 35 (2) of the *Act*. As of March 2015, SFU's Senate had 69 members; including elected and appointed members chosen from among faculty, students, staff,

³⁰ <http://www.sfu.ca/policies/gazette/board/B10-06.html>

professors emeriti, convocation founders, faculty founders, and the broader community.

Senate usually meets on the first working Monday of each month in open and closed sessions. Matters for decision are normally brought to Senate through SCAR, which also makes an initial decision on whether an item will be considered in open or closed session. The Senate may, however, move an item from open to closed session or vice versa, based on a majority vote. Notices of meeting, agendas, and all available supporting papers are circulated to members at least seven days before the meeting. Agendas for both open and closed sessions are published in advance. All Senate agendas and minutes are made available to the public on a Senate-specific webpage.³¹

SFU's first Senate meeting was held November 29, 1965. In 1967, the University's Senate demonstrated a profound commitment to shared governance and full transparency by voting to admit three student representatives. That vote made SFU the first ever Canadian university with formal student representation on its academic governing body. In another precedent-setting decision, Senate admitted observers to its open sessions beginning in 1968.

Leadership and Management

2.A.9 *The institution has an effective system of leadership, staffed by qualified administrators, with appropriate levels of responsibility and accountability, who are charged with planning, organizing, and managing the institution and assessing its achievements and effectiveness.*

2.A.10 *The institution employs an appropriately qualified chief executive officer with full-time responsibility to the institution. The chief executive officer may serve as an ex officio member of the governing board, but may not serve as its chair.*

2.A.11 *The institution employs a sufficient number of qualified administrators who provide effective leadership and management for the institution's major support and operational functions and work collaboratively across institutional functions and units to foster fulfillment of the institution's mission and accomplishment of its core theme objectives.*

The Board of Governors and the Senate are the senior governing bodies at the University. They are both supported by the President, the Vice-Presidents, the Associate Vice-Presidents, and the Faculty Deans.

The President

The President is Chair of the Senate and an *ex officio* member of the Board of Governors. The President does not serve as the Chair of the Board. The *Act* grants the President the power to recommend appointments, promotions, and removal of members of the teaching and administrative staffs and the officers and employees of the University. The *Act* also grants the President the power to summon meetings of a Faculty and to convene joint meetings of all or any of the Faculties, to determine if lectures and instruction in any Faculty should be given by persons

³¹ <https://www.sfu.ca/senate/summaries-senate.html>

other than the appointed teaching staff members, and to establish any necessary committees.

The President provides leadership and comprehensive attention to institutional issues through weekly meetings with the Vice-Presidents and Associate Vice-Presidents, and through regular meetings with the Deans.

Annual performance reviews for the President and other senior executives are required under the University's policy on Executive Compensation,³² which sets the terms and conditions for performance reviews and salary advancement. The Board's Executive and Compensation Committee is responsible for reviewing the President's performance.

The President is supported by a complement of senior academic and administrative executive officers. These officers are chosen by search committees with broad representation from the University community and appointed by the Board of Governors as required by the *Act* and according to processes set out in University policies. Similar representation is guaranteed by University policies³³ in the appointments of other senior administrative and academic positions.

The Vice-Presidents

The number of senior administrative officers has increased over time to match the University's growth and is considered appropriate for the University's size and complexity. In addition, SFU's administrative structure is comparable to that of other Canadian comprehensive universities. The makeup of the senior administration also reflects the University's commitment to its core themes, each of which is represented at the vice-presidential level.

Vice-Presidents exercise leadership by formulating, in consultation with their communities, strategic goals appropriate to their areas, and by overseeing the implementation of measures to meet those goals. In larger portfolios, the Vice-Presidents are supported by Associate Vice-Presidents.

Performance goals for Vice-Presidents are set by the President and the Board in consultation with individual Vice-Presidents. Executive compensation reflects a measurement of job worth, based on the skill, effort, responsibility, and working conditions required to perform the work. Other than general salary increases, adjustments to senior administrative compensation are based on clearly defined individual and organizational goals that are reviewed annually.

Academic Leadership

Academic leadership comes from the Vice-President, Academic (VPA), who is assisted by the Associate Vice-President, Academic; the Vice-President, Research (VPR); and the 11 academic Deans (including the Deans of the eight Faculties, Graduate Studies, the Library, and Lifelong Learning), and by the Chairs and Directors of the academic departments and schools.

³² <http://www.sfu.ca/policies/gazette/board/B10-08.html>

³³ GP29 (Search Committees for Vice-Presidents and Associate Vice-Presidents) and the A13 series of policies (for Deans, Chairs and directors of academic units). <http://www.sfu.ca/policies/gazette/general/gp29.html> and <http://www.sfu.ca/policies/gazette/academic.html>

The VPA's primary objectives are to provide an outstanding education for SFU students and a productive research environment for faculty by: attracting and supporting the best students; recruiting and retaining outstanding teachers and researchers; supporting high-quality and innovation in academic programs; promoting excellence in research, scholarship, and teaching; and responding to community needs for education and research.

Faculty Deans chair their Faculties and report to the VPA. Powers and duties of the Faculty Deans are established by the *University Act*,³⁴ which states:

- to make rules governing its proceedings, including the determining of the quorum necessary for the transaction of business
- to provide for student representation in the meetings and proceedings of the Faculty
- subject to this *Act* and to the approval of the Senate, to make rules for the government, direction, and management of the Faculty and its affairs and business
- to determine, subject to the approval of the Senate, the courses of instruction in the Faculty
- subject to an order of the President to the contrary, to prohibit lecturing and teaching in the Faculty by persons other than the appointed members of the teaching staff of the Faculty and persons authorized by the Faculty, and to prevent lecturing or teaching so prohibited
- subject to the approval of the Senate, to appoint for examinations in each Faculty examiners, who, subject to an appeal to the Senate, must conduct examinations and determine the results
- to deal with, and subject to an appeal to the Senate, to decide on all applications and memorials by students and others in connection with their respective Faculties
- generally, to deal with all matters assigned to it by the Board or the Senate

Consistent with the *Act*, SFU's policy on the Responsibilities of Deans of Faculties clarifies how decanal roles and responsibilities will be carried out within the University.³⁵

At SFU some Faculties are divided into smaller units, referred to as departments (led by a Chair) or schools (led by a Director). "School" is generally used to distinguish units with a more professional focus. Departments and schools are considered equivalent for administrative purposes. Throughout this Report, references to departments and Chairs should be understood also to apply to schools and Directors. The Faculties of Education and Health Sciences and the Beedie School of Business employ non-departmental structures.

Department Chairs are faculty members with the respect and confidence of their department members and with the administrative skill and initiative to guide their departments effectively. During their tenure in office, Chairs must make department interests their paramount concern. Chairs are nominated by departmental selection committees and ratified by a majority vote of department faculty.³⁶ They are appointed for their dedication to teaching, research, and service; for their intellectual, professional, and administrative abilities; and for their leadership skills. Chairs are expected to ensure that the decision making process includes full discussion with interested

³⁴ http://www.bclaws.ca/civix/document/id/complete/statreg/96468_01

³⁵ <http://www.sfu.ca/policies/gazette/academic/a13-06.html>

³⁶ <http://www.sfu.ca/policies/gazette/academic/a13-02.html>

parties and that all reasonable attempts are made to reconcile differing viewpoints. Chairs and Directors report to the Faculty Dean.

The success of the University's Vision/Mission can be achieved only with the assistance of its administrative and support staff, who conduct the day-to-day management, including the maintenance of the University's physical campuses and electronic environments. Leadership is provided at all levels of the institution, with the structure of the SFU's senior administrative and senior academic structures³⁷ represented in organizational charts posted on the University's website.

Student Leadership

In addition to participating on Senate, the Board of Governors, and numerous *ad hoc* and other committees, students elect the members of governing bodies for their own societies.

Undergraduate students belong to the Simon Fraser Student Society (SFSS) and graduate students to the Graduate Student Society (GSS).

Both the GSS and the SFSS are funded by student fees approved by their members through referenda. Acting as mandated by the *Act*, SFU collects these fees at the time of registration and remits them to the appropriate society. Funding from fees is used to operate student space and society businesses, support student clubs, sponsor student-centred events, and advocate on behalf of student interests. Student fees also pay for extended health and dental plans purchased through the societies and cover the costs of a universal transit pass (Compass Card) so that SFU students can use the Lower Mainland's Translink system.

Additional information on the two student associations is available on the GSS³⁸ and SFSS³⁹ websites.

Policies and Procedures

Academics

2.A.12 *Academic policies—including those related to teaching, service, scholarship, research, and artistic creation—are clearly communicated to students and faculty and to administrators and staff with responsibilities related to these areas.*

SFU communicates many of its key institutional decisions via policies, which define how the institution's business will be carried out. Each policy reflects a key principle or rule, establishes the context or provides a rationale for it, prescribes how it will be implemented, defines roles and responsibilities, specifies the scope of application, and otherwise provides basic guidance to community members on the policy's relevance and application.

³⁷ Organization charts for SFU's senior administrative structure and senior academic administrative structure can be found at <http://www.sfu.ca/pres/administration.html>

³⁸ <http://sfugradsociety.ca/>

³⁹ <http://www.sfsu.ca/>

Policies also elaborate on or translate legislation and regulation established by external governing bodies into the university context. Examples of policies based on government regulation include Human Rights,⁴⁰ Access to Information and Protection Privacy,⁴¹ and Radiological Safety.⁴²

SFU has over 220 institutional policies, providing a robust framework that supports and guides institutional activities at all levels. All policies are posted on the University's website where they are categorized by series and function. When ordered by series, policies are grouped according to whether they are academic, administrative, Board of Governors, general, information, research, academic honesty and student conduct, and teaching and instruction.⁴³ When ordered by function, policies are mapped to the University file-classification plan according to major purpose: finances, human resources, student services and records, for example.

When a new policy or substantive changes to a policy are considered, the University community has an opportunity to comment on drafts prior to their approval. Announcements to faculty, staff, and students outline the nature of proposed changes or the intention of the proposed policy and invite comments on the draft, which are posted on the "Draft Policies" website.⁴⁴ Comments are reviewed and drafts are amended as useful and appropriate. Final drafts are forwarded to Senate and the Board for information and/or approval.

Some policies are not subject to the same broad consultation processes. For instance, policy changes imposed by changing regulations (e.g., the handling of hazardous materials or the sale of alcohol or tobacco) are widely communicated for educational reasons, but not significantly affected by public comment.

Many policies articulate the formal results of negotiations between the University and an employee group; for these, the process of negotiation and approval by the employee group constitutes the equivalent of "consultation." Among these are some of the A policies (Faculty Association), the AD9s (excluded staff) and the AD10s (non-excluded administrative and professional staff). The policies negotiated between the University and the Faculty Association are to be replaced by a Collective Agreement in light of the Faculty Association becoming a certified trade union in May 2014.

The academic *Calendar*, published every semester, describes academic policies with direct relevance to students, as well as information on fees, academic and campus services, etc.⁴⁵

2.A.13 Policies regarding access to and use of library and information resources—regardless of format, location, and delivery method—are documented, published, and enforced.

The Library's facilities on all three SFU campuses provide access to collections, in-person research assistance, and study space. Reference and information services are also offered

⁴⁰ <http://www.sfu.ca/policies/gazette/general/gp18.html>

⁴¹ <https://www.sfu.ca/policies/gazette/information/I10-04.html>

⁴² <https://www.sfu.ca/policies/gazette/research/r20-04.html>

⁴³ <https://www.sfu.ca/policies/gazette.html>

⁴⁴ <http://www.sfu.ca/policies/draft.html>

⁴⁵ <https://www.sfu.ca/students/calendar/>

through many virtual channels for the convenience of researchers, including telephone, email, chat and text messaging, and twitter. Technical advice is offered in co-operation with IT Services. The British Columbia Electronic Library Network is hosted by the SFU Library, a synergistic relationship that has fostered online support, resource sharing, and electronic journal licensing for all British Columbia post-secondary libraries. The SFU Library also hosts the Electronic Health Library of British Columbia, supporting online information service to health services educational, training, and practitioner organizations. A list of all Library policies can be found on the Library website.⁴⁶

2.A.14 The institution develops, publishes widely, and follows an effective and clearly stated transfer-of-credit policy that maintains the integrity of its programs while facilitating efficient mobility of students between institutions in completing their educational programs.

With over 30% of SFU's admissions coming through institutional transfers,⁴⁷ transfer credit management is a key element of the University's admission processes. SFU was the first British Columbia institution to recognize the importance of establishing a provincial process to articulate transfer credits. The process is now grounded in well-established, province-wide articulation committees that meet, discipline-by-discipline, to address transfer credit issues.⁴⁸

The work of the articulation committees is administered by the British Columbia Council on Admissions and Transfer (BCCAT), which operates under a provincial mandate to facilitate articulation and transfer arrangements among British Columbia's post-secondary institutions. Transfer credit guidelines and general information is posted on the BCCAT website,⁴⁹ and all SFU-specific transfer credit policies, rules, and regulations are in the SFU *Calendar*.⁵⁰ SFU also subscribes to the 1994 Pan-Canadian Protocol on the Transferability of University Credit,⁵¹ which commits SFU to considering for credit all coursework satisfactorily completed by students transferring from degree programs at other Canadian universities.

The Undergraduate Admissions Office also maintains a "live" internal database that holds transfer credit rules and articulations from many post-secondary institutions worldwide, so courses taken at colleges, technical institutes, and other universities can be recognized appropriately for transfer credit. SFU initiates and maintains dual-partnership agreements and dual-degree programs for which the transfer of credits and applicability of coursework are clearly articulated. SFU International⁵² also maintains a database of course-specific transfer for students interested in completing coursework at international institutions with which SFU has exchange or other partnership agreements. SFU has over 251 such partnerships in over 73 countries and offers exchange programs, field schools, work abroad, and other study abroad options in over 50 countries. In 2014/15, 503 students went on outbound exchange, 102 students participated in a

⁴⁶ <http://www.lib.sfu.ca/about/policies>

⁴⁷ <http://www.sfu.ca/irp/enrollments/EnrollmentDashboard.html>

⁴⁸ Johnston, Hugh. "Radical Campus: Making Simon Fraser University", Douglas & McIntyre, 2005, page 285

⁴⁹ <http://bccat.ca/>

⁵⁰ <http://www.sfu.ca/students/calendar>

⁵¹ <http://www.cmecc.ca/Publications/Lists/Publications/Attachments/198/Pan-Canadian-Protocol-Transferability-University-Credits.pdf>

⁵² <http://www.sfu.ca/students/international/>

field school, and approximately 180 co-op students went abroad. A total of 319 students came to SFU for exchange or short-term study abroad programs.

Students

2.A.15 Policies and procedures regarding students' rights and responsibilities—including academic honesty, appeals, grievances, and accommodations for persons with disabilities—are clearly stated, readily available, and administered in a fair and consistent manner.

All policies regarding students' rights and responsibilities are posted on the SFU policy page and published every semester in the academic *Calendar*,⁵³ alongside pertinent enrollment information, such as class timetables, scheduling, pre-requisite requirements, etc. All student-related polices (i.e., academic honesty, appeals, grievances, etc.) are administered fairly and consistently by the Student Services unit, on behalf of, and in conjunction with, all University administrative levels.

The University is committed to creating a scholarly community characterized by civility, diversity, free inquiry, mutual respect, and individual safety. The Code of Student Conduct⁵⁴ defines students' basic responsibilities as members of SFU's academic community, clarifies what constitutes inappropriate student behaviour, and sets out procedures and penalties in the event of unacceptable behavior. The Code does not unreasonably prohibit peaceful assemblies, demonstrations, or free speech.

Appeal procedures exist for academic discipline, student misconduct, tuition refunds, withdrawal for extenuating circumstances, reconsideration of grades, admission, the determination of transfer credit, and administrative errors. All appeals are heard before University tribunals, boards, or committees composed of faculty, staff, and/or students as appropriate, and all are governed by the principles of natural justice and procedural fairness.

Centre for Students with Disabilities

Simon Fraser University recognizes and affirms the rights of students with disabilities who are academically qualified, to have full, fair, and equal access to all University services, programs and facilities and to be welcomed as participating members of the University community. The Centre for Students with Disabilities helps ensure that the University does not unintentionally or indirectly discriminate against persons with disabilities in any other policies or practice.⁵⁵

As an integral part of the Student Services unit, the Centre for Students with Disabilities (CSD) helps provide an equal education opportunity for all individuals with disabilities by providing disability-related information, support, and counseling to the SFU community and campus visitors. The Centre reviews eligible students' disability documentation and recommends reasonable academic accommodations to offset any detrimental effects of their disabilities on

⁵³ <https://www.sfu.ca/students/calendar/>

⁵⁴ <http://www.sfu.ca/policies/gazette/student/s10-01.html>

⁵⁵ <https://www.sfu.ca/policies/gazette/general/gp26.html>

academic life. The CSD also acts as a liaison between students and faculty in the implementation of disability-related services and accommodations, while advocating on issues related to diversity, educational equity, and academic achievement.

2.A.16 *The institution adopts and adheres to admission and placement policies that guide the enrollment of students in courses and programs through an evaluation of prerequisite knowledge, skills, and abilities to assure a reasonable probability of student success at a level commensurate with the institution's expectations. Its policy regarding continuation in and termination from its educational programs—including its appeals process and readmission policy—are clearly defined, widely published, and administered in a fair and timely manner.*

Simon Fraser University welcomes applications from domestic and international students. All new students must apply for and be granted admission to the University. An admission offer and a letter of acceptance are required before students may enroll in courses for academic credit.

Admission and readmission requirements are extracted from the more complete regulations approved by Senate and are posted every semester in the academic *Calendar*.⁵⁶ Interpretation of regulations rests with the Senate Committee on Undergraduate Studies.⁵⁷ The University reserves the right to reject or accept any applicant and any rejected applicant has the right to appeal their admission or readmission. Student Appeals policies and procedures are posted in the *Calendar*.⁵⁸

English is the language of instruction at SFU. Regardless of country of origin or citizenship status, all applicants are required to demonstrate competence in the English language prior to admission. That competence is required in listening, reading, speaking, and writing. The University also requires students to be competent in quantitative and analytical skills. Full details on the skills required for admission are posted online in the *Calendar* every semester.

Student admissions are also based on competitive high school grade averages and/or post-secondary transfer averages, which are set by each Faculty. Faculty also determines the prerequisites required for all of its courses. These are listed in the *Calendar*.

2.A.17 *The institution maintains and publishes policies that clearly state its relationship to co-curricular activities and the roles and responsibilities of students and the institution for those activities, including student publications and other student media, if offered.*

Student speakers at SFU's convocation ceremonies often say that they learned more at University outside of classes than in. Recognizing the important truth of this, SFU invests significant resources to support co-curricular activities and programs that enhance the development of students' academic and professional life, social skills, personal health and wellness, and community

⁵⁶ <http://www.sfu.ca/students/calendar/2016/spring/fees-and-regulations/admission/undergraduate-admission.html>

⁵⁷ <https://www.sfu.ca/senate/senate-committees/scus.html>

⁵⁸ <http://www.sfu.ca/students/calendar/2016/spring/fees-and-regulations/student-appeals/undergraduate-appeals.html>

outreach. In September 2014, SFU launched its first co-curricular experiences, a Student Services initiative that encourages students to get involved in co-curricular activities.⁵⁹ Concurrently, a Student Ambassador program, an umbrella program for on-campus volunteerism, was launched at all three campuses.⁶⁰

Some activities are closely related to students' academic work, such as those in SFU's co-operative education programs. Others, like athletics and various leadership programs, are less directly related to academics. All are designed to increase students' awareness of the world by introducing them to experiences that might otherwise remain beyond the boundaries of their academic lives.

With the exception of recreation clubs, all student clubs operate under the governance and sponsorship of the Simon Fraser Student Society (SFSS). The SFSS publishes all of its governance documents, including its policy manual, on its website.⁶¹ In turn, SFU Recreation also posts its policies on its website.⁶²

Student Publications and Media

SFU's weekly student newspaper, the *Peak*, was first published on October 4, 1965. It is currently available in both print and online. The *Peak* is run by the Peak Publications Society, which is governed by a Board of Directors made up of current SFU students. The Board adheres to a constitution and various other operational and procedural policies.⁶³

SFU's campus/community radio station, CJSF Radio,⁶⁴ is run by a small paid staff, several volunteer department coordinators, and over 150 general volunteers drawn from SFU campuses and the larger community. An elected Board of Directors, composed of seven volunteers who each serve two-year-minimum terms, governs it.

Human Resources

2.A.18 *The institution maintains and publishes its human resources policies and procedures and regularly reviews them to ensure they are consistent, fair, and equitably applied to its employees and students.*

SFU regularly maintains and reviews its human resource policies and procedures to ensure they are consistent, fair, and equitably applied to employees and students. Policies and procedures directly related to the terms and conditions of employment are of two types: those that apply to all staff regardless of employee group, and those specific to an employee group that result from negotiation and collective bargaining. When serving as University employees, students have the same rights as non-

⁵⁹ <https://www.sfu.ca/students/get-involved/recognition/co-curricular-record.html>

⁶⁰ <https://www.sfu.ca/students/get-involved/ambassador-program.html>

⁶¹ <http://sfss.ca/about-us/governance-documents>

⁶² <http://www.sfu.ca/students/recreation/active/Policies.html>

⁶³ <http://www.the-peak.ca/policy/>

⁶⁴ <http://www.cjsf.ca/>

student employees.

SFU has a complete listing of human resources-related policies that are subdivided by these general classifications:

- General
- Employee Relations – General
- Employee Relations – Academic Personnel
- Employee Relations – Non-Academic Personnel
- Grievances – Non-Academic Personnel
- Job Description, Classification and Compensation – Academic Personnel
- Job Description, Classification and Compensation – Non-Academic Personnel
- Occupational Health and Safety
- Performance Evaluation – Academic Personnel – Renewal, Tenure, and Promotion
- Performance Evaluation – Non-Academic Personnel
- Pensions and Benefits – Academic Personnel
- Pensions and Benefits – Non-Academic Personnel
- Professional Development – Non-Academic Personnel
- Recruitment and Hiring – General
- Recruitment and Hiring – Academic Appointments
- Recruitment and Hiring – Other Academic Appointments
- Recruitment and Hiring – Academic Administrative Appointments
- Recruitment and Hiring – Non-Academic Appointments
- Work Schedules and Absences – General
- Work Schedules and Absences – Academic Personnel
- Work Schedules and Absences – Non-Academic Personnel

Within each classification, there are detailed and specific human resource policies to ensure the consistent, fair, and equitable treatment of every classification of employee at the University.⁶⁵

The fundamental principles of procedural fairness and natural justice inform institutional practices at all levels, and appeal processes are clearly articulated wherever a decision may significantly impact the terms and conditions of employment of faculty, staff, or students.

2.A.19 *Employees are apprised of their conditions of employment, work assignments, rights and responsibilities, and criteria and procedures for evaluation, retention, promotion, and termination.*

When hired, all University employees receive an appointment letter, which defines the terms of employment, i.e., official start date, job title, compensation, etc.

⁶⁵ https://www.sfu.ca/policies/crosswalk_index.html

Faculty and other Academic Staff

The Simon Fraser University Faculty Association (SFUFA) is the sole bargaining agent for faculty and represents all members in work-related issues. Academic staff represented by SFUFA include continuing and limited-term faculty, librarians, laboratory instructors, sessional lecturers, visiting faculty, research associates, and retired faculty with post-retirement contracts.

Academic staff not represented by SFUFA are members of the Teaching Support Staff Union (TSSU). Certified as a union in 1978, the TSSU represents teaching assistants, tutor markers, sessional instructors, and non-credit language instructors in the English Language and Culture and Interpretation and Translation Programs. The union functions as the sole bargaining agent for these employees during contract negotiations and represents any and all members in work-related issues.

In May 2015, SFUFA became a certified trade union under the BC Labour Relations Code and is currently negotiating its first collective agreement with the University. The collective agreement will be ratified by SFU's Board of Governors and by the members of the faculty union. In British Columbia, agreements with public sector employees involving remuneration also must be pre-approved by the Public Sector Employers' Council in the Ministry of Public Safety and the Solicitor General.

Until a first collective agreement has been negotiated by the University and the Faculty Association, the parties have agreed that they will continue to be governed by existing provisions of the Framework Agreement and University policies. It is possible that some of the following terms and conditions relating to faculty will change as a first collective agreement is negotiated.

Under University policy⁶⁶ the primary responsibilities of continuing tenure track and limited-term research faculty include teaching, research, and service to the community; the usual annual workload requires contributions in all three areas. Faculty are expected to maintain a program of research, scholarship or artistic creation; share in the instructional workload of their academic unit; contribute to University governance and their profession; and further University relations with the community. Research and teaching take precedence.

For continuing and limited-term faculty, teaching and its associated duties are the primary obligations, although faculty are expected to stay current in their discipline. A normal annual teaching load for a full-time lecturer appointment is twice that of tenure track faculty. Workload provisions are consistent with those at other research universities across Canada.

SFU offers a range of services to help faculty members fulfill their roles and responsibilities. New tenure track faculty are eligible for President's Research Start-up Grants and other grants to kick-start their research. Tenured faculty may take advantage of study leave opportunities to enhance their facility as scholars and teachers. Study leaves provide an extended period of scholarly activity uninterrupted by teaching or service duties. They are also an opportunity for teaching faculty to complete a project or a course of study to enhance their teaching.

⁶⁶ <http://www.sfu.ca/policies/gazette/academic/a30-03.html>

Eligibility criteria for study leave and study leave options (including provisions for salary and length of study leave) are clearly set out in University policy⁶⁷ and require that recipients have satisfactory salary reviews and study leave proposals. Support for professional growth and development in teaching is also available through the Teaching and Learning Centre (TLC).

TLC's general and discipline-specific approaches are designed to foster a positive community and culture around teaching and learning through cross-functional collaboration, support the creation and implementation of effective teaching and learning practices, encourage scholarly approaches to teaching, and provide creative services that enhance teaching and learning experiences. Professional development is further encouraged by the annual Professional Development Reimbursement faculty receive and through tuition waivers for University courses and programs.

University and departmental criteria for contract renewal, tenure, promotion, and salary review are communicated to new faculty when appointed. Faculty are evaluated when they are up for contract renewal, tenure and/or promotion. They are also evaluated biennially during salary reviews. The general evaluation criteria are specified in University policy⁶⁸ and must include teaching effectiveness, scholarly activity, and service to the University. In addition, each academic unit has its own departmental criteria, standards, and assessment methods ratified by the Department, approved by its Dean, and vetted by the Vice-President, Academic. Departmental criteria are renewed and/or revised every three years.

Each department's Tenure and Promotion Committee (TPC) conducts evaluations. The composition of TPCs is regulated by University policy,⁶⁹ with each committee composed of faculty members across the ranks and members elected by their respective department/school or program. A Faculty Review Committee drawn from tenured faculty across the University reviews any negative contract renewal, promotion, and tenure decisions made at the TPC or decanal level, or both.

Appeal processes are clearly communicated and widely available on websites for Academic Relations and through SFUFA.⁷⁰ Faculty can find additional information on these processes on the Academic Relations website and by attending annual workshops presented jointly by Academic Relations and SFUFA.

Concerns about a faculty member's contributions to research and teaching may be further addressed after two career progress cycles in which performance is deemed insufficient by the TPC. After two consecutive cycles of negative career progress assessments, a faculty member must undertake a program of remedial action. The Dean, Chair, and the faculty member develop such programs jointly.

⁶⁷ <http://www.sfu.ca/policies/gazette/academic/a31-02.html>

⁶⁸ <http://www.sfu.ca/policies/gazette/academic/a11-05.html>

⁶⁹ <http://www.sfu.ca/policies/gazette/academic/a11-04.html>

⁷⁰ <http://www.sfu.ca/policies/gazette/academic/a11-06.html>

Administrative and Professional Staff (APSA)

APSA represents over 850 administrative and professional staff at SFU. It was incorporated under BC's *Society Act* in 1980 to provide representation for SFU employees not covered by another collective agreement. A Basic Agreement for Collective Bargaining and Consultation was first achieved between SFU and APSA in 1983.

Most of the terms and conditions of employment for APSA members are defined in the Basic Agreement⁷¹ and the University's AD10 policies.⁷² Among other things, the Basic Agreement establishes APSA's right to represent administrative and professional staff and defines processes by which disputes and grievances may be addressed. The AD10s are the result of ongoing negotiation and consultation between APSA and the University.

A basic feature of salary administration is the salary scale. The salary scale provides a framework for equitable salary decisions and has been developed based on competitive market rates. APSA salaries are mapped along a salary "grid" of 17 grades, with each grade having eight steps.⁷³

Each salary grade consists of a spread of dollar values in successive steps from a minimum to a maximum expressed as a salary range. The salary grade minimum is the salary typically paid to new employees with the minimum qualifications required to fulfill the responsibilities of the position (unless provided otherwise by policy).⁷⁴ The salary grade maximum is the salary attainable by fully qualified, competent employees. Given satisfactory performance in the position, an employee's salary will normally rise over seven years from the salary grade minimum to the salary grade maximum. This process, referred to as "progression through the ranks" or "step progression," recognizes the benefits of long-term employees who grow into a position. Employees whose performance does not fully meet expectations may be denied an annual step increase.

Staff who reach step 8 of their grade receive only those adjustments to the salary scale negotiated through collective bargaining and funded by the government. These general adjustments apply to the entire salary scale and to all employees and are not contingent on performance or service in a position. Guidelines and procedures regarding general and/or step progression salary adjustments are normally issued from Human Resources to supervisors, following the conclusion of negotiations between APSA and the University.

University policy requires that APSA members receive regular feedback on job performance through annual performance reviews. The reviews are designed to help employees become more effective in their positions and inform supervisors of career aspirations. They are a means for developing or modifying objectives, planning professional development and training, ensuring job descriptions are accurate, and providing a basis for salary recommendations.⁷⁵ The evaluations may also facilitate better communication between employees and supervisors. Excluded staff are covered under a similar policy.⁷⁶

⁷¹ <http://www.sfu.ca/human-resources/collective-agreements/apsa-basic-agreement.html>

⁷² <http://www.sfu.ca/policies/gazette/administrative/10-01.html>

⁷³ <http://www.sfu.ca/human-resources/apsa.html>

⁷⁴ <http://www.sfu.ca/policies/gazette/administrative/10-6.html>

⁷⁵ <http://www.sfu.ca/policies/gazette/administrative/10-16.html>

⁷⁶ <http://www.sfu.ca/policies/gazette/administrative/ad9-16.html>

Members of the senior executive also undergo annual performance evaluations as set out in policy.⁷⁷ Among APSA and Excluded staff members, performance evaluations occur consistently in some units and sporadically in others. The University is currently implementing a staff Performance Development Program (PDP). This program provides for bi-annual staff reviews and is a tool for supervisors and staff to identify, develop, and measure individual goals and align these with the University's strategic goals. The PDP has been piloted in a number of campus units and is currently being implemented.

The University has no ongoing merit-based salary component for administrative and professional staff, and the most likely impact of poor performance on salary is denial of a scheduled step increase. Negotiated salary structures and step increases are posted on the Human Resources website.⁷⁸

APSA works through numerous committees to advance the interests of its members, including a number of joint committees with the University. APSA committees include University Affairs, Salary and Benefits, Advocacy, Pension Advisory, and others. APSA members also are represented on a number of other University governance and advisory committees.

Excluded Staff

A limited number of administrative and professional staff members are described as "excluded" from membership in any collective bargaining group. Based on British Columbia's *Labour Relations Code*, staff are typically excluded for one of two reasons: their duties involve confidential labour relations or personnel information that could place them in a conflict of interest, and a core group of staff is required to maintain operations in the event of a labour dispute.⁷⁹

Under Article 3 of the University's agreement with APSA, exclusions must be limited to a maximum of 10% of those who would otherwise belong to it.⁸⁰ The current number of Excluded employees represents approximately 5% of APSA's membership.

Terms and conditions of employment for Excluded staff are covered under the University's AD9 policies.⁸¹ As Excluded staff members do not participate in collective bargaining with the University, their salaries and benefits are based on those of non-excluded administrative and professional staff.

Canadian Union of Public Employees (CUPE), Local 3338

CUPE Local 3338 represents over 1,200 SFU workers, as well as staff employed in other bargaining units associated with SFU but for whom the University is not the employer (e.g., the Simon Fraser Student Society). Unit 1 includes workers holding clerical, support, library, and technical positions at SFU.

⁷⁷ <https://www.sfu.ca/policies/gazette/board/B10-08.html>

⁷⁸ <https://www.sfu.ca/policies/gazette/administrative/ad9-06.html>

⁷⁹ http://www.bclaws.ca/EPLibraries/bclaws_new/document/ID/freeside/00_96244_01

⁸⁰ <http://apsa.sfu.ca/basic-agreement>

⁸¹ <http://www.sfu.ca/content/sfu/policies/gazette/administrative.html>

CUPE members work under the terms of a collective agreement that establishes and maintains mutually satisfactory working conditions, wages, and benefits for CUPE staff; maintains collective bargaining relations between the University and the union; and provides a mechanism for the prompt and equitable disposition of disputes.

CUPE salaries are mapped along a grid with 12 grades and six steps.⁸² As with APSA and Excluded staff, salaries are subject to two types of increases: general, across-the-board increases that apply to all positions, and incremental increases that apply to those at or below the penultimate (for CUPE, the 30-month) step for their grade. Staff in grades 3 through 12 are typically hired at the formal "starting" salary for their position and advance to step six over a period of 36 months. Grades 0 to 2 are used for basic temporary and/or part-time positions and are subject only to across-the-board increases. Until recently, there was no formal requirement for CUPE staff to participate in regular performance evaluations. However, as of April 2014, the University has adopted a Performance Development Program that will be applied to all CUPE members. The rollout of this program began in November 2015.

CUPE shares in the governance of the University through formal representation on numerous joint and advisory committees. CUPE members are also eligible to run for office as staff representatives on the Board of Governors and, if qualified, as student or "convocation" members of the Senate.⁸³

Polyparty

Polyparty bargains collectively on behalf of approximately 100 tradespeople belonging to eight unions at SFU but all falling under one collective agreement.⁸⁴ It represents employees who maintain and repair SFU's buildings and grounds and who keep facilities at the Burnaby Mountain campus running efficiently. All Polyparty members report within Facilities Services, the Faculty of Science, or Athletics and Recreation. There are no Polyparty positions at either the Vancouver or the Surrey campus.

Polyparty wages are specific to job classification (e.g., plumber, electrician, painter) and change only as negotiated. Callout and overtime provisions are keyed to regular work hours and apply equally to all Polyparty members (i.e., they are not specific to job classification).

Polyparty members are eligible to run for office as staff representatives on the Board of Governors and, if qualified, as student or "convocation" members of the Senate.

2.A.20 *The institution ensures the security and appropriate confidentiality of human resources records.*

The security of individual human resources records is carefully protected, consistent with the

⁸² <http://www.sfu.ca/human-resources/cupe.html>

⁸³ http://www.bclaws.ca/EPLibraries/bclaws_new/document/ID/freeside/00_96468_01

⁸⁴ <http://www.sfu.ca/human-resources/poly-party.html>

requirements of British Columbia's *Freedom of Information and Protection of Privacy Act*⁸⁵ and University policy.⁸⁶

Individual paper records are held in locked filing cabinets in Academic Relations (for faculty) and in Human Resources (for other staff). Electronic records are securely held in SFU's PeopleSoft Resource Information System. All employees with access to online employee records sign a confidentiality agreement. The level of information they may access is strictly controlled by internal security settings linked to personal passwords.

Those seeking access to information in an employee file (i.e., APSA, Excluded, CUPE, and Polyparty members) must sign a form requesting access, with the file viewable only within the Human Resources Office. More sensitive information, such as medical and disciplinary records, is held only as "paper" records. Access to personal information online is tracked via audit trails, as are instances when any kind of information is added to a record of employment.

SFU employees can access their personal information (e.g., salary, paycheques, vacation balances, tax statements, benefits enrollments, addresses, and emergency contacts) by logging onto my.sfu.ca using their SFU personal password.

Institutional Integrity

2.A.21 *The institution represents itself clearly, accurately, and consistently through its announcements, statements, and publications. It communicates its academic intentions, programs, and services to students and to the public and demonstrates that its academic programs can be completed in a timely fashion. It regularly reviews its publications to assure integrity in all representations about its mission, programs, and services.*

In addition to, and in support of, its Vision/Mission, SFU commits to the following underlying principles:

Academic and Intellectual Freedom: SFU will be an open and inclusive university whose foundation is intellectual and academic freedom.

Diversity: SFU will foster a culture of inclusion and mutual respect, celebrating the diversity and multi-ethnic character reflected amongst its students, staff, faculty, and our society.

Internationalization: SFU will value international knowledge, understanding, and engagement, and will seek to engender an active global citizenship among its students, faculty and staff, and to ensure that SFU is an engaged partner and contributor on the international stage.

Respect for Aboriginal Peoples and Cultures: SFU will honour the history, culture, and

⁸⁵ http://www.bclaws.ca/EPLibraries/bclaws_new/document/ID/freeside/96165_00

⁸⁶ <http://www.sfu.ca/policies/gazette/information/I10-04.html>

presence of Aboriginal peoples. The University will welcome and nurture Aboriginal students and seek opportunities for greater representation of Aboriginal peoples amongst its faculty and staff.

Supportive and Healthy Work Environment: SFU will recognize, respect, and value the essential contribution made by staff and faculty, and will seek to build and sustain a work environment that is equitable, supportive, rewarding, and enjoyable.

Sustainability: SFU will pursue ecological, social, and economic sustainability through its programs and operations. Through teaching and learning, research and community engagement, SFU will seek and share solutions. In its own operations, it will develop and model best practices, from minimizing its ecological footprint, to maximizing its social health and economic strength.

SFU defines and preserves its institutional integrity using a number of institutional policy documents and processes.

SFU acts on the principle that transparency and accountability are essential qualities for a public post-secondary institution. To that end, SFU publishes extensive information about itself. While much information remains available in print form, the Internet has now become the main medium for making key University information widely available.

Transparency begins with governance and SFU widely publishes all of its major planning documents. Plans include current and recent Academic Plans,⁸⁷ the Strategic Research Plan,⁸⁸ the Community Engagement Strategy,⁸⁹ the President's Goals and Objectives,⁹⁰ and the University Budget.⁹¹ Many of these documents, or those that contributed to them, are also available on various Faculty and departmental websites.

Furthermore, SFU publishes meeting schedules, agendas, minutes, and summaries for all open Board and Senate meetings. Documents are labeled intuitively, in ways that make them easy to identify and access.⁹² The University's commitment to transparency and communication is reflected in its extensive use of the Internet. In fact, SFU ranked 5th among Canadian universities, 58th in North America, and 82nd in the world in the 2015 Webometrics Ranking of World Universities.⁹³

For those seeking statistical information about SFU, the University's Office of Institutional Research and Planning (IRP) has a website that provides detailed statistics on activities ranging from student surveys to the University's use of physical space.⁹⁴

For SFU students, the University's most important document is its academic *Calendar* (usually

⁸⁷ http://www.sfu.ca/vpacademic/academic_planning/academic_plans/current_three_yearplans.html

⁸⁸ <http://www.sfu.ca/vpresearch/srp.html>

⁸⁹ <https://www.sfu.ca/content/dam/sfu/engage/SFU%20Community%20Engagement%20Strategy%20Mar2013.pdf>

⁹⁰ <http://www.sfu.ca/pres/reports-initiatives/goals14-15.html>

⁹¹ <http://www.sfu.ca/finance/departments/budget/report.html>

⁹² Board of Governors: <http://www.sfu.ca/bog.html> University Senate: <http://www.sfu.ca/senate.html>

⁹³ <http://webometrics.info/en>

⁹⁴ <http://www.sfu.ca/irp.html>

referred to in the USA as a "catalogue").⁹⁵ The *Calendar* provides extensive information on admissions criteria, fee schedules, transfer credit, calculation of grade-point averages, and other basic elements of the contractual relationship between SFU and its students.

The *Calendar* also includes listings of all approved degree programs; requirements for degree, diploma, and certificate completion; an outline of financial aid available through University- and privately-funded scholarships, awards, and bursaries; and a catalogue of all approved for-credit courses. Non-credit courses are offered by Continuing Studies in the Lifelong Learning unit⁹⁶ and are not covered under the terms and conditions set out in the *Calendar*.

Students entering SFU are governed by the terms established in the *Calendar* under which they are admitted. For program requirements, students are governed by program requirements in effect at the time they are accepted into the program. Student Services also promotes an award-winning promotional/recruitment campaign called, "Are you SFU?"⁹⁷ for those considering application to SFU and maintains a campaign website with extensive information on all aspects of student life. In addition, individual programs, departments, and Faculties offer a wealth of information in print and via their websites.

2.A.22 *The institution advocates, subscribes to, and exemplifies high ethical standards in managing and operating the institution, including its dealings with the public, the Commission, and external organizations, and in the fair and equitable treatment of students, faculty, administrators, staff, and other constituencies. It ensures complaints and grievances are addressed in a fair and timely manner.*

Human Rights

Simon Fraser University is committed to providing a working and learning environment that allows for the full and free participation of the entire University community. Discrimination undermines these objectives, violating the fundamental rights, personal dignity, and integrity of individuals or groups, and may require remedial action by the University.⁹⁸

SFU has a Director of Human Rights and Equity who offers guidance and consultation to University employees and students on matters covered under human rights policy and law. As a provider of public education, SFU falls under the jurisdiction of provincial human rights legislation and has an obligation to abide by that legislation. The Human Rights Office (HRO) responds to any violations under the *Human Rights Code of British Columbia*.⁹⁹ Its mandate is to prevent discrimination, provide procedures to handle complaints, resolve problems, conduct investigations, and provide remedies when a violation of the policy occurs. SFU's commitment to meeting its human rights obligations is reinforced with its own policy on Human Rights.¹⁰⁰

⁹⁵ <http://www.sfu.ca/students/calendar>

⁹⁶ <http://www.sfu.ca/continuing-studies.html>

⁹⁷ <http://www.sfu.ca/students/futurestudents.html>

⁹⁸ <http://www.sfu.ca/humanrights.html>

⁹⁹ <http://www.bchrt.gov.bc.ca/>

¹⁰⁰ <http://www.sfu.ca/policies/gazette/general/gp18.html>

The HRO's director is the senior University resource person on human rights and related issues. The director provides advice congruent with best legal practice, works with University managers to ensure fair and equitable treatment of all community members, and maintains effective relationships with unions and employee and student groups. The HRO publishes an annual report.¹⁰¹

Because one of the main purposes of the HRO is to respond to requests for service, its success is measured in part by quantifying the rates at which issues are reported to it and how it responds. The approximate population of SFU (students, faculty, and staff) is almost 40,000. In 2014, the HRO dealt with 230 cases of discrimination and harassment; most were situations in which University members sought advice about human rights and related matters. By any standard, this is a measure of SFU's success at maintaining an equitable, open environment in which human dignity is valued.

The Director also administers University policies on Employment Equity¹⁰² and Disability Accommodation¹⁰³ and assesses and approves employee applications for disability accommodation.

Student Conduct and Appeals

As previously mentioned in section 2.A.15, SFU has a Code of Student Conduct that defines students' basic responsibilities as members of the academic community. The Code clarifies what constitutes inappropriate behavior and sets out procedures and potential penalties for unacceptable behavior. It also sets out appeal procedures for matters of academic discipline and student misconduct, tuition refunds, withdrawal for extenuating circumstances, reconsideration of grades, admissions, the determination of transfer credit, and administrative errors.

Employment Equity

The goal of SFU's Employment Equity Program is to ensure candidates are never denied employment opportunities for reasons other than their ability or qualifications. The four designated groups under the Employment Equity Program are women, visible minorities, persons with disabilities, and persons of Aboriginal ancestry. Consistent with this principle, the University advances the interests of underrepresented members of the workforce, ensures that equal opportunity is afforded to all who seek employment at the University, and treats all employees equitably. To this end, SFU works continuously to identify and eliminate barriers that interfere with equal employment opportunities at all levels. Both current and prospective employees receive equitable treatment in hiring, training, and promotion.

Responsibilities under the Employment Equity Policy¹⁰⁴ include maintaining an Employment Equity Program and reporting to the federal government, when required, on the degree to which the four designated groups are represented in the University's workforce. By regulation, membership in the designated groups must be self-declared, which leads to underreporting in most categories.

¹⁰¹ <http://www.sfu.ca/humanrights/annual-reports.html>

¹⁰² <http://www.sfu.ca/policies/gazette/general/gp19.html>

¹⁰³ <http://www.sfu.ca/policies/gazette/general/gp40.html>

¹⁰⁴ <http://www.sfu.ca/policies/gazette/general/gp19.html>

Ombudsperson

In 1965, SFU was one of the first universities in North America to establish an Ombuds Office.¹⁰⁵ In 2008, the University joined with the undergraduate and graduate student societies to fund the Office of the Ombudsperson. Although the Office is mandated to provide services primarily to students, other members of the University community may consult the Office or seek clarification on policies or processes relating to student matters. In 2014, 393 students used the Ombudsperson's services.

The SFU Ombudsperson is an independent, impartial, and confidential resource for students. The Office provides information and guidance on students' rights and responsibilities, and on University regulations, policies, and procedures. The Ombudsperson may also recommend, where appropriate, changes to policies and procedures and promote discussion on institution-wide concerns affecting students. The Ombudsperson is an advocate for fairness for the benefit of all students and the university community as a whole.

2.A.23 The institution adheres to a clearly defined policy that prohibits conflict of interest on the part of members of the governing board, administration, faculty, and staff. Even when supported by or affiliated with social, political, corporate, or religious organizations, the institution has education as its primary purpose and operates as an academic institution with appropriate autonomy. If it requires its constituencies to conform to specific codes of conduct or seeks to instill specific beliefs or world views, it gives clear prior notice of such codes and/or policies in its publications.

SFU encourages its faculty, staff, and students to be broadly involved in professional interests and activities compatible with the University's Vision/Mission to advance knowledge. On occasion, the best interests of the University and the personal interests of its members may conflict, or may be perceived to conflict.

To maintain public and professional trust and confidence, the University must deal with real or perceived conflicts of interest in a fair, open, consistent, and practical way. Rather than taking a rigid approach, the University prefers to assess potential conflicts of interest on an individual basis and, where appropriate, to manage conflict. To that end, SFU's primary Conflict of Interest policy¹⁰⁶ includes a mechanism that ensures private interests do not inappropriately influence University actions. At the heart of the policy is the duty of all members to assess their own activities and report any real or potential conflicts of interest. A conflict will be allowed only when it can be managed in a way that protects and serves the interests, integrity, and reputation of the University, as well as its legal and contractual obligations. In addition, potential conflicts must be managed in ways that will stand the test of reasonable and independent scrutiny. Non-compliance with the policy and its procedures constitutes misconduct.

Other SFU policies and agreements address conflicts of interest within narrower spheres of activity. These include conflicts of interest for members of the Board of Governors,¹⁰⁷ for

¹⁰⁵ <http://www.sfu.ca/ombudsperson.html>

¹⁰⁶ <http://www.sfu.ca/policies/gazette/general/gp37.html>

¹⁰⁷ <http://www.sfu.ca/content/sfu/policies/gazette/board/B10-01.html>

managing requests for information,¹⁰⁸ for managing investments,¹⁰⁹ and in research.¹¹⁰

Assessing conflict requires the collection, use, disclosure, and retention of personal information as defined in BC's *Freedom of Information and Protection of Privacy Act*.¹¹¹ In all such assessments, the University will be guided by this Act.

2.A.24 The institution maintains clearly defined policies with respect to ownership, copyright, control, compensation, and revenue derived from the creation and production of intellectual property.

One of the fruits of academic freedom is the creation and dissemination of intellectual property. SFU addresses the intellectual property issue with three policies: Copyright,¹¹² Patents,¹¹³ and Intellectual Property.¹¹⁴ Under its definition, intellectual property is defined as:

the result of intellectual or artistic activity, created by a University Member in a scholarly, professional or student capacity, that can be owned by a person. Specifically, this includes inventions, publications (including scholarly publications), educational materials, computer software, works of art, industrial and artistic designs, as well as other intellectual property rights (creations) that can be protected under legislation including, but not limited to patent, copyright or trade-mark, integrated topography, industrial design laws, and/or through a trade secret.

British Columbia's *University Act* gives the University the power to require, as a term of employment or assistance, that a person assign to SFU "an interest in an invention or an interest in a patent, copyright, trade mark, trade name, or other proprietary right resulting from an invention made by that person using the facilities, equipment, or financial aid provided by the Board, or made by that person while acting within the scope of the person's duties or employment, or resulting from or in connection with the person's duties or employment as an officer or employee of the university."¹¹⁵

Canada's *Copyright Act*¹¹⁶ calls for copyright ownership to be vested in the employer when works are created in the course of employment, except where there is agreement to the contrary. However, Simon Fraser University is committed to the open exchange of ideas and the publication, dissemination, and communication of the results of scholarly activity. That commitment is best served by allowing University members who create intellectual property to own it and be free to publish it without commercial intent, to pursue commercialization with the help of the University, or to pursue commercialization in their own right.

Because of the University's unique role in knowledge creation and dissemination, products of

¹⁰⁸ <http://www.sfu.ca/content/sfu/policies/gazette/information/I10-06.html>

¹⁰⁹ <http://www.sfu.ca/policies/gazette/board/B10-09.html>

¹¹⁰ <http://www.sfu.ca/content/sfu/policies/gazette/research/r60-01.html>

¹¹¹ http://www.bclaws.ca/EPLibraries/bclaws_new/document/ID/freeside/96165_00

¹¹² <http://www.sfu.ca/policies/gazette/research/r30-01.html>

¹¹³ <http://www.sfu.ca/policies/gazette/research/r30-02.html>

¹¹⁴ <http://www.sfu.ca/policies/gazette/research/r30-03.html>

¹¹⁵ http://www.bclaws.ca/civix/document/id/complete/statreg/96468_01

¹¹⁶ <http://laws-lois.justice.gc.ca/eng/acts/C-42/>

intellectual endeavor should be used for the greatest possible public benefit. Intellectual property produced solely for profit is incompatible with university scholarly and research activity.

The University retains a royalty-free, perpetual right to use all intellectual property created with University resources for scholarly, academic, and other non-commercial purposes. Any such property that is then commercially exploited is subject to the University exercising its right to share the revenue earned.

2.A.25 *The institution accurately represents its current accreditation status and avoids speculation on future accreditation actions or status. It uses the terms “Accreditation” and “Candidacy” (and related terms) only when such status is conferred by an accrediting agency recognized by the U.S. Department of Education.*

The University's current candidacy status with the NWCCU is reported in the Institutional Accountability Plan and Report (IAPR) prepared annually for the Ministry of Advanced Education.¹¹⁷ Once approved by the Ministry, the IAPR becomes a public document. The University also maintains an updated website on accreditation, for the benefit of both the University community and the public, which states clearly the status of the University as a candidate for accreditation with the NWCCU.¹¹⁸

2.A.26 *If the institution enters into contractual agreements with external entities for products or services performed on its behalf, the scope of work for those products or services—with clearly defined roles and responsibilities—is stipulated in a written and approved agreement that contains provisions to maintain the integrity of the institution. In such cases, the institution ensures the scope of the agreement is consistent with the mission and goals of the institution, adheres to institutional policies and procedures, and complies with the Commission’s Standards for Accreditation*

Fraser International College

SFU has a contractual relationship with a for-profit company, Navitas Education Ltd., to operate a small private college, Fraser International College (FIC),¹¹⁹ for international students on SFU's Burnaby campus. FIC is an independent business entity operating at arm's length from SFU. Co-branded with SFU for the purposes of student recruitment, FIC charges the same international student tuition rate, and offers a selection of SFU-specific, lower division courses taught by qualified instructors hired by the College. It also offers English language support classes and other supplemental instruction.

Students at FIC who complete a minimum of 30 pre-approved, university-level credits (10 courses) within a given pathway, at specified cumulative grade point averages receive a guarantee of admission to SFU in one of the following programs: Arts and Social Sciences; Business

¹¹⁷ http://www.aved.gov.bc.ca/framework/accountability_plans.htm

¹¹⁸ <http://www.sfu.ca/vpacademic/accreditation.html>

¹¹⁹ <http://www.fraseric.ca/>

Administration; Communication, Art and Technology; Computing Science; Engineering Science; Environment; or Health Sciences.

To ensure that teaching at FIC is up to standard and that courses are transferable to SFU degrees, the University retains oversight of the curriculum and pedagogy through the following mechanisms:

- SFU faculty provide academic oversight of FIC courses and advise on the qualifications appropriate for FIC instructors, many of whom also teach or study at SFU
- the SFU/FIC Academic Advisory Committee oversees matters related to the relationship and provides mechanisms for resolution of outstanding and arising issues
- reports to SFU's Senate monitor FIC's academic operations and the academic progress of FIC students transferring to SFU
- SFU's Director of University Curriculum and Institutional Liaison in the Vice-President, Academic Office works closely with FIC's Director and Principal to ensure SFU's interests are protected and its responsibilities met

When Senate approved the contractual relationship with FIC in March 2006, it stipulated that the Vice-President, Academic would report to Senate by June 2010, with a recommendation on whether the agreement should be renewed in March 2011.

In 2009, it was decided that an independent review of the SFU/FIC relationship would be more appropriate and the terms of reference for the review were submitted and approved by Senate. A self-study document, a review team's report, and the Vice-President, Academic's response to the external review's recommendations were prepared and submitted to Senate in May 2010. Based on review results, Senate approved the continued relationship between SFU and FIC, and a renewed 10-year contract was signed in October 2010. The renewed contract calls for a second external review after Year Five of the agreement, in 2016.

Although FIC's programs are structured to match SFU's curriculum and facilitate the transfer of international students from FIC to SFU, FIC students do not have to transfer to SFU and may seek admission to any other post-secondary institution.

Contracting of International Recruiting

Effective March 2012, SFU stopped using educational agents as an international recruitment strategy.

Academic Freedom

2.A.27 *The institution publishes and adheres to policies, approved by its governing board, regarding academic freedom and responsibility that protect its constituencies from inappropriate internal and external influences, pressures, and harassment.*

Simon Fraser University is a secular, publicly assisted institution and imposes no particular social

or religious philosophy on its constituents. The position of the University is that the practice of academic freedom is a fundamental pre-condition for knowledge advancement.

Although the principle of academic freedom is defined in many of SFU's key documents, it is most fully articulated in the Faculty Code of Ethics¹²⁰ and the University's Framework Agreement with the Faculty Association.¹²¹ The principle will also be included in an article in the new Collective Agreement for which negotiations are underway. Both documents are ratified by faculty members and the Board of Governors.

Academic Honesty

All members of the University are responsible for maintaining academic standards and for preserving the University's reputation. Academic honesty is a cornerstone of knowledge development and acquisition and a condition of continued membership within the University community. SFU prominently addresses its expectations for academic honesty in numerous policies as they relate to different University constituencies.

The fundamental importance of honesty and integrity is restated with specific application to different areas of institutional activity in policies on Integrity in Research and Misconduct in Research,¹²² Fair Use of Information and Communications Technology,¹²³ the Code of Faculty Ethics,¹²⁴ Conflict of Interest,¹²⁵ Internal Audit,¹²⁶ Purchasing,¹²⁷ Board Guidelines,¹²⁸ and in the Code of Student Conduct.¹²⁹

2.A.28 *Within the context of its mission, core themes, and values, the institution defines and actively promotes an environment that supports independent thought in the pursuit and dissemination of knowledge. It affirms the freedom of faculty, staff, administrators, and students to share their scholarship and reasoned conclusions with others. While the institution and individuals within the institution may hold to a particular personal, social, or religious philosophy, its constituencies are intellectually free to examine thought, reason, and perspectives of truth. Moreover, they allow others the freedom to do the same.*

The underlying principles of SFU's Vision/Mission support academic and intellectual freedom; diversity of students and ideas; internationalization; respect for aboriginal peoples and cultures; a supportive and healthy work environment; and ecological, social, and economic sustainability. These underlying principles apply to faculty, staff, administrators, students, and the communities that SFU serves.

¹²⁰ <http://www.sfu.ca/policies/gazette/academic/a30-01.html>

¹²¹ <http://www.sfu.ca/agreements-and-policies/framework-agreement/>

¹²² <http://www.sfu.ca/policies/gazette/research/r60-01.html>

¹²³ <http://www.sfu.ca/policies/gazette/general/gp24.html>

¹²⁴ <http://www.sfu.ca/policies/gazette/academic/a30-01.html>

¹²⁵ <http://www.sfu.ca/policies/gazette/general/gp37.html>

¹²⁶ <http://www.sfu.ca/policies/gazette/administrative/ad3-10.html>

¹²⁷ <http://www.sfu.ca/policies/gazette/administrative/ad11-01.html>

¹²⁸ <http://www.sfu.ca/policies/gazette/board/B10-10.html>

¹²⁹ <http://www.sfu.ca/policies/gazette/student.html>

As it applies specifically to faculty, the current Faculty Association Framework Agreement states:

Academic freedom is the freedom to examine, question, teach, and learn, and it involves the right to investigate, speculate, and comment without reference to prescribed doctrine, as well as the right to criticize the University, Faculty Association, and society at large. Specifically, academic freedom ensures:

- *freedom in the conduct of teaching*
- *freedom in the undertaking research and publishing or making public the results thereof*
- *freedom from institutional censorship*

Academic staff shall not be hindered or impeded in any way by the University or the Faculty Association from exercising their legal rights as citizens, nor shall they suffer any penalties because of the exercise of such rights. The parties agree that they will not infringe or abridge the academic freedom of any member of the academic community. Academic freedom carries with it the duty to use that freedom in a manner consistent with the scholarly obligation to base research and teaching on an honest search for knowledge. And in keeping with the University's Vision/Mission to be the leading engaged university, academic freedom is encouraged and supported in all endeavours related to engaging students, research, and community.

As part of their teaching activities, teachers are entitled to conduct frank discussion of potentially controversial matters which are related to their subjects. This freedom of expression shall be based on mutual respect for the opinions of other members of the academic community.

Librarians have a particular duty to promote and maintain intellectual freedom. They have a responsibility to protect academic freedom and are entitled to full protection of their own academic freedom. This includes the right to express their academic judgment in the development of the Library collection within the context of Article 1.3.1 of the Faculty Association Framework Agreement and to make the collection accessible to all users in accordance with the University Library policies, even if the materials concerned are considered controversial.

2.A.29 *Individuals with teaching responsibilities present scholarship fairly, accurately, and objectively. Derivative scholarship acknowledges the source of intellectual property, and personal views, beliefs, and opinions are identified as such.*

The Faculty Code of Ethics speaks directly to the complex duties and responsibilities of academic staff as teachers, scholars, colleagues, and as members of both the SFU and the larger community. In accepting a University appointment, faculty members assume obligations to the University, in addition to their primary duties as teachers and scholars. They have a duty to participate in University life beyond the classroom, in its governance and administration through membership on committees and organizations at Board, Senate, Faculty, and department levels, provided that

this participation is consistent with the discharge of their primary responsibilities and with their own abilities.¹³⁰

Many other University policies express the centrality of academic freedom to SFU's institutional culture. Among them are: Renewal, Tenure and Promotion (A 11.05);¹³¹ International Activities (GP 23);¹³² Intellectual Property (R 30.03);¹³³ and Integrity in Research and Misconduct in Research (R 60.01).¹³⁴

Finance

2.A.30 *The institution has clearly defined policies, approved by its governing board, regarding oversight and management of financial resources—including financial planning, board approval and monitoring of operating and capital budgets, reserves, investments, fundraising, cash management, debt management, and transfers and borrowings between funds.*

The following Board of Governors-approved policies govern the oversight and management of financial resources. All of the policies below are available through the University's online Policy Gazette:¹³⁵

- AD 3.01 Petty Cash
- AD 3.02 Business and Travel Expenses
- AD 3.03 Direct Acquisition of Goods and Services
- AD 3.05 Credit and Collection
- AD 3.11 Independent Contractor
- AD 3.12 Supplementary Course Fees
- AD 3.14 Indemnity Approval
- AD 3.16 Bond Funds Allocation
- AD 11.01 Purchasing
- AD 11.10 Reporting and Disposal of Surplus Equipment and Material
- AD 11.13 Purchase or Lease of Land
- AD 11.21 Ethical Procurement
- AD 13.1 Annual Capital Allowance Projects
- AD 13.2 Minor Capital Project Requests (Total Cost Over \$1500)
- B 10.05 Budget Policy Objectives
- B 10.09 Investment Governance
- B 10.11 Signing Authorizations
- B 10.16 Responsible Investment
- GP 03 Donations

¹³⁰ <http://www.sfu.ca/policies/gazette/academic/a30-01.html>

¹³¹ <http://www.sfu.ca/policies/gazette/academic/a11-05.html>

¹³² <http://www.sfu.ca/policies/gazette/general/gp23.html>

¹³³ <http://www.sfu.ca/policies/gazette/research/r30-03.html>

¹³⁴ <http://www.sfu.ca/policies/gazette/research/r60-01.html>

¹³⁵ <http://www.sfu.ca/policies/gazette.html>

- GP 20 Endowment Management

Standard 2.B - Human Resources

2.B.1 *The institution employs a sufficient number of qualified personnel to maintain its support and operations functions. Criteria, qualifications, and procedures for selection of personnel are clearly and publicly stated. Job descriptions accurately reflect duties, responsibilities, and authority of the position.*

SFU employs approximately 6,288 continuing and temporary academic and non-academic staff, who work at its three campuses and are represented by seven different employee groups. Over 2,400 of these are academic staff, whose tasks may include teaching classes, leading or assisting with research, performing and creating art, advancing their disciplines, and serving the University and its various communities.

Over 3,880 non-academic staff provide support and services for SFU's 40,800 credit and non-credit students and other members of the SFU community and its external constituencies. Academic staff are at the heart of the University's Vision/Mission; administrative and support staff enable SFU to fulfill its Vision/Mission by carrying out the complex and diverse activities that keep SFU's physical campuses and its "cyber presence" working efficiently.

Academic and support staff members are appointed on the basis of qualifications appropriate to each position, and through appointment processes established by University policy and the relevant collective agreements. Qualifications for academic positions are developed by departmental search committees with expertise in the field and are advertised as specified in policy.¹³⁶ Advertisements for academic positions are vetted by Academic Relations before posting. Job descriptions for non-academic positions are created by supervisors in consultation with experts in Human Resources, and are based on the skills, level of responsibility, and experience deemed suitable for the position.

Positions to be filled are posted internally and externally and are advertised as widely as necessary to reach a suitably qualified pool of applicants; advertising requirements for faculty appointments are established in policy.¹³⁷ Position postings provide job title, a brief position description, qualifications required, employee group, and deadline to apply; for non-academic positions, salary ranges are included in the posting. All non-teaching postings and the status of competitions are available on the Human Resources website.¹³⁸ Faculty job openings are posted on the websites of the Vice-President, Academic and Academic Relations¹³⁹ and are advertised nationally and internationally. Positions covered under the collective agreement with the Teaching Support Staff Union (TSSU) are posted on Graduate Studies and the departmental websites listed under their respective Faculties.¹⁴⁰

¹³⁶ <http://www.sfu.ca/content/sfu/policies/gazette/academic/a10-01.html>

¹³⁷ <http://www.sfu.ca/content/sfu/policies/gazette/academic/a10-01.html>

¹³⁸ <http://www.sfu.ca/human-resources.html>

¹³⁹ <http://www.academicrelations.sfu.ca/FacultyOpenings.html>

¹⁴⁰ <http://www.sfu.ca/dean-gradstudies/job-postings.html>

2.B.2 *Administrators and staff are evaluated regularly with regard to performance of work duties and responsibilities.*

Starting November 2015, SFU is rolling out a new Performance Development Program (PDP) for staff that will provide a continuous process for identifying, measuring, and developing individual and team performance and for aligning performance with the University's strategic goals.

Program Philosophy:

- focus on the future, less on the past
- shared 'partnership' between employee and leader
- emphasis on strengths, less on weaknesses
- leaders as coaches and mentors
- self-leadership and accountability
- not just "what" but "how"
- simple is better
- it's about the conversations, not the process

Program Elements:

- annual Cycle – May 1 to April 30
- includes all staff except faculty and temps less than six months
- not tied to compensation
- no ratings or rankings
- focus on performance results and development
- expectation of completing the cycle before changing jobs
- all leaders' PDPs to include a goal to successfully complete the performance development program with their staff

The aim of the program is to give managers and supervisors an effective process for working with staff on their professional and work development goals, and to ensure those goals are linked to University and unit priorities. The program will also allow better recognition of employees who perform well.

2.B.3 *The institution provides faculty, staff, administrators, and other employees with appropriate opportunities and support for professional growth and development to enhance their effectiveness in fulfilling their roles, duties, and responsibilities.*

SFU provides ample measures for all faculty, staff, and administrators to seek out professional growth and development opportunities. For all full-time University staff and their immediate families, SFU offers full tuition reimbursement with no limitations as to how many credits can be

taken overall or in a given term, year, etc.¹⁴¹ In addition, Human Resources offers in-house courses of interest to all employees, ranging from Aboriginal awareness to enhancing client services to improving writing skills.¹⁴²

For SFU staff belonging to the Administrative and Professional Staff Association (APSA), a tuition reimbursement of \$1,000 per year is available for off-campus, job-related courses. APSA members also have access to a Professional Development fund of \$700 per year, which can be used for expenses such as professional dues, computer hardware and software, and conference fees. Unused portions of this fund can be carried over to following years to a maximum of \$2,100 for each APSA employee. Professional-development leaves of up to 12 months may also be granted to any full-time APSA employee with a minimum of six years of service.¹⁴³

For all Canadian Union of Public Employees (CUPE) staff, a Learning Opportunities Fund has been created to enhance opportunities for employees to acquire the skills and training necessary for optimal job performance and to increase their opportunities for promotion and advancement.¹⁴⁴ A CUPE employee can claim a maximum of \$450 per fiscal year for the costs of a job-related course.

In addition to the tuition waiver and the in-house courses of interest, many professional development opportunities exist for faculty and these are highlighted in their Framework Agreement.¹⁴⁵ Also, SFU has established a Teaching and Learning Centre to assist faculty with teaching and learning related matters.¹⁴⁶

2.B.4 Consistent with its mission, core themes, programs, services, and characteristics, the institution employs appropriately qualified faculty sufficient in number to achieve its educational objectives, establish and oversee academic policies, and assure the integrity and continuity of its academic programs, wherever offered and however delivered.

Simon Fraser University employs approximately 968 continuing faculty (Continuing Faculty Line or CFL positions), 23 senior management and Deans, and a further 132 temporary faculty to achieve its educational objectives, provide oversight of its educational policies, and ensure the quality and continuity of its academic programs. As of September 2015, the continuing complement of faculty was 399 Professors, 319 Associate Professors, 106 Assistant Professors, and 144 Instructors, Senior Lecturers, Lab Instructors and Lecturers. Among CFL faculty, on September 30, 2015, more than 88% had doctorates, with a further 9% holding a master's as their highest degree.

The University expects that each Faculty will recruit the most highly qualified faculty available. Typically, national and often international searches are undertaken on all tenure track faculty positions. All potential full-time and part-time faculty are evaluated for

¹⁴¹ <https://www.sfu.ca/policies/gazette/administrative/10-12.html>

¹⁴² <http://www.sfu.ca/human-resources/learning-development/courses-for-staff.html>

¹⁴³ <http://www.sfu.ca/human-resources/apsa/benefits/support-for-learning.html>

¹⁴⁴ https://www.sfu.ca/content/dam/sfu/human-resources/forms-documents/benefits/lof_agreement.pdf

¹⁴⁵ <http://www.sfu.ca/agreements-and-policies/framework-agreement/>

¹⁴⁶ <http://www.sfu.ca/tlc.html>

appropriate education and professional experience during the hiring process.

2.B.5 *Faculty responsibilities and workloads are commensurate with the institution's expectations for teaching, service, scholarship, research, and/or artistic creation.*

Under University policy,¹⁴⁷ the primary responsibilities of continuing tenure track and limited-term research faculty include teaching, research, and service to the community; the usual annual workload includes contributions in all three areas. Faculty are expected to maintain a program of research, scholarship or artistic creation, share in the instructional workload of their academic unit, contribute to University governance and their profession, and further University relations with the community. Research and teaching take precedence.

For continuing and limited-term faculty, teaching and its associated duties are the primary obligation, although faculty are expected to stay current in their disciplines. A normal annual teaching load for a full-time lecturer is twice that of tenure track faculty. Workload provisions are consistent with those at other research universities across Canada.

SFU offers a number of opportunities and services to help faculty members effectively fulfill their roles and responsibilities. New tenure track faculty are eligible for President's Research Start-up Grants and other grants to kick-start their research. Tenured faculty have study leave opportunities at their disposal to increase their facility as scholars and teachers. Study leaves provide an extended period of scholarly activity, uninterrupted by teaching or service duties. Teaching faculty also have study leave opportunities for completing a project or course of study to enhance their teaching.

Eligibility criteria for study leave and study leave options (including salary and length-of-time provisions) are clearly set out in University policy¹⁴⁸ and require recipients to have satisfactory salary reviews and study leave proposals. Opportunities and support for professional growth and development in teaching are also available through the Teaching and Learning Centre (TLC).

TLC's general and discipline specific approaches are designed to: foster a positive community and culture around teaching and learning through cross-functional collaboration, support the creation and implementation of effective teaching and learning practices, encourage and support scholarly approaches to teaching, and provide creative services that enhance teaching and learning experiences. Professional development is further encouraged by the generous annual Professional Development Reimbursement faculty members receive and through tuition waivers available for University courses and programs.

¹⁴⁷ <http://www.sfu.ca/policies/gazette/academic/a30-03.html>

¹⁴⁸ <http://www.sfu.ca/policies/gazette/academic/a31-02.html>

2.B.6 All faculty are evaluated in a regular, systematic, substantive, and collegial manner at least once within every five-year period of service. The evaluation process specifies the timeline and criteria by which faculty are evaluated; utilizes multiple indices of effectiveness, each of which is directly related to the faculty member's roles and responsibilities, including evidence of teaching effectiveness for faculty with teaching responsibilities; contains a provision to address concerns that may emerge between regularly scheduled evaluations; and provides for administrative access to all primary evaluation data. Where areas for improvement are identified, the institution works with the faculty member to develop and implement a plan to address identified areas of concern.

University and departmental criteria for contract renewal, tenure, promotion, and salary review are communicated to new faculty when appointed. Faculty are evaluated when they are up for contract renewal, tenure and/or promotion, and biennially for salary review, when they may receive career progress and merit salary increases. The general criteria for evaluating faculty are specified in University policy;¹⁴⁹ they include teaching effectiveness, scholarly activity, and service to the University. In addition to University criteria, each academic unit has its own departmental criteria, standards, and assessment methods, which are ratified by the department, approved by its Dean, and vetted by the Vice-President, Academic. Departmental criteria are renewed and/or revised every three years.

A department's Tenure and Promotion Committee (TPC) conducts evaluations. The composition of TPCs, regulated by University policy,¹⁵⁰ includes faculty members across the ranks and members elected by the department/school or program to which the faculty member belongs. A Faculty Review Committee drawn from tenured faculty across the University reviews any negative contract renewal, promotion, and tenure decision reached at the TPC or decanal level, or both.

Appeal processes are clearly communicated and widely available on websites for Academic Relations, and through SFUFA.¹⁵¹ Faculty can find additional information on these processes posted on the Academic Relations website and by attending annual workshops presented jointly by Academic Relations and SFUFA.

Concerns about a faculty member's contributions to research and teaching can be further addressed after two career progress cycles in which performance is deemed insufficient. Faculty who, in the judgment of their TPC, have not sufficiently contributed as scholars or researchers over two consecutive cycles of career-progress assessments must undertake a program of remedial action. The Dean, Chair, and Faculty member develop such programs together.

¹⁴⁹ <http://www.sfu.ca/policies/gazette/academic/a11-05.html>

¹⁵⁰ <http://www.sfu.ca/policies/gazette/academic/a11-04.html>

¹⁵¹ <http://www.sfu.ca/policies/gazette/academic/a11-06.html>

Standard 2.C - Education Resources

2.C.1 *The institution provides programs, wherever offered and however delivered, with appropriate content and rigor that are consistent with its mission; culminate in achievement of clearly identified student learning outcomes; and lead to collegiate-level degrees or certificates with designators consistent with program content in recognized fields of study.*

Simon Fraser University offers face-to-face undergraduate and graduate programs at its three campuses, as well as a range of courses and programs available through online, off-campus, and distance formats. Courses and programs span a variety of topics and disciplines, from traditional academic and professional fields to contemporary and interdisciplinary subjects, and provide students with an extensive selection of scholarly activities and experiences.

SFU offers academic programs in eight Faculties. The founding Faculties in 1965 were Arts (now Arts and Social Sciences), Education, and Science. Since then, other Faculties have been added: Business (1981), now the Beedie School of Business; Applied Sciences (1985); Health Sciences (2004); and the Faculties of Communication, Art and Technology, and of Environment (both in 2009).

The nature and scope of SFU's programs are consistent with its commitment to providing programs across a wide spectrum of academic disciplines, to providing interdisciplinary education, and to emerging areas of academic inquiry and demand. Options to combine programs (joint majors, majors and minors, extended minors, and double majors) are extensive and reflect SFU's commitment to interdisciplinary education.

Interdisciplinary education has been an important part of the University's programming from its earliest years. The belief in teaching, learning, and research that brings together diverse disciplinary perspectives is even reflected in SFU's architecture, which "co-mingles" different disciplines in close physical proximity, rather than cloistering them in separate structures.

SFU's commitment to cross-disciplinary influences is also evident in the mandates of some original departments, and in the creation in 1972 of a Faculty of Interdisciplinary Studies (FIDS). The Faculty was created as an "incubator" unit to encourage the development of multi- and interdisciplinary programs. Programs begun in FIDS include Fine and Performing Arts, Kinesiology, Communication Studies, African/Middle Eastern Studies, Computing Science, Latin American Studies, Criminology, Women's Studies, Natural Resource Management, Management and Systems Science, and Gerontology. While FIDS was dissolved in 1985, virtually all programs begun in that Faculty continue in some form, with many now among SFU's "signature" programs.

Since then, a number of other interdisciplinary programs have been added to SFU's curriculum. These include Cognitive Science, Geographic Information Science, Management and Technology, Mechatronic Systems Engineering, and International Studies. The Faculty of Health Sciences, with its mission to integrate social and natural science research relating to global and public health, is a particularly clear example of the University's support for interdisciplinary studies.

SFU is currently implementing and formalizing learning outcomes at the program level, a process that began in 2011 with the report from the Learning Outcomes Assessment Working Group. At the course level, it was found that many courses already have learning outcomes built into the curriculum and these will be formalized. Also, learning outcomes are being created for courses currently without them.

Information regarding the development of learning outcomes at SFU is available in the response to Initial Candidacy Self Evaluation Report Recommendation 2 and Mid-Cycle Evaluation Report Recommendation 1.

2.C.2 *The institution identifies and publishes expected course, program, and degree learning outcomes. Expected student learning outcomes for courses, wherever offered and however delivered, are provided in written form to enrolled students.*

SFU is striving to identify and adopt best practices for the implementation of assessable learning outcomes across the curricula in as realistic a timeframe as is feasible, given the contextual challenge the University faces in promoting change to institutional culture. The Terms of Reference and Senate-approved principles provide guidance as the University navigates what is a politically and administratively complex process. The goal is to implement learning outcomes thoroughly and consistently across more than 100 undergraduate program, and more than 45 graduate offerings. The Senate-approved proposal to develop program level educational goals and assessment methods is the culmination of many months of consultation, debate, and compromise and it represents an innovative model that acknowledges SFU's uniqueness. The process will evolve over time, with ample review and assessment as the initiative moves forward.

The method adopted for integrating educational goals and assessment processes is suited to SFU's uniquely Canadian institutional culture and it is aligned with the University's Vision/Mission. A learning outcomes and assessment approach will benefit academic programs, students, instructors and the University as a whole. But it is also a significant cultural shift and SFU's initiative takes into account the importance of fully supporting faculty and staff over the course of its implementation.

2.C.3 *Credit and degrees, wherever offered and however delivered, are based on documented student achievement and awarded in a manner consistent with institutional policies that reflect generally accepted learning outcomes, norms, or equivalencies in higher education.*

Generally, a degree at SFU requires, as stated in the *Calendar*, approximately 120 credit-hours of study: approximately 60 credits of first and second year or lower division general courses (including specified WQB courses), 45 credits of program specific third and fourth year or upper division courses, and approximately 15 credits of unspecified elective credit courses. Any exception to this model, such as in the Engineering program, posts its specific graduation requirements on its department website and/or in the *Calendar*.

Along with credit and course requirements for a degree, students must also attain a certain grade point average. To graduate, students need an overall, cumulative grade point average (CGPA) and upper division CGPA of at least 2.0 (C average), and a program (major, joint major, extended minor, minor) CGPA and upper division CGPA of at least 2.0.

SFU's policy on Grading and Reconsideration of Grades¹⁵² ensures that grades awarded reflect demonstrated achievement in meeting course learning objectives and outcomes. Furthermore, students are advised in advance, of the grading procedures and criteria for specific work. For example, if an essay is to be graded on style, format, and documentation, students are advised of the criteria before they begin the assignment.

2.C.4 *Degree programs, wherever offered and however delivered, demonstrate a coherent design with appropriate breadth, depth, sequencing of courses, and synthesis of learning. Admission and graduation requirements are clearly defined and widely published.*

At the undergraduate level, SFU offers honours, majors, extended minors, minors, post-baccalaureate, and certificate programs. Undergraduate courses are designated numbers between 100 and 499; graduate courses are designated numbers 500 or higher. Graduate programs offered by SFU lead to doctoral and master's degrees, with graduate diplomas and certificates also offered. In all, SFU offers over 317 baccalaureate, 18 diploma, and 37 certificate programs at the undergraduate level, and approximately 36 doctoral, 77 master's, and 10 graduate diploma or certificate programs at the graduate level.¹⁵³ The University enrolls more than 35,000 students a year in for-credit programs and awarded over 5,200 bachelor's degrees, 980 master's degrees, and 200 doctoral degrees in 2014/15 alone.¹⁵⁴

SFU also offers undergraduate certificates and post-baccalaureate diplomas. Certificate programs consist mainly of lower division (i.e., 100- and 200-level) courses and are generally equivalent to between one-half and one year of full-time study (18 to 30 credit hours). Certificate students must meet SFU's admission requirements and, in most cases, must apply to the appropriate academic department for program approval.

Post-baccalaureate programs consist of upper-division courses (with perhaps some graduate courses) and are the equivalent of one year or more of university study. A first university degree or the equivalent is normally a prerequisite for admission to a post-baccalaureate program, even though a post-baccalaureate program is considered an undergraduate program.

SFU operates on a "trimester" system, enrolling students and offering classes three times yearly. The trimester system provides flexibility for students who need to accommodate work schedules and other demands that might otherwise affect their ability to take classes. Each semester includes 13 teaching weeks and a two week examination period. All admission requirements are posted on the SFU Student Services website.¹⁵⁵

¹⁵² <http://www.sfu.ca/policies/gazette/teaching/t20-01.html>

¹⁵³ <http://www.sfu.ca/students/calendar>

¹⁵⁴ See IRP "Fingertips Statistics": <http://www.sfu.ca/irp/fingertip-statistics.html>

¹⁵⁵ <https://www.sfu.ca/students/admission-requirements.html>

More than 1,700 courses are offered during each fall and spring semester, and about 1,000 each summer, totaling approximately 4,400 undergraduate and graduate credit courses annually. One measure of the trimester system's success is that full-time enrollments for the summer semester are approximately half of those for the conventional fall/spring semesters.

All credentials must meet breadth and specific program requirements, as well as credit hour limits, according to University policy as established by Senate. Both admission and graduation requirements are made available on the SFU Student Services website. Many Faculties also post these requirements on their Faculty web pages.

2.C.5 *Faculty, through well-defined structures and processes with clearly defined authority and responsibilities, exercise a major role in the design, approval, implementation, and revision of the curriculum, and have an active role in the selection of new faculty. Faculty with teaching responsibilities take collective responsibility for fostering and assessing student achievement of clearly identified learning outcomes.*

The number and character of new courses and programs illustrate Simon Fraser University's efforts to respond to new demands and emerging topics. Each year Senate approves from 70 to over 130 new courses and an average of nearly eight new programs. A prescribed and effective system for removing courses from the course inventory allows the curriculum to evolve without becoming diluted or exceeding available resources.

The University has a robust system of academic quality assurance for its programs and courses. All programs offered by SFU are subject to Senate review of their content, coherence and rigour, with consideration given to the appropriate breadth, depth, and sequencing of courses. Program and course changes, and new courses, which mainly originate from faculty members or Faculty committees, are also subject to review and oversight at the academic unit, where approval is required prior to review by a Faculty committee.

New programs typically originate in departments or schools and are subject to extensive review before approval. Under British Columbia's *University Act*, universities determine the appropriate level of credential to be offered in a discipline. However, British Columbia's *Degree Authorization Act* also allows the Ministry of Advanced Education to consider new graduate programs, based on resource requirements and demand within British Columbia. Proposed programs are offered for review and comment by other post-secondary institutions through British Columbia's Degree Quality Assessment Board.

Faculty who propose courses or programs, and those who approve or deny them, are appropriately credentialed in their disciplines, further ensuring a high standard of academic quality. As noted, more than 89% of SFU's tenured or tenure track faculty have doctoral degrees. They are hired through a selection process that is national (and often international) in scope and carried out by academic peers qualified to assess their competence and expertise.

Academic units regularly review their curriculum. Reviews are designed to keep programs contemporary in their academic content and to ensure unit resources are adequate. All academic

units undergo external reviews (normally every seven years).¹⁵⁶ These are carried out by committees composed of senior members from outside SFU in the discipline or subject area, with many from international institutions. One member appointed from SFU provides the committee with contextual advice about SFU. Committees examine programs to ensure content and teaching meet disciplinary standards and that the unit's academic environment contributes to its teaching and research objectives.

Table 5: Credentials conferred by year

Credentials Awarded	2006/07	2007/08	2008/09	2009/10	2010/11	2011/12	2012/13	2013/14	2014/15
Certificate	485	432	419	365	373	440	581	671	626
Diploma	72	50	50	65	77	97	70	74	91
Baccalaureate	4310	4161	4441	4289	4472	4624	4986	5240	5222
Graduate Certificate	2	2	2	-	3	4	17	21	13
Graduate Diploma	147	148	133	121	147	111	79	89	137
Master's	768	662	858	906	976	1001	924	897	943
Doctoral	104	128	131	133	130	155	176	179	202
PDP	536	611	577	565	559	561	538	512	507
TOTAL	6424	6194	6611	6444	6737	6993	7371	7683	7741

Source: Institutional Research and Planning, SFU

Program and degree graduation requirements include appropriate credit counts and a minimum GPA. They also include writing, quantitative, and breadth requirements as well as course-level requirements (i.e., distribution of lower and upper division courses), and specific subject-area requirements. Whether a course is classified lower or upper division is determined by the content, as well as the effort and degree of disciplinary knowledge and skill a student must demonstrate to succeed in it. On rare occasions, an exception to a course graduation requirement may be granted, based on rigorous reviews by the Faculty Dean and the Registrar, followed by Senate approval.

Course and program assessments reflect academic norms, which allocate primary authority for assessment to individual teaching faculty. The methods used to measure student achievement vary by discipline, program content, and level, but whatever form they take, they meet the standards of higher education in Canada.

All SFU credit courses must publish a course outline prior to registration. By policy, course outlines must describe course requirements and specify how course grades will be calculated.¹⁵⁷ The outlines also specify the allocation of relative grade weights to final and other exams, papers and projects, tutorial participation, and laboratory work, etc. Typically, outlines are published online and are posted on the Registrar's and Student Services' websites and/or the websites of the department(s) offering the course. Also, as a result of the proposal put to Senate by the Vice-President, Academic in May 2013, all forthcoming departmental external reviews must have educational goals (learning outcomes) built into the respective course outlines.

On occasion, the University eliminates an academic program. The process for elimination is approved by Senate and requires approvals by the appropriate Senate bodies, including: the Senate Committee on Undergraduate Studies (SCUS) or Senate Graduate Studies Committee (SGSC)

¹⁵⁶ www.sfu.ca/vpacademic/avpa/external_reviews.html

¹⁵⁷ <http://www.sfu.ca/policies/gazette/teaching/t20-01.html>

and the Senate Committee on University Priorities (SCUP). Winding up a program requires approval by more than one of the above committees plus the Senate and the Board of Governors. The consultation process requires consultation with students to ensure those affected have the opportunity to complete the program in a timely way.

2.C.6 *Faculty with teaching responsibilities, in partnership with library and information resources personnel, ensure that the use of library and information resources is integrated into the learning process.*

In the context of their courses, teaching faculty make use of Library and other information sources. Students are expected to assess and use these information sources to develop their subject-area concepts, analyze issues, and increase understanding of their subject. New information technologies are widely used in courses and students learn how to effectively access information and how to assess the reliability of sources.

To help instructors maximize student learning and create an intellectually engaging environment for students, SFU developed the Teaching and Learning Centre (TLC). The TLC is staffed by educational professionals who support programs and faculty in the development, design, and implementation of programs, courses, content and social learning environments. TLC staff also provide professional development opportunities for teaching staff.

2.C.7 *Credit for prior experiential learning, if granted, is: a) guided by approved policies and procedures; b) awarded only at the undergraduate level to enrolled students; c) limited to a maximum of 25% of the credits needed for a degree; d) awarded only for documented student achievement equivalent to expected learning achievement for courses within the institution's regular curricular offerings; and e) granted only upon the recommendation of appropriately qualified teaching faculty. Credit granted for prior experiential learning is so identified on students' transcripts and may not duplicate other credit awarded to the student in fulfillment of degree requirements. The institution makes no assurances regarding the number of credits to be awarded prior to the completion of the institution's review process.*

Only one program at SFU has granted credit to incoming undergraduate students for prior experiential learning: the Integrated Studies Program (ISP). ISP was a part-time cohort-based degree completion program for mid-career adults, first launched as a pilot in 1995. Admission to ISP was determined by an Academic Steering Committee (ASC) that assessed applicants based on an intensive application process and on recommendations by their employers.

ISP applicants were measured by weighting their amount or level of work experience (30%), their amount or level of post-secondary education/professional experience (30%), a diagnostic test of writing and grammatical abilities (20%), and an interview (20%) with the Academic and Program Directors. Applicants approved for admission by the ASC were admitted through a flexible admissions process that grants up to 60 "non-transcribed" (i.e., undifferentiated or non-specific) credits towards a Bachelor of General Studies degree. The credits needed to complete the degree were earned by completing the approximately 18 courses that comprised the Integrated Studies

Program. Close supervision of the program by its Academic Director and the ASC maintained clear academic standards within the IS Program.

In November 2010, Senate suspended admissions to the IS program in response to a motion from the Faculty of Arts and Social Sciences (FASS). FASS's motion noted among its reasons for terminating the program the NWCCU's limit on Prior Learning Assessment credits. The small cohort admitted in fall 2010 will be allowed to complete the program, but no further students will be admitted to it.

2.C.8 *The final judgment in accepting transfer credit is the responsibility of the receiving institution. Transfer credit is accepted according to procedures which provide adequate safeguards to ensure high academic quality, relevance to the students' programs, and integrity of the receiving institution's degrees. In accepting transfer credit, the receiving institution ensures that the credit accepted is appropriate for its programs and comparable in nature, content, academic quality, and level to credit it offers. Where patterns of student enrollment between institutions are identified, the institution develops articulation agreements between the institutions.*

While the British Columbia Council on Admissions and Transfer (BCCAT) posts and administers transfer course agreements between British Columbia's post-secondary institutions, it is still ultimately up to SFU as the receiving institution to determine the actual transfer credit to be awarded.

Incoming potential transfer courses are assessed by professors in the relevant SFU Faculty, who then determine what credit will be awarded for a given course. Once a determination is made, the Student Services department informs BCCAT, which updates the BC transfer guide to inform the public of the change.

SFU also initiates and maintains articulations/dual-partnership agreements and dual-degree programs for which the transfer of credits and applicability of coursework are clearly articulated.

Undergraduate Programs

2.C.9 *The General Education component of the undergraduate programs (if offered) demonstrates an integrated course of study that helps students develop the breadth and depth of intellect to become more effective learners and to prepare them for a productive life of work, citizenship, and personal fulfillment. Baccalaureate degree programs and transfer associate degree programs include a recognizable core of general education that represents an integration of basic knowledge and methodology of the humanities and fine arts, mathematical and natural sciences, and social sciences. Applied undergraduate degree and certificate programs of thirty (30) semester credits or forty-five (45) quarter credits in length contain a recognizable core of related instruction or general education with identified outcomes in the areas of communication, computation, and human relations that align with and support program goals or intended outcomes.*

In order to provide a relevant, effective, and coherent education to students, SFU has always encouraged students to take courses that may cultivate their general communication and thinking

skills and broaden their horizons beyond their disciplines. Too often they did not. In response, the Vice-President, Academic appointed an *ad hoc* Undergraduate Curriculum Committee (UCC) to review the matter in 2001.

In 2002, Senate approved in principle the UCC's recommendations for enhancing the quality of undergraduate education at SFU. Included in the recommendations were new requirements to ensure that students entering the University were properly prepared for university-level coursework. Where academic upgrading was necessary, applicants would obtain it before entering SFU or early in their programs. Based on the work of a subsequent task force, Senate approved the adoption of new general education requirements beginning in 2006.

Students who enter a baccalaureate program at SFU must fulfill University-wide writing, quantitative, and breadth (WQB) requirements. These include the completion of at least two courses (minimum six credits) that foster writing abilities ("W" courses); within this requirement one course must be at the lower division level, and one must be within the student's major subject at the upper division level. Students must also complete at least two courses (six credits) that foster quantitative abilities ("Q" courses) and at least 18 credits in breadth courses ("B" courses) outside their major subject area. As part of the breadth requirement, students must complete at least two designated B courses in each of the Sciences ("B-Sci"), Social Sciences ("B-Soc"), and Humanities ("B-Hum"), plus two additional breadth courses outside of their major.¹⁵⁸ To complete an undergraduate degree, all SFU students must complete their WQB courses with a grade of C- or better.

WQB courses meet specific criteria.¹⁵⁹ Departments apply to the University Curriculum Office for course designation assessment. If approved to carry a W, Q, or B designation, the department takes the course, with its certification documentation, through the normal curriculum approval process. As of spring 2015, SFU has classified 198 courses as W courses, 331 as Q courses, and 294 as B courses.¹⁶⁰

Some students arrive at university not quite ready to take a W or Q course. For these students, SFU provides two "foundations" courses: Foundations of Academic Literacy (FAL) and Foundations of Analytical and Quantitative Reasoning (FAN). Students are advised prior to their first enrollment whether they are required to take one or both of these courses. Others who wish to take FAL or FAN courses may do so when capacity permits.

Foundations courses earn "additive" credits: that is, they do not count toward the completion of degree requirements. The Student Learning Commons¹⁶¹ provides additional assistance on academic writing, learning, and study strategies and offers one-to-one consultations, workshops, peer-facilitated group discussions, and extensive online resources on achieving academic success.

¹⁵⁸ For full details of the Breadth requirements: http://www.sfu.ca/ugcr/for_students/wqb_requirements.html

¹⁵⁹ For criteria and definitions: http://www.sfu.ca/ugcr/for_faculty/wqb_criteria_and_definitions.html

¹⁶⁰ For a listing of these courses: http://www.sfu.ca/ugcr/for_faculty/certified_wqb_courses.html

¹⁶¹ <http://learningcommons.sfu.ca/>

2.C.10 *The institution demonstrates that the General Education components of its baccalaureate degree programs (if offered) and transfer associate degree programs (if offered) have identifiable and assessable learning outcomes that are stated in relation to the institution's mission and learning outcomes for those programs.*

SFU does not have a General Education program, but has developed WQB requirements, which, like General Education programs, provide all undergraduate students with a diverse education experience. The WQB requirements are one component of SFU's undergraduate degree-level learning that aims to help students develop common skills across programs. They provide standardized breadth and knowledge for SFU students completing undergraduate degrees.

The learning objectives arising from WQB requirements are being incorporated into undergraduate degree-level learning outcomes/educational goals, and/or institutional "graduate attributes." As part of this effort to articulate learning outcomes, SFU will be better able to connect the WQB requirements with SFU's Vision/Mission. Appropriate assessment mechanisms will be developed for all of these outcomes.

Detailed information regarding WQB requirements and courses is provided in the response to Initial Candidacy Self Evaluation Report Recommendation 3 and Mid-Cycle Evaluation Report Recommendation 2.

2.C.11 *The related instruction components of applied degree and certificate programs (if offered) have identifiable and assessable learning outcomes that align with and support program goals or intended outcomes. Related instruction components may be embedded within program curricula or taught in blocks of specialized instruction, but each approach must have clearly identified content and be taught or monitored by teaching faculty who are appropriately qualified in those areas.*

All degree, certificate, and baccalaureate programs comply with SFU's WQB/General Education and credential-fulfillment requirements. Each credential includes related instruction with clearly identified content appropriate for supporting the respective course and program goals. Qualified faculty teach all related instruction courses.

More information regarding WQB requirements and courses is available in the response to Initial Candidacy Self Evaluation Report Recommendation 3 and Mid-Cycle Evaluation Report Recommendation 2.

Learning outcomes are currently being adopted at the program level. At the course level, learning outcomes have existed to a certain degree for many years, although not in a standardized format. To make learning outcomes part of SFU's academic culture, the University is formalizing and standardizing learning outcomes for those courses that already have them in place, and introducing them into the curriculum of courses previously lacking.

More information regarding the development of learning outcomes at SFU can be found in the response to Initial Candidacy Self Evaluation Report Recommendation 2 and Mid-Cycle Evaluation Report Recommendation 1.

Graduate Programs

2.C.12 *Graduate programs are consistent with the institution's mission; are in keeping with the expectations of their respective disciplines and professions; and are described through nomenclature that is appropriate to the levels of graduate and professional degrees offered. They differ from undergraduate programs by requiring greater depth of study and increased demands on student intellectual or creative capacities; knowledge of the literature of the field; and ongoing student engagement in research, scholarship, creative expression, and/or appropriate high-level professional practice.*

Graduate studies at SFU are an integral part of the institution's academic and cultural environment. More than 5,300 students in all eight Faculties participate in graduate programs and engage in the research, creative work, and advanced critical thinking characteristic of graduate education.¹⁶²

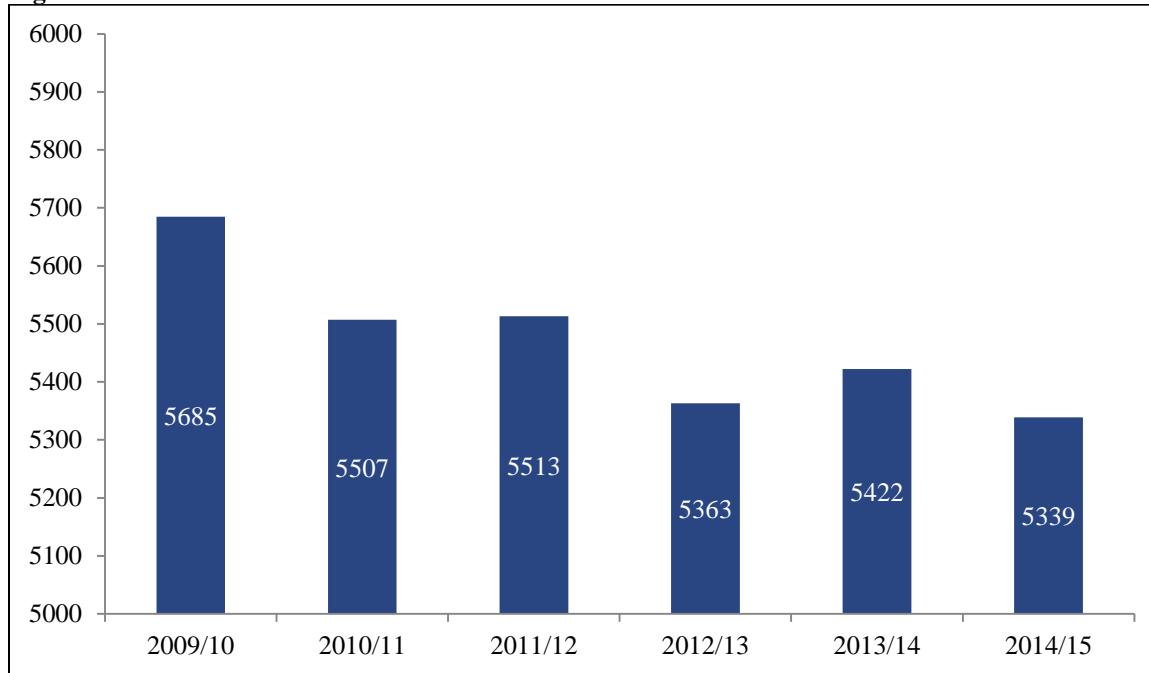
Graduate enrollment increased by 30% in the six academic years 2004/05 to 2009/10, with the last three years of this growth funded by the province as part of its plan to create new graduate spaces. Since then, provincial funding has decreased, which has resulted in a leveling off of enrollment in SFU's graduate program. SFU's overall enrollment numbers are now relatively stable, hovering at 5,507 in 2010/11, 5,513 in 2011/12, 5,363 in 2012/13, 5,422 in 2013/14, and 5,339 in 2014/15. Over the last 10 years, the University has increased the number of master's credentials awarded per year from 650 in 2004/05 to 984 in 2014/15 and doctorates awarded from 85 in 2004/05 to 202 in 2014/15. Home to a variety of world-class research facilities, innovative programs, and world-renowned scholars, SFU attracts graduate students from over 60 countries.

Graduate studies demand that students engage in deeper analysis, demonstrate greater understanding of more complex materials, and display a more extensive knowledge of subject literature than is expected of undergraduates. As a result, SFU requires graduate applicants to have an undergraduate degree with a strong record of academic achievement. Individual graduate program committees may set additional requirements.

2.C.13 *Graduate admission and retention policies ensure that student qualifications and expectations are compatible with the institution's mission and the program's requirements. Transfer of credit is evaluated according to clearly defined policies by faculty with a major commitment to graduate education or by a representative body of faculty responsible for the degree program at the receiving institution.*

Admission to SFU's graduate programs is typically very competitive and entry requirements are often considerably higher than stated University and program minimums. Programs restrict admission to students whose interests are compatible with faculty expertise and who can be supported within available resources.

¹⁶² <http://www.sfu.ca/irp/students.html>

Figure 4: Graduate student headcount

Source: Institutional Research and Planning, SFU

Graduate program committees assess applicants' academic records and the quality of the programs and institutions they previously attended. The committees also determine an applicants' overall compatibility with the program demands by looking at grade point average conversions and admission guides for international students compiled by the Dean of Graduate Studies Office.

SFU's doctoral programs engage students in ongoing research independently or in collaboration with larger research groups. To earn a doctorate, students must complete a thesis based on substantial original high-caliber research and pass an oral examination conducted by a committee that includes a qualified examiner from outside SFU. Some programs require that candidates pass comprehensive exams as well.

Master's programs at SFU introduce students to the research process or provide them with the critical and analytical skills needed for their intended professions. Master's students must successfully complete prescribed coursework and a thesis or research project, or pass final examinations in their subject area. Graduate diploma programs provide specialized combinations of courses for students who wish to upgrade their knowledge and skills to an advanced level. Diploma students must successfully complete 22 units or more of graduate course work, depending on the diploma. University course, thesis, and grade requirements for graduate degrees are listed in the *Calendar*, as are all requirements for individual programs.¹⁶³ Program requirements are also available on departmental websites.

"Special Arrangements" doctoral students (that is, students whose areas of study lie outside of or "across" existing graduate programs) are admitted and administered through the Dean of Graduate Studies Office. Students admitted to Special Arrangements programs must be exceptionally able,

¹⁶³ <http://www.sfu.ca/students/calendar>

and propose a well-developed plan of studies characterized by internal coherence and academic merit. To accommodate them, the University must also have faculty with the appropriate expertise and interest who are willing to supervise the proposed work. Special Arrangements made for an individual student must be reviewed and approved by the Senate Graduate Studies Committee (SGSC).

2.C.14 *Graduate credit may be granted for internships, field experiences, and clinical practices that are an integral part of the graduate degree program. Credit toward graduate degrees may not be granted for experiential learning that occurred prior to matriculation into the graduate degree program. Unless the institution structures the graduate learning experience, monitors that learning, and assesses learning achievements, graduate credit is not granted for learning experiences external to the students' formal graduate programs.*

While most graduate students take all their graduate courses at SFU, up to one half of the University minimum course work or departmental degree requirements for a graduate program may be completed elsewhere. Graduate program committees assess graduate transfer credit and students need prior approval from their program committee before taking a course at another institution.

Internships, work-integrated learning, and clinical practices may be part of a graduate program. All such graduate learning experiences, when assigned course or program credit, are reviewed and monitored by the program involved. SFU does not grant graduate credit for prior experiential learning.

Oversight of SFU's graduate studies program is the responsibility of the SGSC.¹⁶⁴ The Committee is responsible to Senate for admissions (a function delegated to the Dean), maintaining academic standards, monitoring changes to existing programs, evaluating new programs, and administering graduate general regulations. The Committee may act as an appeal body for student progress reviews.

2.C.15 *Graduate programs intended to prepare students for research, professional practice, scholarship, or artistic creation are characterized by a high level of expertise, originality, and critical analysis. Programs intended to prepare students for artistic creation are directed toward developing personal expressions of original concepts, interpretations, imagination, thoughts, or feelings. Graduate programs intended to prepare students for research or scholarship are directed toward advancing the frontiers of knowledge by constructing and/or revising theories and creating or applying knowledge. Graduate programs intended to prepare students for professional practice are directed toward developing high levels of knowledge and performance skills directly related to effective practice within the profession.*

Simon Fraser University offers an excellent environment for research and graduate studies. The institution is home to numerous and diverse world-class research facilities, innovative programs, and world-renowned scholars. Graduate programs are student-centred, research-driven, and

¹⁶⁴ <http://www.sfu.ca/senate/senate-committees/sgsc.html>

community-engaged, preparing students for further exploration and work in their chosen profession or field of research.

SFU is consistently recognized for its outstanding research performance. SFU tops the 2016 *Maclean's* University Rankings¹⁶⁵ in the comprehensive category, and ranks second among the comprehensives in all three faculty performance indicators: national faculty awards, social sciences and humanities grants, and medical/science grants. Re\$earch Infosource¹⁶⁶ ranks SFU #1 among Canada's comprehensive universities in publication impact (the probability of an article being cited in peer-reviewed journals) and #2 in number of publications. The QS World University Rankings¹⁶⁷ ranks SFU among the top five Canadian universities for research, as measured by the number of citations per faculty.

SFU's pioneering interdisciplinary approach to learning is reflected in several field-specific rankings. QS ranks SFU within the world's top universities in half of the diverse subject areas it covers, including in the top 100 in the world in two subject areas: communication and media studies (3rd in Canada), and geography (7th in Canada). Shanghai Jiao's Academic Ranking of World Universities¹⁶⁸ ranks SFU 49th in the world in computing science, and within the top 150 universities in the world in the fields of social sciences and economics/business. In the 2012 field-normalized ranking of Canadian universities by the Higher Education Strategy Associates,¹⁶⁹ SFU ranked #6 in science and engineering and #10 in social sciences and humanities.

SFU supports a multitude of activities to translate research outcomes into real benefits for individuals, the University, and the public by facilitating intellectual development and innovation. These include collaborative groups, entrepreneurship and commercialization structures, research institutes and centres, and research about entrepreneurship and innovation. SFU is building on these strengths to support innovation clusters that can achieve scalable and sustainable economic or social impacts.

Furthermore, SFU's programs link collaborators with supporting networks in the innovation ecosystem: entrepreneurs, industry, academic institutions, government, markets, customers, and investors in an overall strategy to seamlessly integrate knowledge generation and transfer collaboratively across sectors. These new models, along with the technology and market assessment, and intellectual property and licensing services provided by the SFU Innovation Office, ensure that the necessary conditions exist for successful university technologies, entrepreneurs, startup and spinout companies, and industrial partnerships.

Continuing Education and Non-Credit Programs

2.C.16 Credit and non-credit continuing education programs and other special programs are compatible with the institution's mission and goals.

¹⁶⁵ <http://www.macleans.ca/education/best-of-the-best-introducing-the-2016-macleans-university-rankings/>

¹⁶⁶ <http://www.researchinfosource.com/pdf/2014RUYComprehensive.pdf>

¹⁶⁷ <http://www.topuniversities.com/qs-world-university-rankings>

¹⁶⁸ <http://www.shanghairanking.com/>

¹⁶⁹ <http://higheredstrategy.com/publications/measuring-academic-research-in-canada-field-normalized-university-rankings-2012/>

2.C.17 *The institution maintains direct and sole responsibility for the academic quality of all aspects of its continuing education and special learning programs and courses. Continuing education and/or special learning activities, programs, or courses offered for academic credit are approved by the appropriate institutional body, monitored through established procedures with clearly defined roles and responsibilities, and assessed with regard to student achievement. Faculty representing the disciplines and fields of work are appropriately involved in the planning and evaluation of the institution's continuing education and special learning activities.*

2.C.18 *The granting of credit or Continuing Education Units (CEUs) for continuing education courses and special learning activities is: a) guided by generally accepted norms; b) based on institutional mission and policy; c) consistent across the institution, wherever offered and however delivered; d) appropriate to the objectives of the course; and e) determined by student achievement of identified learning outcomes.*

2.C.19 *The institution maintains records which describe the number of courses and nature of learning provided through non-credit instruction.*

Since 1971, continuing education at SFU has been administered by the department of Continuing Studies. In 2011, Continuing Studies was subsumed into the new Lifelong Learning unit. The new name reflects the changing nature of university education and the increasing demand for access to education throughout one's lifetime.

As a rubric, "Lifelong Learning" captures the Dean's responsibility for a number of other initiatives, including online and distance education programs, credit programs for mature learners, and education and outreach programs for the public.

Lifelong Learning's programming is aligned with SFU's Vision/Mission to provide engaging, high-quality learning experiences. Through its deep involvement in the Burnaby, Vancouver, and Surrey communities, Lifelong Learning plays an essential role in achieving SFU's community and citizenship core theme objectives. As a significant presence on all SFU campuses, Lifelong Learning offers courses and programs face-to-face, online, and through blended formats, making its credit and non-credit certificate and diploma programs widely available to people locally and across British Columbia.

All non-credit certificates and diplomas offered at SFU need the approval of the Senate Committee on Continuing Studies (SCCS). The SCCS reviews existing and proposed non-credit programs and assesses their suitability for SFU. The University maintains a record of approved non-credit certificates and diplomas in several sites: the minutes of meetings of the SCCS and the University Senate, and a central web page that provides links to all program areas and offerings.

Lifelong Learning fulfills its mandate through a range of programs and methods. Since 1975, for example, the Centre for Online and Distance Education (CODE) has been helping students who cannot attend on-campus courses meet their academic goals by providing undergraduate credit courses through distance and online arrangements. The English Language and Culture Program (ELC) offers English language courses to non-English speakers. ELC's approach assumes that student learning is deeper and more meaningful when emphasis is shared between new language

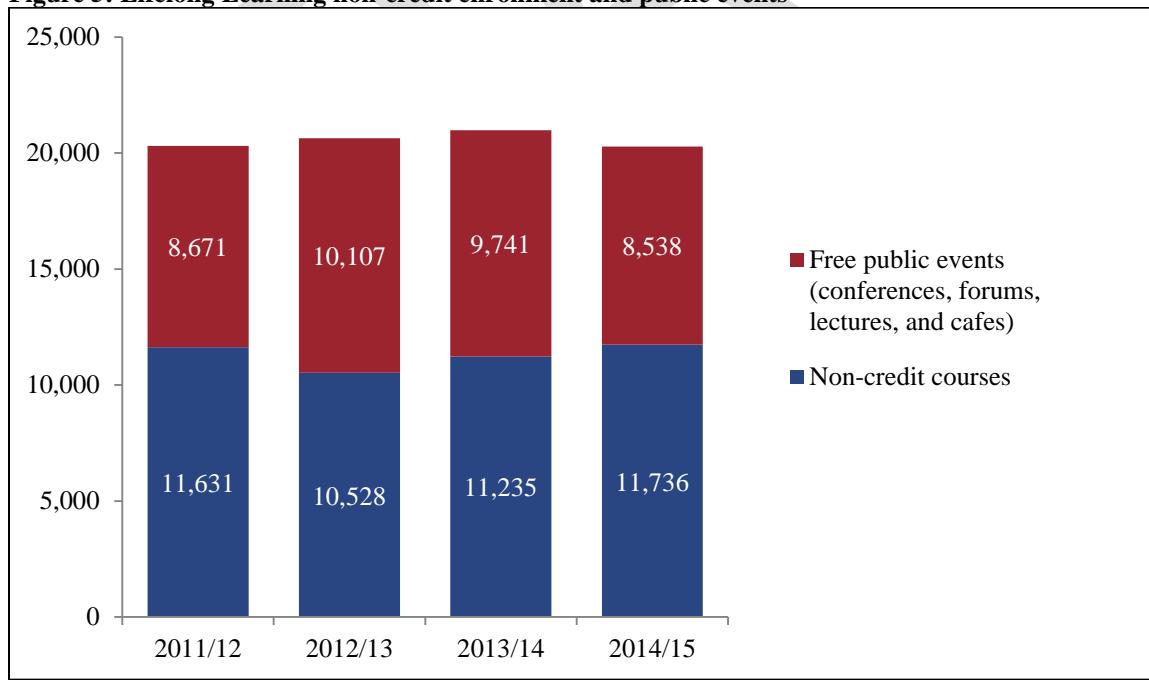
skills and understanding the cultural context within which the language is used. Finally, SFU's longstanding and highly successful 55+ Program offers academically oriented courses, forums, and outreach to people 55 and older.

Individual non-credit programs offered through Lifelong Learning's Continuing Studies unit receive academic and community oversight by Program Advisory Committees (PACs). PACs draw representatives from the relevant Faculties and departments, and from among students, instructors, and community and client groups.

With annual enrollments of over 11,000, non-credit offerings are staples of Continuing Studies programming and are provided on a cost-recovery basis. Non-credit courses cannot be applied toward an SFU degree. However, some courses and programs are accredited by professional groups, qualify as professional development and continuing education credits, or can lead to professional designations.

Credit courses offered by Lifelong Learning are organized through CODE, the Integrated Studies Program, or SFU NOW ("Nights Or Weekends"). Courses offered by CODE are delivered online or by distance format, while the Integrated Studies Program offers in-class courses at the Vancouver campus. SFU NOW provides evening and Saturday courses for students at the Vancouver and Surrey campuses. All courses offered for credit through Lifelong Learning are part of the University's regular curriculum. Academic credit is established by the appropriate department or program; courses meet equivalent academic standards and are approved by Senate. The Faculties hire instructors for these programs.

Figure 5: Lifelong Learning non-credit enrollment and public events



Source: Lifelong Learning

Student records for Continuing Studies' non-credit courses are maintained by Continuing Studies and are separate from SFU's records of for-credit offerings, even when the same student takes both kinds of courses.

Standard 2.D - Student Support Resources

2.D.1 *Consistent with the nature of its educational programs and methods of delivery, the institution creates effective learning environments with appropriate programs and services to support student learning needs.*

Simon Fraser University makes every effort, consistent with best practices for post-secondary education, to admit a diverse group of students who are well qualified for academic success. Admission standards are rigorous and equitable, ensuring that those admitted are prepared for the challenges they will face in their new educational environment. Admission criteria are clearly stated and easily available¹⁷⁰ and applicants can contact an admission advisor directly via email to "Ask SFU."¹⁷¹

Not surprisingly, the more than 5,000 new students admitted annually to SFU arrive variously skilled and unevenly prepared to meet the demands that come with transition to university-level course work and culture. As a result, SFU offers numerous programs and services to help new students flourish in their new environment.

Student Services is SFU's primary provider of direct services and support programs for students. Its role is to provide logistical support for the recruitment and admission of student applicants, to maintain records for students in credit courses, and to facilitate student learning and academic success. Student Services also links students to other appropriate support services, such as the Student Learning Commons (SLC) operated by the Library.

Officially launched in Fall 2006, the SLC provides writing and learning support services to students across the three SFU campuses, including: support for students in writing, quantitative, and breadth (WQB) courses; international students; English as an Additional Language (EAL) students; college transfer students; and many others. It provides support through workshops, personal consultations, print and online resources, as well as through classroom collaborations with faculty and other instructors. It also works closely with the Library, Campus IT, Student Services, the Foundation of Academic Literacy and Numeracy, Faculty advisors, and many others, to provide effective "one-stop, one-step" academic support.

Student Services is led by the Associate Vice-President, Students (AVPS), who oversees a comprehensive portfolio of administrative and programmatic units tasked with providing support to all students from prospect to graduand. The AVPS has four senior-level direct reports who jointly manage the portfolio. The team is made up of the Executive Director, Student Affairs; the Registrar & Senior Director of Enrollment; the Senior Director of Athletics and Recreation; and the

¹⁷⁰ <http://www.sfu.ca/students/futurestudents.html>

¹⁷¹ <http://mycushelp.ca/SFU/>

Senior Director of Student Success and Strategic Support.

SFU also has a very active student society¹⁷² and graduate student society.¹⁷³ Both provide support services for students, such as free coffee, survival guides, student lounges, and study spaces. The student societies are an extra and often welcome peer resource for students who may need help with their studies or adjusting to student life.

Athletics and Recreation Services

The Athletics and Recreation department provides opportunities for students, alumni, and the community at large to enrich their university experience by participating in social and physical activities that challenge them to get active, be active, and stay active.

SFU's athletes demonstrate that academic and athletic pursuits are truly compatible, with varsity teams earning 72 national championships in 11 sports, most won in US leagues in which SFU was the only Canadian competitor. Between 1996 and 2004, SFU was awarded six NACDA Directors' Cups¹⁷⁴ for achieving the most success in collegiate athletics among colleges and universities competing in the United States. In 2004, many SFU teams moved to the Canadian Interuniversity Sports league seeking suitable competition after many of their NAIA competitors moved to the NCAA's Division II. More than 100 Clan athletes, former athletes and coaches have competed in the summer and winter Olympics.¹⁷⁵ In 2014, SFU teams had almost 400 varsity athletes in nine men's and 10 women's teams.

SFU students who do not participate in intercollegiate sports have many other opportunities to live an active, healthy lifestyle while at SFU. SFU's Gym and Fitness Centre is open daily and provides access to a full range of recreational facilities and programs that promote and enhance lifelong healthy living, for example:

- exercise machines, free and fixed weights, and fitness classes
- swimming and diving pools and aquatics programs
- recreational and competitive intramural leagues (e.g., badminton, ultimate Frisbee)
- instructional programs and lessons (e.g., yoga, martial arts, kayaking, dance)
- recreational and competitive sports clubs (e.g., lacrosse, hockey, rowing)
- recreational activities at the Surrey and Vancouver campuses

Athletics and Recreation now hosts 18 club teams, 70 intramural teams, and 45 recreational programs, with over 15,500 SFU students, staff, alumni, and members of the UniverCity residential community holding active memberships. SFU's Fitness Centre hosted 200,000 individual visits in 2014 and an additional 15,000 individuals enjoyed the Aquatic Centre. Athletics and Recreation also hosts over 7,000 summer camp participants annually, an activity that supports families, establishes healthy habits for growing children, and employs a number of SFU students throughout the summer months.

¹⁷² <http://www.sfsu.ca/>

¹⁷³ <http://sfugradsociety.ca/>

¹⁷⁴ http://en.wikipedia.org/wiki/NACDA_Directors%27_Cup

¹⁷⁵ http://athletics.sfu.ca/sports/2013/4/10/GEN_0410134324.aspx?tab=clanolympians

Work-Integrated Learning—Co-operative Education

Co-operative Education (co-op) is part of the larger Work-Integrated Learning unit within Student Services. Participating in a co-op enhances a student's academic, personal, and professional development by alternating periods of academic study with periods of paid work in fields related to a student's academic discipline. Co-op programs are available in every Faculty at SFU at the undergraduate level, and select Faculties have graduate co-op options (e.g., Computing Science, Master of Public Policy).

Co-op placements allow students to develop skills, acquire new knowledge, explore academic and career options, and network with potential employers while completing their degrees. Students also accrue the direct economic benefit of paid work to offset study costs. In turn, employers benefit from access to an enthusiastic and educated temporary workforce who may bring new ideas and energy from the academy to their workplace. Finally, the University gains students who return to their studies bringing new experience, perspective, and information from the world beyond the "classroom."

Co-op work terms are related to the student's field of study and area of career interest. While co-op coursework carries "additive" and not academic credit (i.e., they are not included in the calculation of a student's GPA and in all cases, except for engineering students, do not count toward the completion of graduation requirements), completed work terms count towards a "co-op" degree designation. Work terms are recorded on a student's transcript as Pass, Fail, or Withdrawal. Successful completion of a co-op work term is awarded three additive University credits.

At SFU, a co-op work term generally consists of full-time, paid work experience, typically 35 to 40 hours weekly for 13 to 16 weeks. Because of SFU's trimester system, academic programs are rarely structured around the characteristic progression of a sequenced cohort. As a result, work terms may more easily be extended over two consecutive semesters, providing students up to eight months of continuous employment and a deeper connection with their workplace and its learning environment.

The successful completion of three work terms represents one year of professional, related work experience prior to graduation and earns a co-op designation on a degree. Employer evaluations remain part of a student's confidential records in the Co-operative Education program and are retained for a minimum of one year following graduation.

Frequent communication among the co-op program, the employer, and the student reinforces learning outcomes and strengthens the partnerships among the University, the program, and the community.

SFU also offers an International Co-op option. Students have the opportunity to expand their career horizons while gaining international and intercultural work experience, improving foreign language skills, and experiencing invaluable personal growth and competitive advantage in a global economy. Since fall 2008, SFU co-op students have worked in 1040 international placements in over 65 countries around the globe.

SFU's co-operative education programs are accredited with the Canadian Association for Co-operative Education.¹⁷⁶

Student Employment by SFU

Being employed and earning an income is what allows many students to attend university. The opportunity to try out options for a future career is also important to many students. SFU offers students early opportunities to explore the working world and earn income by participating in its temporary labour pool.

Many positions require basic skills and knowledge, but others engage students' higher-level skills and interests. These positions might involve assisting faculty and administrators, often by carrying out research that otherwise would be out of reach. For example, working under the broad supervision of SFU's Sustainability Advisory Committee, a student might collect data on operational practices.

Health and Counseling Services

Health and Counseling Services (HCS) takes a holistic approach to health care that incorporates mind-body wellness and encompasses emotional, physical, psychological, social, and environmental aspects of life. HCS offers a range of health-related services, including: access to physicians and nurses; referrals to external health providers, medical labs, a psychiatrist, and other health-related resources; travel clinics for students traveling outside Canada for field schools, international exchanges, research semesters, or personal growth; and short-term access to psychiatric and psychological support and testing. The HCS also has a small, but effective health promotion team that is doing cutting-edge work in the area of healthy campus communities, with a focus on healthy classroom best practices. This work has been recognized nationally and internationally.

2.D.2 *The institution makes adequate provision for the safety and security of its students and their property at all locations where it offers programs and services. Crime statistics, campus security policies, and other disclosures required under federal and state regulations are made available in accordance with those regulations.*

Campus Security

Campus Security is responsible for the public safety of people and property on SFU's three campuses. It fulfills its obligations with proactive strategies to reduce risk, by preparing incident response strategies, and conducting post-incident investigations. In addition to its patrol activities, Campus Security initiatives include the Safe Walk program, campus speed watch, and access control operations (mechanical and electronic). Campus Security also participates in campus events and works collaboratively with other campus departments and off-campus agencies. In winter 2014, security operations that previously operated semi-independently at each SFU campus were integrated into a single administrative body.

¹⁷⁶ http://www.cafce.ca/accreditation-co-op_programs.html

Campus Security operations are supervised by experienced security professionals employed by the University. Supervisors oversee certified contract security officers who conduct campus patrols and other routine duties. Campus Security staff receive ongoing training to ensure all members are knowledgeable, current, and professional, and that their training exceeds the minimum levels required by provincial regulation. Under British Columbia's *Security Services Act*,¹⁷⁷ every officer engaged in a security role must take basic security training and be licensed by the government as a Security Worker. In addition to the *Security Services Act*, Campus Security operates under the authority of the *University Act* and various SFU policies and procedures.

The *Criminal Code* of Canada limits the powers of arrest for citizens and defines who qualifies as a "peace officer." Except for a few institutions where campus security officers are sworn as Special Constables under their province's *Police Act*, campus security officers operate analogously to corporate security and have the powers of citizen's arrest. They cannot carry batons, pepper spray, or other "weapons," and their powers of arrest are limited to instances when they directly observe the committing of a crime. Under British Columbia's *Trespass Act*,¹⁷⁸ Campus Security staff, acting as agents of the University, can issue notices of trespass and evict persons who are conducting unauthorized and unwanted activities on SFU property.

There is no Canadian equivalent to the US *Clery Act*, and campus security operations carry no federal or provincial requirement to report publicly on-campus crime statistics. Nonetheless, SFU's Campus Security collects, analyzes, and issues regular statistical reports for the University that, although self-defined, essentially cover the same kinds of incidents reported under the *Clery Act*.¹⁷⁹

Every incident reported to, and acted upon, by Campus Security on all three SFU campuses is documented in a Security Incident Report. Crime prevention programs, personal safety initiatives, and incident statistics are discussed with members of the community through student orientation sessions, Residence safety sessions, Residence and student staff training sessions, and new employee orientations.

Campus Security staff are also the initial responders to campus emergencies and are responsible for the initial assessment of all incidents. Campus Security has incident-specific standard operating procedures. These include setting up the initial incident command, making decisions on the need for additional internal and external resources, and coordinating the request of resources. If the Campus Security Incident Commander determines that the incident is beyond Campus Security's ability to manage, the Incident Commander has the authority to activate SFU's Emergency Operations Centre (EOC) and begin the EOC staff call-out.

Campus Security has a role in carrying out the following SFU policies:

- AD 1-3 Traffic and Parking Regulations
- AD 1-4 Control of Keys and Access Cards

¹⁷⁷http://www.bclaws.ca/EPLibraries/bclaws_new/document/ID/freeside/00_07030_01

¹⁷⁸http://www.bclaws.ca/EPLibraries/bclaws_new/document/ID/freeside/00_96462_01

¹⁷⁹<http://www.sfu.ca/srs/security.html>

- AD 1-12 Selling, Serving, and Advertising Liquor
- GP 4 Unscheduled Cancellations of Classes
- GP 16 Non-Smoking Policy
- GP 22 Fire Safety
- GP 25 Response to Violence and Threatening Behaviour
- GP 31 Emergency Management
- GP 39 Working Alone or in Isolation
- S10.01 Code of Academic Integrity and Good Conduct

Environmental Health and Research Safety

SFU fosters a safe working, research, and study environment and a sound safety culture through coherent health and safety policies and programs. These policies and programs, implemented by the Environmental Health and Research Safety department (EHRS), support a participatory approach to identifying, reporting, and addressing safety hazards and ensure regulatory compliance.¹⁸⁰

When meeting compliance standards, it is important that the reasons behind health and safety rules, regulations, and programs are well understood. To that end, EHRS makes a point of being accessible and responsive to departments and providing regulatory updates. The EHRS also provides general safety training, coordinates collaborative EHRS initiatives, reviews regulatory proposals and requirements, and manages relationships with regulatory agencies.

The EHRS uses a Safety Management System that supports legislative and regulatory compliance, minimizes loss, trains employees, coordinates contractor activities, and monitors and reviews safety program effectiveness. Responsibility for compliance with University and legislative safety requirements is assigned to line managers. EHRS prepares an annual report documenting all safety-related activities.

To help departments effectively use the Safety Management System, EHRS has developed a Departmental Safety Program Outline¹⁸¹ that can be customized to the specific needs of individual departments and safety committees.

2.D.3 *Consistent with its mission, core themes, and characteristics, the institution recruits and admits students with the potential to benefit from its educational offerings. It orients students to ensure they understand the requirements related to their programs of study and receive timely, useful, and accurate information and advising about relevant academic requirements, including graduation and transfer policies.*

¹⁸⁰ <http://www.sfu.ca/srs/ehs.html>

¹⁸¹ <http://www.sfu.ca/srs/ehs/safety-management.html>

Undergraduate Admissions

Information on admission and readmission processes, including detailed information on admission requirements for all of SFU's for-credit programs, is clearly articulated in the *Calendar*,¹⁸² the University's recruiting materials (print and electronic "Viewbooks" for domestic and international applicants), and the Admissions website.¹⁸³ The appeals process is communicated directly to unsuccessful applicants by the Undergraduate Admissions Office and published on the University website and in the *Calendar*.

There are no regulatory barriers for Canadian students attending any institution in Canada. Universities and colleges generally co-operate to make programs accessible to qualified students. The British Columbia Council on Admissions and Transfers (BCCAT) is a provincially funded entity made up of public and private post-secondary institutions across British Columbia and the Yukon. It facilitates admissions, articulation, and transfer agreements among them. Specifically, the Council encourages member institutions to develop policies that facilitate credit course transferability so credit can be applied toward baccalaureate degrees in all degree-granting institutions.¹⁸⁴ The BCCAT website provides an interesting historical perspective on transfer credit management in British Columbia, starting in 1958.¹⁸⁵

Applications for admission may be submitted directly to SFU. A separate entity, British Columbia's Post-Secondary Application Service (Apply BC), provides a single application process for all British Columbia public post-secondary institutions. Apply BC, designed for students who wish to apply to multiple institutions, manages the articulation or approval of courses for credit transfer among institutions.¹⁸⁶

The quality of its students, like that of its faculty, determines the quality of a post-secondary institution. SFU manages its admissions processes to achieve a balance between students already well equipped for success and those who can succeed and prosper with some assistance. At the same time, SFU must meet, but not greatly exceed, its allocation of government-funded seats because tuition alone does not fully cover the cost of educating a student. With the projected decline in the K to 12 demographic, competition for well-qualified students will only increase and hitting enrollment targets will become that much more challenging. SFU continues to be a destination for international students, but their numbers must be balanced against the University's ability to provide the support services necessary for a positive university experience.

Undergraduate admission targets at SFU are set by the Senate Committee on Enrollment Management and Planning (SCEMP)¹⁸⁷ and reflect institutional priorities and government mandates. For example, SFU and government share a priority to improve access for Aboriginal peoples.

SCEMP sets broad admission targets for SFU and each Faculty, with targets also set for domestic

¹⁸² <http://www.sfu.ca/students/calendar>

¹⁸³ <http://www.sfu.ca/students/futurestudents.html>

¹⁸⁴ <http://bccat.ca/>

¹⁸⁵ <http://bccat.ca/system/history>

¹⁸⁶ <https://applybc.ca/>

¹⁸⁷ <http://www.sfu.ca/senate/senate-committees/scemp.html>

and international students and by Basis of Admission (e.g., secondary, post-secondary transfer, etc.). The Student Recruitment and Admission units of Student Services are tasked with meeting targets. A key part of that process involves enrollment-forecasting, based on extrapolations from historical acceptance rates for offers at each grade point, on early self-reported information from applicants about expected graduation GPAs, on numbers of possible applicants overall, and on an environmental scan.

Domestic undergraduate students admitted to SFU come primarily from two groups: those admitted directly upon graduation from British Columbia's high schools ("direct admits"), and those who transfer from other post-secondary institutions. Despite demographic changes that have resulted in year-to-year decreases in the number of students graduating from British Columbia high schools, from 2005/06 to 2014/15 the ratio of direct admits to SFU from high school grew from 42.2% to 46.1%, and admissions of college and university transfer students increased from 34.8% to 38.2%. Students from high schools outside British Columbia account for 10% of all high school registrants and 5.3% of all registrants. The remaining registrants are "mature," "other," or second-degree students.¹⁸⁸

The trend at SFU and in British Columbia has been to offer admission as early as possible so that applicants have greater security about their futures.

International Students

International students bring valuable diversity to a university and SFU has always been fully committed to being accessible to all international students. With new initiatives to increase retention of international students, they represent 17.5% of total undergraduate enrollment. This growth of the international student population has placed additional pressure on faculty and the facilities and services provided to these students. To better manage the intake targets for international students, SFU has applied differential admission standards for international students.¹⁸⁹ Otherwise, an international student's access to SFU is limited only by their ability to obtain student visas. Generally, this is not a problem, although Canadian universities consistently lobby the federal government to process applications more expeditiously.

International students in Canada are permitted to work on and off campus, providing they meet eligibility requirements. They may also obtain work permits for co-operative education positions. After graduation, international students may apply for post-graduation work permits, which range in length according to the length of the program completed, and last up to a maximum of three years. These ever-evolving legislative changes have made Canadian schools more attractive to international students. Canada ranks as the world's 7th most popular destination for international students. International student enrollment in Canada grew from 159,426 in 2003 to over 290,000 in 2013: a 84% increase (CBIE 2013 facts).¹⁹⁰ International students comprise 8% of the student population in Canadian post-secondary institutions (CBIE 2013 Facts).¹⁹¹ In fall 2015, SFU international students represented 17.6% of the total undergraduate population (56.7% from China) and 28.9% of the SFU graduate student

¹⁸⁸ <http://www.sfu.ca/students/admission-requirements/special-other.html>

¹⁸⁹ <http://www.sfu.ca/programs/for-international-students.html>

¹⁹⁰ <http://www.cbie-bcei.ca/about-ie/facts-and-figures/>

¹⁹¹ <http://www.cbie-bcei.ca/about-ie/facts-and-figures/>

population. Students from China (26.3%), Iran (12.8%), India (12.4%), and the United States (11.7%) make up 63% of the international graduate student population (IRP, SFU, Fall 2015 report).¹⁹² These percentages make SFU a leader among Canadian institutions for international student enrollment. Students without Canadian citizenship, but with Permanent Resident status in Canada, are considered domestic rather than international.

Student Orientation

Each semester Student Services offers an orientation program called Welcome Day, to introduce incoming undergraduate students to SFU programs and services and to prepare them for the demands of university life. Group-specific orientations include programs for undergraduate students, international students, residence students, graduate students, and students at the Surrey campus. Departments contributing to orientation programs include the Student Recruitment and Transition unit, Residence and Housing, and International Services for Students. Orientation attendance is not mandatory, but approximately 44% of incoming undergraduates participated in fall 2014. Attendance at the Surrey campus orientation approached 61%. A mini-orientation is also available for those unable to attend the full event.

General Welcome Day sessions group students with others in the same Faculty and a trained student leader. Students participate in campus tours, workshops on the basics of SFU life (academic expectations, requirements, programs, etc.), student panels (academic success, getting involved, challenges and tips), "icebreakers" and other social activities, an introduction to the Simon Fraser Student Society, meetings with representatives from their Faculty, and official welcomes. A separate orientation for incoming graduate students is organized by the Dean of Graduate Studies Office and is held each fall.

International Services for Students also offers International, Exchange, and Study Abroad orientations for all newly admitted students in each of these groups. Orientations cover immigration information (study permits, visas, working in Canada, etc.), medical insurance requirements, academic culture, and on-campus engagement opportunities. Sessions provide students with essential information for a smooth and successful transition to life at SFU and in Canada while also creating an opportunity to make friends.

Residence and Housing runs three orientations annually in conjunction with University orientations. These orientations are well attended (490 students in 2014) and give students vital information about how to live successfully in Residence. New-student orientations are followed by the larger "Week of Welcome" (WoW) events during the first week of classes at the Surrey and Burnaby campuses. WoW enhances awareness of campus services, resources, and activities for students and fosters a sense of community on campus.

Advising

SFU has a significant professional student advising contingency that helps students on multiple levels. For first- and second-year students, and those who have yet to declare a major, Student Services advises students on how to choose their courses, plan their schedules, understand

¹⁹² https://www.sfu.ca/irp/news/international_student_report.html

University policies, and select a major. There are also Faculty and departmental advisors who deal with questions and queries for a specific Faculty or program. These advisors help first- and second-year students declare their majors and third- and fourth-year students plan their courses and degree completion.

2.D.4 *In the event of program elimination or significant change in requirements, the institution makes appropriate arrangements to ensure that students enrolled in the program have an opportunity to complete their program in a timely manner with a minimum of disruption.*

If a program is suspended or terminated, SFU makes sure that all students actively enrolled at the time of the suspension or termination are notified and given the opportunity to complete their degree. If courses are not available, the University will recommend and accept suitable substitute courses. The Senate Committee on Undergraduate Studies has articulated the process for the suspension of admission and program termination.¹⁹³

If substantial changes occur in a degree program, SFU's degree Requirement Term¹⁹⁴ stipulation ensures that students in the program at the time of changes are not negatively affected. These students are able to graduate by fulfilling the general University degree requirements in place during the term they were admitted to SFU and the Faculty-specific requirements that were in place during the term they declared their program major.

2.D.5 *The Institution publishes in a catalog, or provides in a manner reasonably available to students and other stakeholders, current and accurate information that includes:*

- a) Institutional mission and core themes;*
- b) Entrance requirements and procedures;*
- c) Grading policy;*
- d) Information on academic programs and courses, including degree and program completion requirements, expected learning outcomes, required course sequences, and projected timelines to completion based on normal student progress and the frequency of course offerings;*
- e) Names, titles, degrees held, and conferring institutions for administrators and full-time faculty;*
- f) Rules, regulations for conduct, rights, and responsibilities;*
- g) Tuition, fees, and other program costs;*
- h) Refund policies and procedures for students who withdraw from enrollment;*
- i) Opportunities and requirements for financial aid; and*
- j) Academic calendar.*

¹⁹³ <https://www.sfu.ca/senate/senate-committees/scus.html>

¹⁹⁴ <http://www.sfu.ca/students/calendar/2016/spring/fees-and-regulations/credentials-offered/definitions.html>

SFU works hard to make information reasonably available to students and other stakeholders. The following table summarizes where information on various topics can be found.

Table 6

Content	Undergraduate	Graduate
Institutional mission and core themes	SFU Engage website ¹⁹⁵	SFU Engage website
Entrance requirements and procedures	Student Services website, ¹⁹⁶ Departmental websites	Graduate Studies website, ¹⁹⁷ Departmental websites
Grading policy	SFU <i>Calendar</i> , ¹⁹⁸ SFU Policies and Procedures website ¹⁹⁹	SFU <i>Calendar</i> , SFU Policies and Procedures website
Information on academic programs and courses	SFU <i>Calendar</i> , Student Services website, Departmental websites	SFU <i>Calendar</i> , Graduate Studies website, Departmental websites
Degree and program completion requirements	SFU <i>Calendar</i> , Student Services website, Departmental websites	SFU <i>Calendar</i> , Graduate Studies website, Departmental websites
Expected learning outcomes	Departmental websites: course outlines	Departmental websites: course outlines
Required course sequences	SFU <i>Calendar</i> , Student Services website, Departmental websites	SFU <i>Calendar</i> , Departmental websites
Projected timelines to completion based on normal student progress	Student Services website, Departmental websites	Graduate Studies website, Departmental websites
Frequency of course offerings	SFU <i>Calendar</i> , Departmental websites	Departmental websites
Names, titles, degrees held, and conferring institutions for administrators and full-time faculty	Departmental websites	Departmental websites
Rules, regulations for conduct, rights, and responsibilities	SFU <i>Calendar</i> , Student Services website, Departmental websites, SFU Policies and Procedures website	SFU <i>Calendar</i> , Student Services website, Departmental websites, SFU Policies and Procedures website
Tuition, fees, and other program costs	SFU <i>Calendar</i> , Student Services website, Departmental websites	SFU <i>Calendar</i> , Graduate Studies website, Departmental websites
Refund policies and procedures for students who withdraw from enrollment	SFU <i>Calendar</i> , Student Services website	SFU <i>Calendar</i> , Student Services website
Opportunities and requirements for financial aid	SFU <i>Calendar</i> , Student Services: Financial Aid and Awards website	SFU <i>Calendar</i> , Student Services: Financial Aid and Awards website
Academic calendar (dates)	SFU <i>Calendar</i> , Student Services, Departmental websites	SFU <i>Calendar</i> , Graduate Studies website, Departmental websites

2.D.6 Publications describing educational programs include accurate information on:

- a) National and/or state legal requirements for licensure or entry into an occupation or profession for which education and training is offered;
- b) Descriptions of unique requirements for employment and advancement in the occupation or profession.

¹⁹⁵ <http://www.sfu.ca/engage/background.html>

¹⁹⁶ <https://www.sfu.ca/students/admission-requirements.html>

¹⁹⁷ <http://www.sfu.ca/dean-gradstudies/future/admission-requirements.html>

¹⁹⁸ <http://www.sfu.ca/students/calendar/>

¹⁹⁹ <http://www.sfu.ca/policies.html>

Programs at the Faculty and departmental level provide information regarding entry into an occupation or profession that requires licensing. Each program with specific licensing requirements gives detailed information on licensing and job prospects on either its website and/or in print form. For programs with no licensing associations, information on job outlooks and prospects is also provided at the Faculty and departmental level.

In addition, SFU has a centralized Career Services centre that maintains active job boards and provides career advising and coaching services to all students.²⁰⁰ In the past year, close to 2,500 students took advantage of one-to-one appointments with both professional career advisors and volunteer career peer educators.

Since research has confirmed a connection between early career education and increased student persistence, Career Services has partnered with Faculties and departments to develop targeted career programming that reaches students earlier in their university careers. This programming is based on contemporary career-development theory, most notably Happenstance Theory and The Chaos Theory of Careers.

SFU's "Symplicity" job posting system offered over 902 unique (non-co-op) job postings from fall 2013 to fall 2014. Over 100 employers, graduate schools, and professional schools attended the annual Career Days event to meet with thousands of potential student employees. Career Services hosted 181 employer and school information events and provided 4,221 one-on-one career consults (many students engaged in multiple consults) from fall 2013 to summer 2014.

2.D.7 *The institution adopts and adheres to policies and procedures regarding the secure retention of student records, including provision for reliable and retrievable backup of those records, regardless of their form. The institution publishes and follows established policies for confidentiality and release of student records.*

Student records are administered under the care of the Registrar. Extensive records, rules, and procedures guide decisions around staff access, retention, and third-party requests for access.²⁰¹ Primary student records are maintained and stored on the Student Information Management part of SFU's PeopleSoft system. IT staff, like all other staff with access to the system, sign a confidentiality agreement. All records are stored and backed up on University servers on-site.

Records are of two distinct types: administrative records and student records. Access to administrative records is limited to the Registrar's staff in Student Services, with the exception of the Senate records, which are also available to members of Senate. Access to the student records system is necessarily more wide-ranging, as authorized users in departments and Faculties must access student records to administer their programs.

Student records contain personal, educational, and financial information. Paper documents accumulated during a student's admission or ongoing enrollment are stored in locked "day files" kept

²⁰⁰ <http://www.sfu.ca/career.html>

²⁰¹ <https://www.sfu.ca/students/records.html>

for four semesters. By law, and consistent with university practice elsewhere, financial records are kept for seven years. Staff practice within the Registrar's Office is guided by numerous documents, with guidelines regularly revised and updated as appropriate.

Because some units involved with student records take credit cards in payment for services provided, the Registrar's Office follows the University's best practices around the collection and disposal of credit card information (i.e., Payment Card Industry, or "PCI" Compliance).

2.D.8 *The institution provides an effective and accountable program of financial aid consistent with its mission, student needs, and institutional resources. Information regarding the categories of financial assistance (such as scholarships, grants, and loans) is published and made available to prospective and enrolled students.*

2.D.9 *Students receiving financial assistance are informed of any repayment obligations. The institution regularly monitors its student loan programs and the institution's loan default rate.*

The Financial Aid and Awards Office (FAAO) administers SFU's undergraduate student scholarships and awards (i.e., merit-based financial aid) as well as undergraduate and graduate bursaries, emergency funding, work-study, and external government-funded student loans and grants (i.e., needs-based aid).²⁰²

SFU's entrance scholarships, awards, and bursaries, which include merit- and needs-based aid, are also administered by the FAAO.

Merit-based institutional graduate scholarships, awards, and fellowships are administered through the Dean of Graduate Studies Office.²⁰³ Athletic awards are administered by the FAAO in conjunction with the SFU Athletics department.

The allocation of University funds to student financial aid is based on the recommendations of the Senate Policy Committee on Scholarships, Awards and Bursaries (SPCSAB),²⁰⁴ which sets terms of reference for all University-administered award programs and their adjudication, develops budget requests, integrates award programs with recruiting goals, and reports annually on its activities to Senate. SPCSAB also establishes University policies relative to student funding from non-University sources.

Based on University priorities, funding may be assigned to designated groups: for example, to students going on international co-ops, field schools, or exchanges. Aboriginal students have been targeted as a priority by both the University and the provincial government, and are provided designated funding. Accountability for institutional financial aid and awards funding is reviewed through audits by external, third-party accounting offices.

As Canadian government student loan funding is administered externally, institutional

²⁰² <http://www.sfu.ca/students/financialaid.html>

²⁰³ <http://www.sfu.ca/dean-gradstudies.html>

²⁰⁴ <http://www.sfu.ca/senate/senate-committees/spcsab.html>

accountability is verified through individual program reporting requirements, policies, and procedures.²⁰⁵ US citizens (and eligible non-citizens) attending SFU may apply for funding through the Direct Lend Program, with administrative support provided by SFU's FAAO. An external, third-party accounting office audits Direct Lend Program funding annually.²⁰⁶

FAAO regularly monitors its student loan programs and default/repayment rates. It complies with all requirements, policies, and procedures for both Canadian and US government student loan funding. SFU's repayment rate for Canada and British Columbia student loans as of July 31, 2014, was 93.1%. The national rate was 85.2%.

Information on all forms of student financial assistance is published in a variety of media, including the FAAO website,²⁰⁷ in the relevant section of the *Calendar*,²⁰⁸ through advising services (in-person, telephone, or email), brochures, workshops, and/or information sessions. Websites and brochures provided by the Ministry of Advanced Education and the Government of Canada²⁰⁹ also provide relevant financial aid information.

2.D.10 *The institution designs, maintains, and evaluates a systematic and effective program of academic advisement to support student development and success. Personnel responsible for advising students are knowledgeable of the curriculum, program requirements, and graduation requirements and are adequately prepared to successfully fulfill their responsibilities. Advising requirements and responsibilities are defined, published, and made available to students.*

SFU practices a shared model of academic advising, with responsibility for undergraduates distributed among the academic advisors in the Student Success and Strategic Support division of Student Services and individual academic departments. Student Services advises newly admitted and "exploratory" students in their first and second years (i.e., students who have not yet declared a major) and students in academic difficulty. Academic departments advise students already accepted into their programs (i.e., "declared" students) and undecided students with 60 or more credits accrued.

Within this shared model, professional, student and faculty advisors provide academic advice. Student Services offers advising at all three campuses through a mix of individual sessions (drop-ins, appointments, and instant messaging) and group workshops. Departmental advising is typically available at each department's home office.

Academic advising at SFU is informed by two philosophies: developmental and intrusive. Advisors help students clarify their life and career goals and develop educational plans for realizing them. This approach is based on the understanding that academic advising is a responsibility shared by the student and the advisor. At times, particularly with "at-risk" students, a more proactive, "intrusive" approach is necessary, which involves initiating contact with a student who otherwise

²⁰⁵ <https://studentaidbc.ca/policy-and-procedures>

²⁰⁶ SFU's Federal School Code is G08444: <https://studentaidbc.ca/policy-and-procedures>

²⁰⁷ <http://www.sfu.ca/students/financialaid.html>

²⁰⁸ <http://www.sfu.ca/students/calendar/2016/spring/fees-and-regulations/financial-aid/undergrad-financial-aid.html>

²⁰⁹ <http://www.canlearn.ca>

may not seek help before difficulties arise.

As of spring 2014, an online tool called SFU 101 was introduced to newly admitted students to help prepare them for their first term. This online tool is available to all new students during their first full year at SFU. Topics include course selection and registration, program planning, academic expectations, academic support, and other resources.

It is normal practice at SFU that "declaring" in a program determines a student's graduation requirements, which are published in the *Calendar* for the program at the time the declaration is made. Program declaration occurs either at the time of admission, if the student is admitted directly into a program, or not later than 60 credits for students not admitted directly to a program or a major.

2.D.11 *Co-curricular activities are consistent with the institution's mission, core themes, programs, and services and are governed appropriately.*

Co-curricular activities take many forms, with many at SFU organized and delivered by Student Services. To increase engagement in co-curricular programs and activities, SFU launched a new stream of peer education called Student Engagement Peers. These peer educators are available to meet with students in the Thelma Finlayson Centre for Student Engagement, which opened in 2012. They help connect students to appropriate co-curricular activities. Some programs have intentional learning outcomes and are structured to promote student leadership and development. Others promote intercollegiate and recreational athletics, provide peer education and mentoring, and offer social advocacy and support. All provide opportunities for involvement, contribute to the student experience, and build community on campus. In addition, there is a growing emphasis on off-campus volunteer engagement, which is supported through the volunteer engagement coordinator.

All co-curricular activities are designed to increase students' awareness of their world by introducing them to beneficial experiences that might otherwise remain beyond the boundaries of their academic lives. They are also founded on, and governed by, the University's Vision/Mission to engage students, research, and community.

2.D.12 *If the institution operates auxiliary services (such as student housing, food service, and bookstore), they support the institution's mission, contribute to the intellectual climate of the campus community, and enhance the quality of the learning environment. Students, faculty, staff, and administrators have opportunities for input regarding these services.*

SFU offers a number of auxiliary or ancillary services to its campus community, including a bookstore and various food services. Below is a sample of some of them.

SFU Bookstore

The SFU bookstore is a self-supporting, auxiliary enterprise located at each of SFU's three campuses. It is owned by SFU and operated by University employees. The mission is to supply new, used, custom, and digital course materials in support of the University Vision/Mission,

and to supply SFU branded supplies, clothing, gifts, and memorabilia to promote the SFU brand.

The SFU bookstore is also committed to exemplary customer service and aims to supply required course materials to SFU students at the lowest possible price. At the same time, it demonstrates community and global leadership through sustainability and ethical procurement practices.

Residence and Housing

Most new students at SFU are undergoing significant life transitions, from living at home to living independently, and from studying in a secondary school environment with commensurate expectations to working at the university level. These transitions require greater levels of personal responsibility and Residence Life offers programs and services to help students living on campus settle into their new community and meet their increased obligations.

The SFU residence community is made up of a mix of students from across the globe. In fact, 40% of residents are international students, from first-years to mature undergrads to graduate students with families. This presents a unique challenge to the Residence Life team. It has responded by collaborating with residents to find out what their needs are. That collaborative approach has led to the creation of social events, such as the Cultural Fiesta, and the formation of numerous committees, such as the Health Committee.

SFU Residence and Housing accommodates over 1,800 students, with an additional 14 hotel rooms available. Several residence buildings generate summer revenue by providing space for meetings and conferences, summer camps, and other events or activities. A graduate student residence and innovation space is being developed in downtown Vancouver, with planned completion in May 2016. The University is also developing a Residence and Housing Master Plan to ensure that both the built environment and programming reinforce SFU's values and that housing is aligned with the University's Vision/Mission. These additions, along with major improvements in residence food services, are the result of extensive student surveys and feedback.

SFU Parking Services

SFU Parking Services operates all Burnaby campus parking lots, representing 4,500 stalls, while parking at the Surrey and Vancouver campuses is managed by external parking vendors. Parking Services is committed to enhancing the living and learning environment at the University by providing flexible parking options and demonstrating leadership in sustainable mobility. Parking Services is a self-funded unit, generating resources for its financial stability, facility maintenance, and future capital replacement while also contributing funds to the University.

Dining Services

Dining Services offers the campus community a variety of well-balanced, nutritional food and beverage options in welcoming venues that promote social engagement, sustainability, and excellent customer service. The unit manages the third-party, food-service contract that covers dining and retail venues, vending, and catering on the Burnaby campus. In recent years, in response to student

feedback, SFU has introduced external food vendors such as Starbucks, Pizza Hut, and Subway, to name a few.

Document Solutions

Document Solutions provides efficient and cost-effective document and digital media communication services for the SFU community. The unit's primary purpose is to support the academic community by producing learning material and educational support materials. Document Solutions is also responsible for the quality and graphic consistency of all internally produced SFU branded products and supplies.

Meeting, Event and Conference Services

Meeting, Event and Conference Services (MECS) provides the University community and visitors with professional and efficient meeting and event space, as well as memorable meeting and conference experiences. MECS manages both internal and external events (over 16,000 annually) at the Vancouver and Burnaby campuses. The unit provides excellent customer service, demonstrates leadership through sustainable practices; and is revenue-generating, providing financial resources for the University. To simplify the event planning and facility booking process for users, MECS fully manages budget planning, logistics, catering, audio-visual, transportation, liability issues, and online registration.

2.D.13 *Intercollegiate athletic and other co-curricular programs (if offered) and related financial operations are consistent with the institution's mission and conducted with appropriate institutional oversight. Admission requirements and procedures, academic standards, degree requirements, and financial aid awards for students participating in co-curricular programs are consistent with those for other students.*

Simon Fraser University is, first and foremost, an academic institution and strongly encourages its athletes to balance their participation in competitive sports with sustained academic performance. All SFU athletes must meet the same academic requirements for admission as all other SFU students. A special office called Academics First provides student athletes with access to tutors, academic counseling, and workshops. As a result, approximately 100 varsity student athletes achieve a GPA of 3.00 or over each semester.

SFU is a member of the NCAA Division II, Great Northwest Athletic Conference. As such, SFU is committed to compliance with all its rules, regulations, and policies.

SFU has an active athletic recruiting department that maintains communication with potential students, as well as relevant high school counselors to ensure potential SFU student athletes are aware of their specific admission requirements.²¹⁰ The Athletics department also works closely with Student Services to make sure all incoming student athletes have met the appropriate University and NCAA requirements.

²¹⁰ <https://www.sfu.ca/students/ncaa/prospectivestudentathletes.html>

The Athletics department encourages intellectual and academic freedom; celebrates discovery, diversity, and dialogue; and strives to produce good citizens for a global community. Believing that resourcefulness is a result of balance, learning, and service, varsity athletes are encouraged to recognize and embrace their responsibilities to the team, the Athletics department, their studies, and the SFU community as a whole.

2.D.14 *The institution maintains an effective identity verification process for students enrolled in distance education courses and programs to establish that the student enrolled in the distance education course or program is the same person whose achievements are evaluated and credentialed. The institution ensures the identity verification process for distance education students protects student privacy and that students are informed, in writing at the time of enrollment, of current and projected charges associated with the identity verification process.*

The Centre for Online and Distance Education (CODE) at Simon Fraser University was established in 1975 and has grown to be one of the largest distance education online programs in Canada. Courses span a range of academic areas and include both undergraduate and graduate courses, as well as continuing studies, non-credit courses and certificates.

Students taking a CODE course, either credit or non-credit, must first apply for admission to the University through the Student Services' admissions portal.²¹¹ Once enrolled into CODE courses, identity verification of students is performed by the CODE office in conjunction with the Student Services/Registrar's office.

Many CODE assignments are now submitted digitally using SFU's Canvas, a secure online community.²¹² Assignments are also accepted by courier, mail, or in person.

SFU's exam policy applies to all CODE students. All on-campus exams are held at the Burnaby campus and all students must arrive with proper identification. For those who live outside of the Lower Mainland, arrangements may be made to write the exam at an out-of-town location. In such cases, out-of-town students must find a suitable proctor to administer the exam and then apply to the CODE office to have the proctor and alternative exam site approved.

The Student Services Records unit manages grades and transcripts for all CODE courses. The confidentiality and security of all CODE student records are protected by the same policies and practices applied to all other student groups at the University.

²¹¹ <http://www.sfu.ca/admission.html>

²¹² <http://guides.instructure.com/s/2204/m/4212/l/41972-how-do-i-submit-an-online-assignment>

Standard 2.E - Library and Information Resources

2.E.1 *Consistent with its mission and core themes, the institution holds or provides access to library and information resources with an appropriate level of currency, depth, and breadth to support the institution's mission, core themes, programs, and services, wherever offered and however delivered.*

SFU's Library provides access to information resources with an appropriate level of currency, depth, and breadth to support SFU community members in their academic activities, wherever offered and however delivered. Performance is reported annually in the Library's Annual Reports.²¹³ Identified indicators align with the University's Vision/Mission and core themes and underscore the Library's role in SFU's academic culture.

The SFU Library is committed to equal access. While this commitment is not new, the opening of libraries at the Vancouver (Belzberg Library) and Surrey (Fraser Valley Real Estate Board Academic Library) campuses, and the increasing number of distance education students have led the Library to adopt policies and practices specific to equal access.

Maintaining the Library's commitment to equal access requires ongoing consultation and planning, particularly around the resource needs of students and faculty using distance education programs and at the Vancouver and Surrey campuses. Library representatives meet each semester with distance education coordinators to review resources and materials and to discuss access issues. Staff at the Vancouver and Surrey campuses are fully integrated with the Library's administrative and planning structure and sit, for example, on internal Library committees such as the Library Council, Administrative Group, and the Library Planning Committee.

²¹³ www.lib.sfu.ca/about/reports

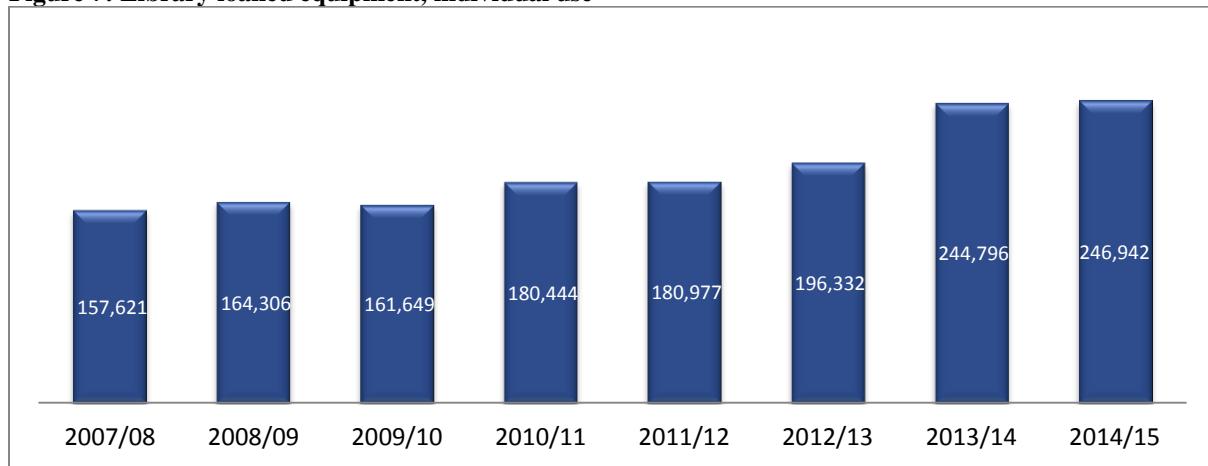
Figure 6: Library subscriptions

2007-2015: 61% reduction in print subscriptions, 135% increase in digital subscriptions

Source: SFU Library Annual Reports and internal statistics

More importantly, the Library's commitment to equal access has affected how Library resources are acquired and accessed. The Library's resource allocation and capacity are based on student, faculty, and staff preference for electronic over print resources. Most current undergraduate students were born in the computer age, educated in the Internet age, and are most comfortable searching and finding material electronically. Consequently, in the past 10 years, SFU's Library has invested more of its collections budget in electronic resources that are available anytime and from anywhere to students and faculty with Internet access. Over the period 2007-2015, for example, the number of print subscriptions was reduced, while the number of electronic subscriptions increased substantially by 135%.

To meet students' increasing demand for access to technology, each of the three libraries lends laptops. The Bennett Library at Burnaby also lends LCD projectors. Surrey campus's Fraser Library offers an array of equipment, including: LCD projectors, external hard drives, video and photography equipment, tripods and lighting equipment, digital audio recording devices, GPS devices, interactivity devices, tablets, USB sensors and microcontrollers, and gaming consoles. Equipment is added as demand requires.

Figure 7: Library loaned equipment, individual use

2007-2015: 57% increase in equipment loaned

Source: SFU Library Annual Reports and internal statistics

To stay ahead of the curve in the rapidly changing information environment, the Library actively pursues avenues for staff development. Professional development sessions are regularly held in-house and Library staff are encouraged to attend professional development conferences, workshops, and courses. Library staff are also active publishers and presenters. In 2014, 28 staff members published articles or presented at conferences.

2.E.2 Planning for library and information resources is guided by data that include feedback from affected users and appropriate faculty, staff, and administrators.

The Library's core planning document is its Strategic Plan.²¹⁴ The Library Strategic Plan is developed within the context of the University's Vision/Mission and is firmly aligned with the University's core themes: engaging students, engaging research, and engaging communities.

Library Strategic Plans are developed in consultation with, and through, the Senate Library Committee, Liaison Librarians, department Library representatives, and Faculty representatives on Library committees. Planning includes selected members of the University administration and Library staff and is carried out through a series of meetings and workshops. Student input is gathered using an online survey.

Quantitative data are reviewed as well, including indicators of collection, service, and program use. Data track online and in-person use and are collected for all three libraries. Finally, the Library Strategic Plan considers current and emerging trends affecting academic libraries, such as trends in scholarly communications and open-source software.

The most recent Library Strategic Plan covers the period 2011-2016. The plan was developed following an extensive community consultation process and was endorsed by the Senate Library Committee. It focuses on six strategic directions and 19 strategic goals. The Library's Planning Committee oversees more than 30 projects and activity streams in support of the Plan's

²¹⁴ <http://www.lib.sfu.ca/about/reports>

implementation.

While the Strategic Plan is its core planning document, the Library carries out continuous and ad hoc planning. Typically, ad hoc planning initiatives are time-limited; involve faculty, students, and Library staff; and include quantitative indicators in the decision-making process. Recent ad hoc initiatives include an expansion of programs and services offered through the Student Learning Commons and Research Commons, and growth of the Library's digitization program as a result of grant funding.

Ongoing planning initiatives include those that ensure day-to-day operations meet current needs. For instance, the Library Planning Committee meets twice monthly to discuss budget priorities, contact with external organizations, priorities for services and projects requiring significant budget or personnel resources, and coordinating cross-divisional or inter-campus Library initiatives.

In keeping with best practices, SFU conducts an external review of the Library every six years. The review is performed by an External Review Committee, normally composed of three librarians from universities of similar size and one SFU faculty member. The Library submits extensive documentation to the Committee, including a self-study that outlines current issues and future challenges. An External Review Committee conducted a site visit and delivered a report to the Vice-President, Research (VPR) in spring 2011. The overall tenor of the report was positive. Both the report and the Library's response to the 11 recommendations were reviewed by the VPR and forwarded with an action plan approved by the VPR to Senate in summer 2011.

2.E.3 Consistent with its mission and core themes, the institution provides appropriate instruction and support for students, faculty, staff, administrators, and others (as appropriate) to enhance their efficiency and effectiveness in obtaining, evaluating, and using library and information resources that support its programs and services, wherever offered and however delivered.

The SFU Library provides instruction on how to get the most out of Library resources to a range of individuals and groups. While the primary focus is on students and faculty, the Library also supports administrators, staff, and other community members.

SFU undergraduate and graduate students can access instruction and support services online or in-person through the Library Information & Instruction program, the Student Learning Commons, and the Research Commons. In-person sessions are available at all three campuses, while online tutorials are available 24 hours a day, seven days a week through the Library's website.²¹⁵

The Student Learning Commons (SLC) was established in 2006 as part of a campus-wide curriculum revision launch, and today operates on all three campuses.²¹⁶ Its mandate is to support SFU students in their academic pursuits, with emphases on writing and learning support. Over the past few years, the SLC has been asked to participate in a number of University partnerships and integrated programs, including the Academic Enhancement Program (AEP) with Computing Science and the large-scale Back on Track (BOT) program with Student Services. The latter has

²¹⁵ <http://www.lib.sfu.ca/>

²¹⁶ <http://www.lib.sfu.ca/slc>

had notable success in improving the academic performance and retention of students who would otherwise be required to withdraw. The Vice-President, Academic has funded new SLC programs, responding to English as an Additional Language (EAL) needs.

The Research Commons was established in 2012 and today operates on the Burnaby campus in a dedicated space, with programming also available at the Vancouver and Surrey campuses.²¹⁷ The Research Commons provides a home for graduate students, including private and collaborative study spaces, and ancillary educational and training activities (thesis assistance, research application software support, professional skills development, etc.).

A list of other in-person and online programs and services can be found on the Library's website. In many cases, students can register online for these. Some of the most popular past workshops have included On Your Way to an A, Top Ten Things to Know About University Writing, Creating an Effective Study Schedule, and Exam Strategies. Workshops specific to graduate students have included Publish, Don't Perish and the Grad Salon, a writing and discussion series.

SFU librarians are increasingly asked by faculty to provide in-class presentations on Library resources and services. For these, librarians customize the presentation and material so students get information directly relevant to their course. Information and help sheets for both graduate and undergraduate students cover a range of topics and are available online and in print.

SFU faculty can access instruction and support from the Library in several ways. Liaison Librarians are the primary point of contact for faculty and will help them to access Library information, programs, and services for themselves or their classes. Through the Library website, faculty can access information regarding the collection, teaching support, and other faculty-related services.

In addition, the Library is actively involved in discussions and new initiatives in scholarly communication and academic publishing. In February 2010, the Library created an Open Access Fund to subsidize the author charges of faculty who choose to publish articles in open access journals produced by publishers such as BMC, PLoS and Hindawi. To date, over 260 articles authored by SFU faculty, post-docs, and students have been supported by this fund.

During the last few years, the Library has become directly involved in several large research initiatives. In 2012, it received funding from the University Priorities Fund to develop and implement a research data repository for SFU. As part of this initiative, the Library has been consulting extensively with faculty and expects to develop new services, such as assisting researchers with the preparation of data management plans for grant proposals. The Library has also been invited to participate in several large Social Sciences and Humanities Research Council-funded projects: one on First Nations Languages, the other on the development of an Archive of Lesbian Oral Testimony. For the latter, the project provides funding for a part-time, limited-term librarian who will work directly with the research team. The Library's growing expertise in digitization projects and data preservation was viewed as very desirable additions to these initiatives.

²¹⁷ <http://www.lib.sfu.ca/research-commons>

The Library has been a leader in the Public Knowledge Project, bringing together faculty, librarians, and graduate students to explore whether and how new technologies can be used to improve the professional and public value of scholarly research. The Library has been a leading "node" in the Synergies project, a not-for-profit platform for the publication and dissemination of research results in the social sciences and humanities. Finally, the Library manages a Scholarly Digitization Fund of \$50,000/year that annually supports eight to 12 faculty-led projects to digitize collections of research materials housed in the Library or elsewhere. To date, 46 projects have been supported through this fund.

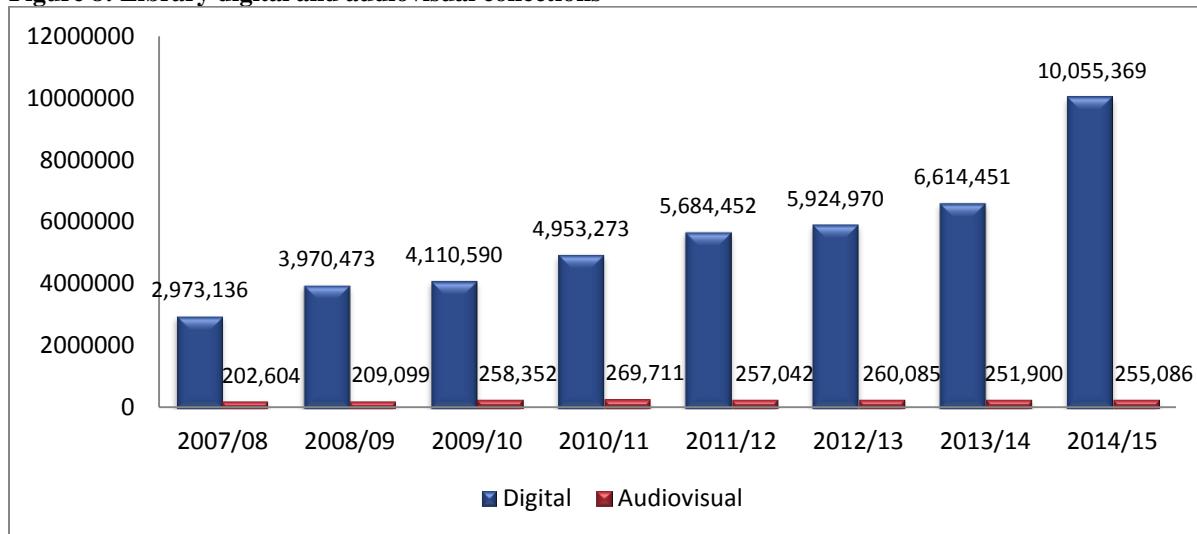
Although there are no programs and services specifically for administrators and staff, as members of the SFU community they are welcome to access the programs and services designed for students.

2.E.4 The institution regularly and systematically evaluates the quality, adequacy, utilization, and security of library and information resources and services, including those provided through cooperative arrangements, wherever offered and however delivered

The Library recognizes the need to authenticate online user identities in order to manage access to its resources, and was an early adopter of security protocols for this purpose. In the late 1990s, the Library was one of the first to adopt EZproxy and, in 2004/05, developed security support for the provincial entity BC Campus. The security of electronic resources, particularly the identification of users, is of the utmost importance to the Library and is critical to maintaining relationships with vendors.

The Library has partnered with SFU's IT Services on a national trial of Shibboleth, a standards-based, open-source software package. Shibboleth permits a single web sign-on and allows sites to make informed authorization decisions to control access to protected online resources in a way that preserves privacy across or within organizational boundaries. Shibboleth will allow users to move seamlessly among federated library resources.

In the broadest context, the Library's policies support the University's Vision/Mission and core themes. At a high level, the policies provide equitable access to the Library's resources, maintain a respectful Library environment, and protect the Library's resources and assets.

Figure 8: Library digital and audiovisual collections

2007-2015: 238% increase in digital items

2007-2015: 26% increase in audiovisual items

Source: SFU Library Annual Reports and internal statistics

The SFU Library is as much a virtual Library as a physical one. The policies governing the virtual Library ensure that its resources are secure while remaining easily accessible to those authorized to use them. Importantly, the policies also ensure that the agreements with vendors, particularly with regard to user access, are respected. The Library's policies in this regard are in keeping with the University's policies governing information and communications technology.

The security of the Library's electronic resources is ensured through complementary policies: a University-wide policy on Fair Use of Information and Communications Technology²¹⁸ and Library policies, including the Public Computer Policy,²¹⁹ and Guidelines on the Use of Library Computer Equipment and Software by Library Staff.²²⁰

The security of the Library's print and special collections is also important. For many years, SFU has had an alarm system to prevent people from leaving the Library with materials that have not been checked out. The Library's special collections and rare books are subject to special provisions governing the use of its materials and its space: the Special Collections and Rare Books Security Policy.²²¹

The policies governing the physical Library ensure the highest and best use of both the space and the collection. They recognize that, for many on campus, the Library is their "academic home," and they strive to create a welcoming environment that is, nonetheless, focused on learning and research.

²¹⁸ <http://www.sfu.ca/content/sfu/policies/gazette/general/gp24.html>

²¹⁹ <http://www.lib.sfu.ca/about/policies/public-computers>

²²⁰ <http://www.lib.sfu.ca/about/policies/>

²²¹ <http://www.lib.sfu.ca/special-collections/security>

Standard 2.F - Financial Resources

2.F.1 *The institution demonstrates financial stability with sufficient cash flow and reserves to support its programs and services. Financial planning reflects available funds, realistic development of financial resources, and appropriate risk management to ensure short-term solvency and anticipate long-term obligations, including payment of future liabilities.*

To achieve financial stability and fulfill its Vision/Mission, it is critical that SFU strategically direct, optimize, and protect its financial and physical resources.

Operating reserves reflect the cumulative surpluses generated from the operating fund and are an indicator of the overall financial health of the University. A healthy balance of reserves allows the University to handle future, unplanned liabilities and funding requirements. Operating reserves are internally restricted to fund commitments such as long-term lease obligations and self-insurance liabilities. Reserves may include components such as departmental carry-forwards, investment surplus carryovers, and unfunded future costs. An operating reserve level of 6-10% of consolidated revenues represents a healthy operating reserve level for SFU.

Since 2011, reserves have been declining, largely due to two financial challenges: pensions and deferred maintenance. In 2011, a valuation of the University administrative and union staff pension plans reflected substantial actuarial funding deficiencies that required increased funding. The most recent valuation, completed as of December 2013, called for a further increase in pension contributions by the University. SFU administration is working with relevant stakeholders to find an appropriate, balanced way forward to address the plan's funding and structural gaps.

Deferred maintenance of the capital buildings on the Burnaby campus also poses a financial risk. To address this risk, efforts have been made to optimize operating cash to advance campus infrastructure renewal. The University has established a deferred maintenance fund to help address the most critical requirements.

SFU's annual budgeting process helps align resources with the University's Vision/Mission and achieve financial stability. The University has updated its budget model to mitigate the risk of future impacts to reserves, and spending is monitored throughout the year, with significant budget variances reported to the Board through its Finance and Administration Committee.

The University supports its academic programs and services with cash flow generated from two main revenue sources:

- the provincial operating grant provided in monthly installments in accordance with an annual schedule set by government; and,
- student tuition and ancillary fees collected each semester.

Sponsored research activities are primarily funded by three federal granting agencies: Natural Sciences and Engineering Research Council, Social Sciences and Humanities Research Council, and Canadian Institutes of Health Research. In addition, research activities are funded from other external sources and from internal sources.

Cash flows are managed by SFU's Treasury department, which monitors daily cash receipts and disbursements and performs monthly forecasts. A line of credit provides operating funds to bridge short-term cash flow requirements and the University has access to an emergency line of credit through the provincial treasury. Surplus operating funds are invested consistent with guidelines established in the University's Investment Policy.²²² The investment objective for surplus operating funds is to earn net returns that exceed inflation by 3% over the short- to medium-term. SFU's endowment fund provides an additional source of funds to support student financial aid, research, athletics, and the acquisition of library materials. The endowment investment objective is to maintain long-term capital value into perpetuity while earning an acceptable return to fund university activities and programs. SFU has maintained a debt rating of Aa1 (Moody's Investors Service's credit rating) with a stable outlook since October 2006.

2.F.2 Resource planning and development include realistic budgeting, enrollment management, and responsible projections of grants, donations, and other non-tuition revenue sources.

By statutory requirement, publicly funded post-secondary institutions in British Columbia must provide a balanced annual operating budget. The University's academic operations are funded primarily by government grants and tuition fees. Public post-secondary institutions in British Columbia receive a significant proportion of their total revenue from the provincial government in the form of grants from the Ministry of Advanced Education (AVED). The rest is generated from tuition and student fees, ancillary services, federal grants, donations, endowments, investments, and research grants. A copy of the Operating Budget and Financial Plan for 2014/15 is appended to this Report.

Each year, AVED provides SFU with a budget letter that outlines the student enrollment targets and operating budget allocations for the coming fiscal year. The budget letter provides operating grant projections for three years and is intended to permit long-term planning.²²³

SFU's provincial operating grant decreased by \$2.9 million in 2015/16 as part of a sector-wide reduction in provincial funding for the public post-secondary system, with additional decreases planned for future periods. A decrease of 4.0% in federal research funding was offset by a comparable increase in US and other government funding.

Post-secondary institutions in the province have long sought a funding formula that takes account of the impact of inflation as measured by the US Higher Education Price Index,²²⁴ increased salary and benefits expenses associated with progress through the ranks and step increases, and the growing costs associated with maintaining aging capital infrastructure.

Responsible projections of tuition revenues are provided by the University's Strategic Enrollment Management Plan,²²⁵ managed by the Office of the Vice-President, Academic. Revenue

²²² <http://www.sfu.ca/content/sfu/policies/gazette/board/B10-09.html>

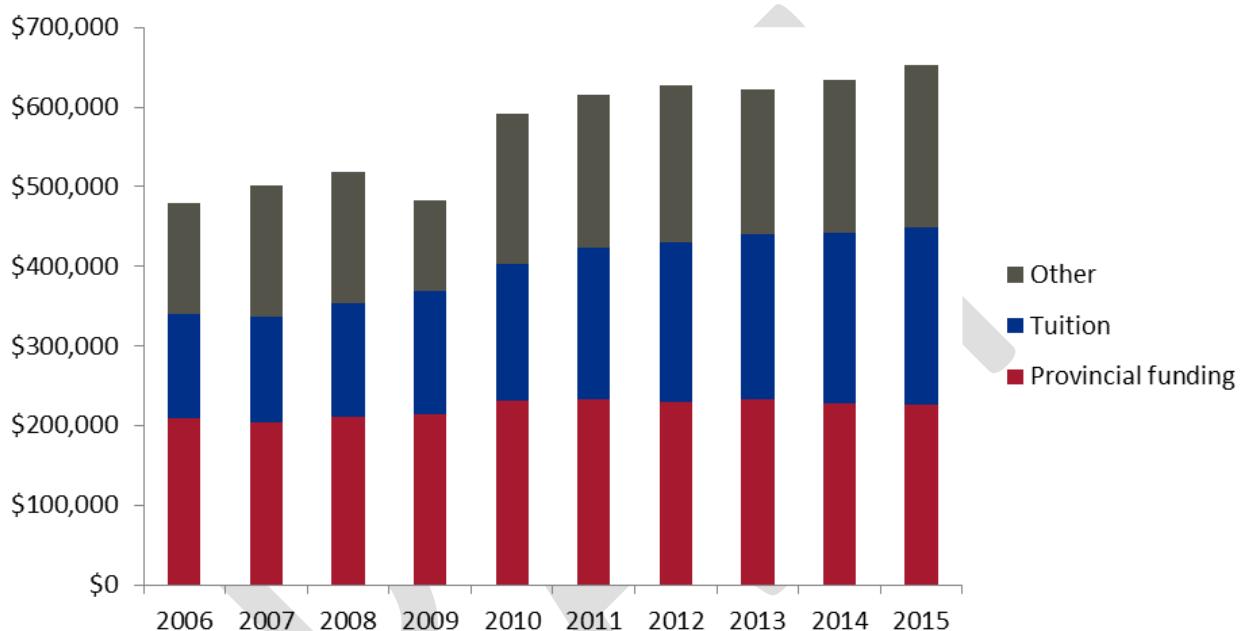
²²³ 2015/16 Budget letter: http://www.aved.gov.bc.ca/budget/15_16/budget_letters/SFU.pdf

²²⁴ <https://www.commonfund.org/CommonfundInstitute/HEPI/Pages/default.aspx>

²²⁵ Refer to chapter 3 for a detailed description of the Strategic Enrollment Management Plan

projections are based on expected enrollments and any proposed fee increases. Since 2010, there has been no funding for additional domestic student seats at SFU. Growth in enrollment since that time is attributed to increases in international student enrollment. Since 2005, government policy has limited tuition fee increases to 2% annually, but this policy is not applicable to international student tuition and international mandatory fees. Any increase to fees would form part of the annual Operating Budget and Financial Plan, which must be approved by the Board of Governors.

**Figure 9: Provincial Funding and Tuition as Percentages of Total Revenues, 2006-2015
(in thousands)**



Source: SFU Financial Services

2.F.3 The institution clearly defines and follows its policies, guidelines, and processes for financial planning and budget development that include appropriate opportunities for participation by its constituencies.

SFU's objective is to ensure that all financial planning and budget development safeguards the University's ability to fulfill its Vision/Mission. The University budget is developed annually and adheres to the objectives established in policy²²⁶ and managed by the Budget office. Budgets are developed in, and informed by, extensive consultation throughout the University community.²²⁷ That process begins each summer with forecasting and modeling, based on planning assumptions for enrollment, government grants, and known inflation for costs.

The Budget Guiding Principles, as stated on page 16 of the 2015/16 Budget and Financial Plan,²²⁸ are used to inform allocations. They ensure the budget model preserves funding for

²²⁶ <https://www.sfu.ca/policies/gazette/board/B10-05.html>

²²⁷ <https://www.sfu.ca/finance/departments/budget/key-dates.html>

²²⁸ <https://www.sfu.ca/finance/departments/budget/report.html>

specific strategic and operational areas, areas with non-discretionary costs (e.g., contractual agreements, utilities, and expenses related to specific grants), and areas of strategic importance to the University.

A draft budget is prepared and reviewed by the Vice-Presidents and presented for information and comment to stakeholder groups in open forums that include students, faculty, and staff. Feedback is incorporated into the budget model. A final draft of the operating budget is reviewed by the Vice-Presidents and forwarded in March to a Board of Governors Budget Workshop prior to its review by the whole Board.

Spending is monitored throughout the year, with significant budget variances reported to the Board through its Finance and Administration Committee.

2.F.4 *The institution ensures timely and accurate financial information through its use of an appropriate accounting system that follows generally accepted accounting principles and through its reliance on an effective system of internal controls.*

SFU rigorously monitors its finances through monthly reporting and variance analysis, using data provided by PeopleSoft, the University's integrated Enterprise Resource Planning (ERP) system. PeopleSoft is also used to manage staff and faculty positions, as well as SFU's student records. The system is configured to provide effective internal controls while facilitating the provision of accurate and timely financial information.

The University's financial reporting systems and processes are designed to provide users with financial information that is useful, relevant, reliable, and accessible. A web-based financial reporting tool (FAST) allows decentralized security access to appropriate financial information and enables academic and administrative units to track and monitor costs in their departments and projects. The tool is flexible and intuitive, and provides up-to-date (one day delayed) reporting and drill-down access to supporting information (e.g., vendor invoices, journal entries, and payroll information). The financial reporting system also provides timely information, with accounting periods closed five working days after the end of each month.

All public post-secondary institutions in British Columbia are included within the province's Government Reporting Entity (GRE). The Ministry of Advanced Education (AVED) requires all institutions within the GRE to issue quarterly financial reports and forecasts to be used in the preparation of the government's key financial reports. The University is required to present its financial statements in accordance with Canadian Public Sector Accounting Standards (PSAS)²²⁹ issued by the Public Sector Accounting Board of Canada (PSAB) and the requirements of section 23.1 of provincial government's *Budget Transparency and Accountability Act*.²³⁰ Audited annual financial statements must be submitted to the government in late May, approximately two months after the University's March 31st fiscal year-end.

SFU's Finance department also prepares and distributes a Quarterly Financial Review that

²²⁹ <http://www.frascanada.ca/standards-for-public-sector-entities/index.aspx>

²³⁰ http://www.bclaws.ca/civix/document/id/complete/statreg/00023_01

highlights significant transactions and financial information from the preceding three months. The quarterly reviews are distributed to Vice-Presidents, Deans, and other senior administrators to ensure they have access to a recent and comprehensive overview of the University's current financial status and key transactions. In addition, project-specific financial reports are prepared for research sponsors and for other contractual arrangements.

2.F.5 Capital budgets reflect the institution's mission and core theme objectives and relate to its plans for physical facilities and acquisition of equipment. Long-range capital plans support the institution's mission and goals and reflect projections of the total cost of ownership, equipment, furnishing, and operation of new or renovated facilities. Debt for capital outlay purposes is periodically reviewed, carefully controlled, and justified, so as not to create an unreasonable drain on resources available for educational purposes.

SFU's Five Year Capital Plan²³¹ guides decision-making related to the construction and renewal of the institution's physical facilities. The Capital Plan is based on four strategic programs. These will contribute significantly to the fulfillment of the University's Vision/Mission by fostering supportive campus environments for students, research, and the community:

- SFU Surrey Expansion
- SFU Burnaby Renewal and Rehabilitation
- Community Engagement
- Sustainability and Climate Action

The most significant tangible capital asset additions in 2014/15 relate to purchases of furnishings and equipment, improvements to campus buildings and infrastructure, and library acquisitions. Budgets for capital projects are established at the time the project is approved. Funding comes from various sources, including tuition revenues, provincial or federal governments, and private donations.

In June 2003, SFU issued a 40-year bond to generate funds for key capital projects for which other funding could not be acquired. Projects included the construction of new student residences and academic buildings. The bond was issued for a total of \$150 million at an interest rate of 5.613%. Interest is paid to bondholders semi-annually. The bonds are not guaranteed by the provincial government. Financing is provided through annual charges to SFU's Ancillary and Operating Funds and includes interest payments and a provision for sinking funds. The bond is scheduled to be retired in 2043.

Capital projects funded in whole or in part by the bond include:

- \$6.4M: refinanced existing residence debenture debt at a lower rate
- \$0.8M: refinanced existing parking lot debenture debt at a lower rate
- \$2.5M: fully financed energy efficiency projects
- \$39.9M: fully financed construction of three residence towers and a residence dining hall
- \$5.6M: fully financed upgrade of Hamilton Hall Residence building

²³¹ <http://www.sfu.ca/fs/Campus-Planning/5-Year-Capital-Plan.html>

- \$11.6M: financed approximately 73% of a gym expansion and new fitness centre
- \$11.9M: financed approximately 60% of the Segal Graduate School for Business building
- \$26.4M: financed 75% of the Saywell Hall building
- \$1.5M: financed almost 6% of the TASC1 building
- \$45.2M: financed 63% of the TASC2 building

All capital projects funded in whole or in part by the bond issue are located on the Burnaby campus, except for the Segal Graduate School of Business at SFU's Vancouver campus.

Provincial government approval is now required for any new long-term financial liabilities, including capital leases, and prohibited universities from offering financial guarantees. The government restrictions on financing options create significant challenges when meeting budgetary requirements and they have led to a lack of financial flexibility when undertaking projects and initiatives designed to help realize SFU's Strategic Vision/Mission. To mitigate this risk, the University is engaged in ongoing communication with governments at all levels to advocate for adequate funding and to resolve the rating agency issues related to self-supported debt.

In addition, provincial capital and maintenance funding has been reduced from \$9.2 million in 2005/06 to \$2.8 million in 2014/15. Fiscal year 2015/16 has seen a one-time increase of \$7.2 million, in addition to the annual funding of \$2.5 million, for a total of \$9.7 million. The pressures associated with failing capital infrastructure are alleviated in small part by efforts to optimize working cash for maintenance and capital renewal projects. For instance, SFU's Deferred Maintenance Advance Initiative established a \$30 million internal line of credit to address deferred maintenance requirements. In 2014/15, \$15 million of work was completed, in addition to other targeted projects. The University has also established a specific fund to help address the most critical requirements. The fund was budgeted at \$5 million for 2015/16 and is expected to increase by \$1 million per year.

2.F.6 *The institution defines the financial relationship between its general operations and its auxiliary enterprises, including any use of general operations funds to support auxiliary enterprises or the use of funds from auxiliary services to support general operations.*

The mission of Ancillary Services (i.e., auxiliary enterprises) is to enhance the living and learning environment of the University community while providing resources to enhance the University's financial stability and growth. Ancillary Services strives to provide excellent customer service and create vibrant and engaging student spaces in welcoming facilities. The unit also demonstrates community and global leadership through sustainable practices, innovation, and engagement as a fair trade campus. Ancillary Services embraces a triple-bottom-line approach with economic, environmental, and community facets.

SFU's policy on budget objectives²³² requires that its ancillary operations are self-sustaining. The University manages the budgeting and financial reporting of its ancillary operations through separate funds. In addition to providing direct contribution support to the general operating fund, revenues are generated to cover Ancillary Services' operating expenses and debt service payments,

²³² <http://www.sfu.ca/policies/gazette/board/B10-05.html>

and to provide the reinvestment necessary to ensure the long-term financial viability of those operations.

In exceptional circumstances, ancillary operations may be supported by the general operating fund. Residence and Housing is the only ancillary unit that receives support from the general operating budget. These funds are used to offset some of the unit's deferred maintenance costs.

National Recognition

During the past year, Ancillary Services has won numerous accolades. In November 2014, it received the *Burnaby Business Excellence Award in Environmental Sustainability* presented by the Burnaby Board of Trade and the City of Burnaby. The award recognizes outstanding business success that has had a positive and significant impact on the community. SFU Ancillary Services was also recognized for its sustainability leadership, not only at the Burnaby campus, but globally as well.

In September 2014, SFU was named Canada's *Fair Trade Campus of the Year* by Fairtrade Canada. Ancillary Services adheres to fair trade practices by engaging students, faculty, and staff. Fairtrade Canada recognized SFU for promoting and advocating fair trade across Canada. SFU recently opened the first Fair Trade Starbucks location in Canada.

2.F.7 *For each year of operation, the institution undergoes an external financial audit, in a reasonable timeframe, by professionally qualified personnel in accordance with generally accepted auditing standards. Results from the audit, including findings and management letter recommendations, are considered in a timely, appropriate, and comprehensive manner by the administration and the governing board.*

British Columbia's Auditor General issues a Financial Statement Audit Coverage Plan that outlines which entities within the Government Reporting Entity will be audited. SFU's auditor of record for 2013/14 is the Auditor General of British Columbia, though the Auditor General has contracted out its audits to a third-party auditing firm, BDO Canada LLP. The University received an unqualified audit opinion for 2013/14.²³³ As 2013/14 was the Auditor General's last year as auditor of record, SFU recently undertook a competitive bidding process for audit and advisory services. BDO Canada LLP won the competitive bidding process and will be the auditor of record for the next five years, beginning with the audit of the financial statements for fiscal 2014/15.

SFU's external financial audit takes place within the two months following its March 31st fiscal year-end. Audit results are submitted to the Audit, Risk, and Compliance Committee of the Board of Governors and, subsequently, to the full Board at its May meeting. A Management Letter accompanies the audit opinion and identifies opportunities for improvement in management procedures or controls. At each meeting of the Audit, Risk, and Compliance Committee, the Letter is reviewed to ensure that University administration is making progress in addressing items noted in the Letter.

²³³ http://www.sfu.ca/content/dam/sfu/finance/Publication/AR_2014_web.pdf

2.F.8 *All institutional fundraising activities are conducted in a professional and ethical manner and comply with governmental requirements. If the institution has a relationship with a fundraising organization that bears its name and whose major purpose is to raise funds to support its mission, the institution has a written agreement that clearly defines its relationship with that organization.*

Fundraising for SFU is carried out under the leadership of the Vice-President, Advancement and Alumni Engagement (VPAAE), which receives all Canadian and many international donations. SFU has been a registered charity in Canada since 1967. The SFU Foundation also receives gifts to the University, although the Foundation Board now serves largely as a volunteer advisory group to the University.

SFU is a member of the Canadian Council for the Advancement of Education (CCAE), the Council for Advancement and Support of Education (CASE), a US-based organization of institutions focusing on post-secondary fundraising, and of IMAGINE Canada, a similar Canadian organization. Individual staff members have CFRE (Certified Fundraising Executive) accreditation from the US-based CFRE International, the Association of Professional Researchers for Advancement (APRA), the US-based Association of Fundraising Professionals (AFP), and the Canadian Association of Gift Planners (CAGP).

VPAAE staff are well acquainted with Canada Revenue Agency and US Internal Revenue Service regulations and ensure that all donations and tax receipts adhere to both laws and recommendations. External audits to ensure compliance with Canadian generally accepted accounting principles and the US Office of Management and Budget Circular A-133 are performed annually. Staff members are familiar with, and adhere to, the Association of Fundraising Professional's Donor's Bill of Rights and Ethical Fundraising guide for non-profit boards and fundraisers.

Friends of SFU, a Washington 501(C) 3 organization established in 1974, receives donations from US organizations and individuals who wish to receive a US tax receipt for their gifts. The stated purpose of Friends of SFU is to support "academic activities and scientific research at Simon Fraser University." Both SFU and Friends of SFU are listed as organizations eligible to receive charitable donations in IRS Publication 78.

The VPAAE complies with systems and requirements set by Finance for departmental budgeting and in the proper designation of gifts and the correct application of Canada Revenue Agency rules and guidelines for gift receipting. The VPAAE liaises regularly with Finance regarding bank reconciliations, new account setups, and correct procedures for account management and oversight. It reports annually to Finance on tax-receipted donations, gifts in kind, and gifts to SFU's US foundation. As they form a part of the University's comprehensive financial records, VPAAE financial records are subject to annual audits by the province.

Standard 2.G - Physical and Technological Infrastructure

2.G.1 *Consistent with its mission, core themes, and characteristics, the institution creates and maintains physical facilities that are accessible, safe, secure, and sufficient in quantity and quality to ensure healthful learning and working environments that support the institution's mission, programs, and services.*

SFU's physical facilities are accessible, safe, secure, and sufficient in quantity and quality to ensure the healthy learning and working environments that support SFU's Vision/Mission, programs, and services.

The University has three campuses, one in each of British Columbia's three largest municipalities, all within the Greater Vancouver Regional District. Together, the Burnaby, Vancouver, and Surrey campuses contain approximately 24,000 square metres of classroom space, 15,000 square metres of teaching laboratories, and 33,000 square metres of research laboratories.

SFU's original campus in Burnaby combines striking architecture with a panoramic view of British Columbia's Lower Mainland. In 2007, the Burnaby campus was awarded the *Prix du XXe siècle* by the Royal Architectural Institute of Canada for architectural excellence.

The Burnaby campus opened in 1965 on over 405 hectares of land. In 1996, SFU donated to Burnaby over 320 hectares as parkland in exchange for saleable property elsewhere and for development rights within the remaining campus. Acting through the SFU Community Trust, the University has since used a portion of its remaining lands to create UniverCity, a residential neighbourhood that is an award-winning model of sustainable urban development.

SFU's downtown Vancouver campus offered its first courses in rented office space in 1980 and has grown to become the "intellectual heart of Vancouver." In 1989, the initial "storefront" was expanded with the lease of space at the Harbour Centre building. SFU's Vancouver campus now includes four buildings within blocks of each other, plus a leased visual arts studio facility nearby. Three of SFU's four downtown buildings carry "heritage" status.

Space at the Morris J. Wosk Centre for Dialogue (2000), the Segal Building (2007) and the Goldcorp Centre for the Arts (2010) is owned by SFU. The Harbour Centre facility is leased until 2027. Since 1989, SFU has spent approximately \$150 million to develop and improve the Vancouver campus.

The Vancouver campus now serves over 70,000 people annually. The move in 2010 of the School for the Contemporary Arts from Burnaby to downtown Vancouver's Goldcorp Centre for the Arts has significantly increased SFU's already considerable outreach to, and impact on, Vancouver.

The Surrey campus was established in 2002 and now has 32,703 square metres of space in one of Canada's biggest and fastest growing cities. Designed by acclaimed architect Bing Thom, the building has won numerous national and international awards. SFU owns the interior space that comprises the Surrey campus. The balance of the building complex is owned by a third party and managed by a professional management company. SFU leases additional space at Surrey to house

its Mechatronic Systems Engineering laboratory and the Surrey City Library classrooms.

2.G.2 *The institution adopts, publishes, reviews regularly, and adheres to policies and procedures regarding the safe use, storage, and disposal of hazardous or toxic materials.*

Hazardous waste disposal is regulated federally through Environment Canada, provincially through the Ministry of the Environment, and locally through Metro Vancouver's *Sewer-Use Bylaw*. SFU's policy is to comply with all environmental protection legislation.

By regulation, hazardous materials cannot be disposed of down the drain and must be properly labeled and packaged. In addition, those who handle, use, or dispose of them must know how to do so properly. Federal regulations outline general policies and procedures for safe disposal of hazardous or toxic materials, and the Environmental Health and Research Safety (EHRS) department has developed internal policies to ensure that chemicals and bio-hazardous, radioactive, and other toxic materials are managed safely.

EHRS' Hazardous Materials Management Program sets four objectives directed at ensuring that:

- all University faculty, staff, and students working with hazardous materials do so safely
- applicable legislation is complied with
- the University's requirements for procuring, handling, storing, transporting, and disposing of hazardous materials are communicated successfully
- faculty, staff, and students who must handle hazardous materials on campus receive proper training for doing so²³⁴

EHRS has a role in carrying out the following policies:

- GP 13 Ergonomics
- GP 17 University Occupational Health and Safety
- GP 21 Disposal of Broken Glass and Sharps
- GP 22 Fire Safety
- GP 39 Working Alone or in Isolation
- R 20.02 Biosafety
- R 20.04 Radiological Safety
- R 20.05 Non-Ionizing Radiation Safety

2.G.3 *The institution develops, implements, and reviews regularly a master plan for its physical development that is consistent with its mission, core themes, and long-range educational and financial plans.*

²³⁴ Refer to <http://www.sfu.ca/srs/ehs.html> for examples of procedures, reports, and training manuals relating to the management of hazardous materials.

Campus Planning and Facilities Management

Planning the University's physical growth and maintaining and renewing its various lands and buildings are the responsibility of two departments: Campus Planning and Development and Facilities Maintenance and Operations. Both departments report to SFU's Chief Facilities Officer and University Architect, who report to the Vice-President, Finance and Administration's portfolio.

Facilities Maintenance and Operations looks after the day-to-day management of campus operations and maintenance.²³⁵ Facilities Services' mission is to provide effective and efficient stewardship of buildings and lands to support faculty, staff, and students in pursuit of excellence in their individual and institutional, academic teaching, research, and community objectives.

Given the different operating requirements of SFU's three campuses, Facilities Services' responsibilities vary from campus to campus, with activity mainly focused at Burnaby.

Facilities Services is charged with campus planning; managing real estate and property; developing new buildings; maintaining, operating, and renovating buildings and utility systems; overseeing landscaping; keeping an inventory of space and operational systems; and supporting sustainability initiatives.

Staffed by approximately 140 University employees, with assistance from approximately 140 external contract employees, Facilities Services provides general maintenance and operational services to the academic campus as part of base budget services, and on a fee or cost-recovery basis to student residences, food services, and other ancillary units. In all, Facilities Services looks after more than 421,750 square metres of built space and 156 hectares of land. Staff employed or supervised by Facilities Services include skilled technicians and tradespeople, custodians, groundskeepers, mechanics, electricians, carpenters, operating engineers, maintenance professionals, clerical assistants, engineers, architects, technologists, managers, administrators, and others.

The Vancouver and Surrey campuses each have managers who supervise building maintenance and operations on-site and oversee external contractors who perform some maintenance duties. Each campus also has a small Facilities Services Office that works directly with the campus Executive Directors to maintain operational continuity. The Vancouver and Surrey managers report to the Director, Facilities Maintenance and Operations at Burnaby campus on facilities-related matters.

Maintenance

Annual funding for operational maintenance comes from a combination of base operating budget and revenues recovered for services provided to clients. Funding in 2014/15 amounted to \$23.9 million, 5.3% of SFU's overall operating budget. Approximately \$7.0 million was for utilities, with another \$3.8 million for custodial maintenance. The University's average cost of maintenance is \$77 per square metre of building space.

²³⁵ More information about the department can be found at: <http://www.sfu.ca/fs/>

At Burnaby, maintenance and operational services for some entities are provided on a fee or cost-recovery basis. These include revenue-producing ancillaries such as the student residences, food services, and bookstore. The two student societies and several businesses sub-leasing space from the Simon Fraser Student Society also pay a fee for maintenance services.

The province has provided targeted funding known as an Annual Capital Allowance (ACA) for cyclical maintenance, renovations, and upgrades to buildings (e.g., replacement roofing, piping, and equipment). ACA funding was originally assessed at \$6.6 million to SFU in 2008/09, but was reduced to \$4.5 million midway through fiscal 2009/10. It was drastically reduced to \$501,031 in fiscal 2010/11. A replacement program known as Routine Capital has provided SFU approximately \$14 million over the past four years.

An ongoing challenge related to funding and constructing new buildings is the absence of provincial funding for key student and public space. The BC Universities Space Manual,²³⁶ which is used to establish standards for how space is configured in new projects and it recognizes "common use and student activity space" as a category. In practice, however, government only partially funds many buildings and typically restricts funding to space used for direct instructional or research purposes. As a result, universities must find creative ways to provide public space within the space allotted for "circulation." This is why so much student study and leisure space at SFU is located within its major corridors and atria. Other common areas and student activity spaces used for student government and clubs, lounges, and recreation are funded by students through fees levied to a capital fund. SFU presently has approximately 12,000 square metres of "student activity" space, making up over 4% of the total net area of the campus.

Canadian post-secondary institutions carry substantial inventories of deferred maintenance. Funding to support the renovation or replacement of public buildings constructed during the boom of the 60s and 70s is urgently needed. The industry "rule of thumb" for annual deferred maintenance requirements is 2% of the current replacement value of the building. This is the amount that should be budgeted for building maintenance. For SFU, this would require a deferred maintenance budget of \$40 million annually.

Deferred maintenance is a significant issue for the Burnaby campus. In 2008, the University implemented a comprehensive facilities condition assessment and database. VFA Canada Corporation²³⁷ was retained to install software that strategically manages capital assets and identifies critical maintenance needs across what is now a large institution with various and complex operating requirements. The VFA system was subsequently adopted by the Ministry of Advanced Education, which then undertook a system-wide condition assessment across the post-secondary sector.

With the original structures and utility systems now approaching 50 years in operation, the total amount of urgent deferred maintenance requirements is approximately \$120 million, and the total deferred maintenance and capital renewal requirement is estimated at approximately

²³⁶ <http://www.aved.gov.bc.ca/cppm/space.htm> Space here is defined as "internal" space and does not include open air spaces such as SFU's Convocation Mall.

²³⁷ <http://www.vfa.com/>

\$880 million for a campus with a replacement value of \$1.46 billion (replacement value for all three campuses combined is approximately \$1.95 billion). A commonly used method for measuring deferred maintenance is the Facility Condition Index (FCI). This measure indicates the deferred maintenance and capital renewal requirements compared to the current replacement value. Based on SFU's most recent data (2013 assessment), 12 buildings have an FCI greater than 50%.

SFU has provided approximately \$120 million over the past four years toward projects to address deferred maintenance requirements and to upgrade buildings and campus infrastructure. The University has committed to adding an additional \$1 million per year to an annual deferred maintenance budget allocation over the next 10 years, with a cumulative commitment of \$85 million.

Capital Planning

Each year, SFU submits a Five Year Capital Plan to the provincial government. The most recent Plan covers the five years ending in 2021.²³⁸ In prioritizing goals and objectives, the Plan directly supports the President's Agenda, the Academic Plan, and the Strategic Research Plan. Relationships between the Capital Plan and other major University plans are documented and clarified in the University Planning Framework.

The Plan includes requests for 13 new and replacement/renewal projects totaling \$604 million and outlines nine additional projects totaling \$175.5 million that SFU hopes to achieve through other funding mechanisms. First priority goes to expansion of the Surrey campus to accommodate the expected demographic growth of university-aged students in the South Fraser Valley and Surrey areas in the coming decade. These projects are intended to expand program offerings in science, health, business, and graduate studies, and provide needed student services for the campus.

Priorities at the Burnaby campus include renewing aging buildings and campus infrastructure. Top priorities are development of a Biology building to replace an aging building, a new Student Residence building, and a First People's House.

Other Burnaby campus priorities include developing a new Student Union building to be funded by the SFU Student Society, upgrading and developing athletics facilities, upgrading the Education Building, and developing a bio-mass heating plant.

Provincial regulations require all publicly funded new construction and major renovations to be executed to LEED Gold standard or its equivalent and to comply with the province's Wood First policy.

In the last 10 years, SFU has carried out \$574 million in major capital projects at an average rate of approximately \$57 million/year. Of this total, 45% has been self-funded. Property acquisition and leasing is an ongoing activity as opportunities arise. Approximately \$55 million in acquisition costs have been incurred in the last 10 years and 100 current leases are now

²³⁸ <http://www.sfu.ca/fs/Campus-Planning/5-Year-Capital-Plan.html>

managed through Facilities Services. SFU is in the final phase of a program to upgrade and modernize all classrooms and lecture theatres at Burnaby.

2.G.4 *Equipment is sufficient in quantity and quality and managed appropriately to support institutional functions and fulfillment of the institution's mission, accomplishment of core theme objectives, and achievement of goals or intended outcomes of its programs and services.*

Equipment at SFU includes computing, research, and instructional equipment and is considered sufficient in quantity and quality to allow the University to fulfill its Vision/Mission, meet core theme objectives, and achieve intended outcomes.

Facilities Services supplies the initial furnishings in new buildings, purchased with capital funds. All other equipment, including subsequent replacement equipment, is purchased by individual departments and Faculties and funded internally. This decentralized system allows each department and Faculty to monitor requirements and purchase accordingly.

University policy provides for the disposition of equipment that has been replaced.²³⁹ Equipment purchased using grants obtained by individual faculty members who later leave SFU, is addressed in the Academic policies.²⁴⁰

At the end of fiscal 2014/15, the net book value of equipment and furnishings was \$48.9 million and the net book value of computer equipment was \$14.1 million. All equipment and furnishings are depreciated over eight years using the straight-line amortization method. All computer equipment is depreciated over three years using the straight-line method.

Technological Infrastructure

2.G.5 *Consistent with its mission, core themes, and characteristics, the institution has appropriate and adequate technology systems and infrastructure to support its management and operational functions, academic programs, and support services, wherever offered and however delivered.*

The technological infrastructure at SFU is well developed, functional, up-to-date, stable, and fully able to support University functions, programs, and services. Information Technology (IT) changes over the last decade have been massive, pervasive, and successful, and SFU's IT environment continues to evolve in response to the needs of the SFU community and within the context of a complex funding landscape.

IT Service Delivery

SFU has a Chief Information Officer (CIO) for Information Technology, who serves as SFU's senior IT executive. The IT Services organization (ITS) is structured as a single, multi-functional

²³⁹ <http://www.sfu.ca/policies/gazette/administrative/ad11-10.html>

²⁴⁰ <http://www.sfu.ca/policies/gazette/academic/a30-08.html>

department, with about 150 full-time professional positions and 20 part-time student employees organized into four units. Client Services, Application Services, and Infrastructure Services are each led by a Director, while the Project Portfolio Office is led by a Senior Manager.

Client Services is responsible for the Service Desk, desktop support, audio-visual and event support, and a multi-year program to adopt modern best practices in IT Service Management.

Application Services is responsible for developing, installing, implementing, and managing the large suite of software applications on which SFU depends. In addition to the University's learning management and collaboration systems, there are over 100 smaller applications providing service to clients across the University.

Infrastructure Services is responsible for communication infrastructure (cabling, switches, telephones, and local and wide-area networking). It also operates SFU's data centres and private cloud of servers and storage, research support (including high-performance computing), and identity, security, and compliance services.

It is important to note that the British Columbia *Freedom of Information and Protection of Privacy Act* (FIPPA) severely restricts SFU's ability to store personal information outside Canada, which tends to rule out the use of public cloud applications or infrastructure.

The Project Portfolio Office (PPO) includes a number of project managers and business analysts who carry out various projects on behalf of IT Services and SFU. Project managers and analysts in various other units around SFU augment PPO project managers and business analysts. In addition, the PPO is responsible for maintaining information on past, present, and future projects, and for acting as an advisory centre of excellence on best practices in project management.

Furthermore, all Faculties and some departments employ staff who provide additional IT support. Decentralized IT support typically takes the form of administrative and technical training and support, specialized support for research or for instructional technologies other than those supported centrally, and web-content development and management.

Campus Networks

Each of SFU's three campuses operates a converged campus network, with the Burnaby campus network being the largest and most complex. The three campuses are interconnected by high-speed links (10 Gb/s) creating the unified SFU network. In turn, SFU's network connects to the province-wide BCNET and, from there, into CANARIE (Canada's research and education network) and the commodity Internet.

Managed by BCNET and CANARIE, this upgraded Optical Regional Advanced Network provides universities, hospitals, and researchers in British Columbia access to 10 Gb/s bandwidth over more than 72 optical wavelengths. This new high-speed link is the telecommunications backbone of many research and educational initiatives.²⁴¹

²⁴¹ <http://www.canarie.ca/about-us/>

The Burnaby campus maintains a 10 Gb/s backbone and makes available 100 Mb/s and 1 Gb/s port connectivity for users. The Surrey and Vancouver campuses have limited 1 Gb/s availability, but universal 100 Mb/s availability. The Burnaby campus network currently services over 20,000 ports; Surrey, 3,000; and Vancouver, another 2,000.

Telephone communication systems for Burnaby and Vancouver campuses are currently serviced by traditional PBX technology, with plans to migrate to Voice-over IP (VoIP) by 2018. The Surrey campus migrated from a traditional PBX technology to VoIP unified communications in 2008.

Campus Wireless

Wireless mobility is an important aspect of the IT environment at SFU. The University operates an SFUNet WiFi service at all campuses. Two SFU wireless services are available (SFUNet and SFUNet-Secure) as well as Eduroam. SFUNet is the standard SFU wireless network on campus, supporting 802.11a/b/g with no encryption, with a web portal for authentication using a unique SFU ID and password.

There are currently no on-campus traffic restrictions for SFUNet, which supports all wireless devices. SFUNet-Secure is the secure wireless network on campus, supporting 802.11a/b/g protocols as well as full WPA2/AES encryption. It requires an 802.1x EAP/TTLS client for authentication rather than a web portal. AEL 700 access points on all three campuses have recently been upgraded to 802.11a/b/g/n.

Eduroam is an international initiative that allows students, staff, and faculty access to wireless services at co-operating universities, without the need to obtain a guest account. This means a user visiting from another institution can log in using the same credentials they would at home. Support for Eduroam is currently available from member institutions in Canada, Asia, Europe, and the United States. An important aspect of SFU campus wireless, especially for students, staff, and faculty who move from campus to campus, is the consistency of the networks and their availability regardless of campus location.

Data Centres

SFU's primary data centre (BDC) is on the Burnaby campus, with a secondary data centre on the Surrey campus. The Vancouver campus co-locates any required server and storage technology with communications equipment. The BDC operates as an ASHRAE Class 1 compliant facility with full emergency power and HVAC. All network and data centre equipment is monitored and managed using advanced monitoring and surveillance tools.

Computing Infrastructure

SFU servers use blade technology, adopting virtualization to improve efficiency and resilience in the data centre. SFU data are protected with a robust backup and off-site storage rotation, and major systems can be restored rapidly should a catastrophic loss occur. Valuable experience was gained in 2010 when the laying of new power lines at the Burnaby campus required a controlled shutdown and reboot of all IT systems.

Formal disaster-recovery planning has just begun and progress is being made in providing hot redundancy for core services in the Surrey campus data centre.

Computer Labs

SFU has computer labs at all three campuses. The Burnaby campus has seven open (i.e., "assignment") labs for general use to anyone with a valid SFU computing ID. These are managed by IT Services and feature standardized equipment with three-year lifecycle equipment replacement, and standardized availability and operation. The Surrey campus has two drop-in labs and seven instructional computer labs for drop-in use when not scheduled for instructional use. The Vancouver campus has three labs for general use.

More specialized computing labs are operated by Faculties, schools, and departments as needed to serve their unique constituencies. These allow the flexibility needed to provide "block booking" to conduct classes in a computer-lab environment, and often provide access to specialized software programs. Some of these specialized needs are also served with a growing VDI (Virtual Desktop Infrastructure) service provided centrally.

Identity Management

IT Services runs an Identity Management System (Amaint) that automatically provides computing IDs to each of SFU's 57,000 faculty, staff, and students at the time they are hired or admitted. The Oracle/PeopleSoft student information and human resource/payroll systems are linked to Amaint automatically to determine the validity and status of all employee and student computing IDs. Once these data sources indicate a student or employee has graduated or left, and after an appropriate grace period, Amaint automatically expires or changes the SFU computing ID.

Single Sign-on

Lightweight Directory Access Protocol (LDAP) and Active Directory-based shared authentication services are populated automatically with SFU computing IDs and integrated with the open-source Central Authentication Service (CAS) to provide a ubiquitous single sign-on infrastructure. All major technologies and services use single sign-on, including the Oracle/PeopleSoft-based financial and student information systems, Canvas learning management system, Zimbra-based email and calendaring system, Library systems, campus labs, wireless access, numerous collaboration systems, and departmental business systems.

Email Service

IT Services runs a web-based email system based on Zimbra for all SFU faculty, staff, and students and for functional business purposes. The system contains 55,000 mailboxes and 20,000 email distribution lists, uses single sign-on, and is automatically provided to all faculty, staff, and students while their SFU computing IDs are active.

Learning Management System

Since 2000, IT Services has operated a learning management system to support all courses offered at all campuses. Using enrollment data from the student information system and on instructor request, the locally hosted Canvas LMS (by Instructure) populates course shells automatically with enrolled students. In fall 2014, there were over 1,100 courses using Canvas and more than 26,000 unique student enrollments.

Administrative Applications

The Application Services unit of IT Services manages SFU's PeopleSoft administrative applications (student information, finance, and HR/payroll). All technology infrastructure associated with these applications is located on the Burnaby campus. The SFU/IT Services call centre, with the assistance of the Registrar's Office and Student Services, supports SFU users of these applications.

2.G.6 *The institution provides appropriate instruction and support for faculty, staff, students, and administrators in the effective use of technology and technology systems related to its programs, services, and institutional operations.*

IT Services provides some project-based training, but ongoing training for specific systems is a functional responsibility of the various departments. All Faculties and some departments or schools require more specific technologies in addition to those supported at the University-wide level. Internal department or Faculty IT staff typically support these specialized technologies.

For example, the Faculty of Education's ENGRAMMETRON, which is an educational neuroscience and mixed research laboratory, helps alleviate mathematics anxiety and improve conceptual understandings of mathematics and its applications, especially in mathematical problem-solving contexts using computer-enhanced learning environments. ENGRAMMETRON facilities enable simultaneous observation and acquisition of audio data from talking aloud reflective protocols, video data of facial and bodily expression, and real-time screen capture. The Faculty of Education provides specialized IT support for this and other programs.

Similar IT support is provided "locally" (i.e., by the Faculty, department or school), where the specialized nature of instructional or research support is more effectively served at that level. Distributed IT staff offer training to support teaching staff in their use of learning technologies, provide expertise in exploring and innovating using advanced and ever-changing technologies, and manage IT equipment.

IT Services also creates and maintains several web sites containing tutorial material for major systems.

2.G.7 *Technological infrastructure planning provides opportunities for input from its technology support staff and constituencies who rely on technology for institutional operations, programs, and services.*

Local Area Network (LAN) administrators in Faculties and administrative departments meet regularly with IT Services staff to exchange planning information. Project teams consult widely with affected constituencies as part of implementation and upgrade projects. Departmental LAN administrators meet several times annually with IT Services staff to discuss infrastructure issues of shared interest. Smaller working groups or project teams are created as necessary, either to develop or to execute plans. For larger application-based projects, functional and technical staff from relevant units are part of the project team or consulted as necessary. Most major infrastructure upgrades are related to underlying application implementations or upgrades.

2.G.8 *The institution develops, implements, and reviews regularly a technology update and replacement plan to ensure its technological infrastructure is adequate to support its operations, programs, and services.*

Development, implementation, and review of technology updates and replacements have mainly been the responsibility of IT Services, informed by the advice and decisions of the IT Governance Committees (called IT Strategies, Admin IT, Research IT, and the Learning & Teaching Coordinating Committee). Funding for regular hardware renewal in the IT Services infrastructure is part of the IT Services operating budget; funding for specific projects typically results from committee decisions, successful University Priority Fund proposals, departmental budgets, and various internal sources of one-time funding. All major software applications are kept within their vendor support window through regular patching, updates, and upgrades.

Chapter 3

**Standard Three:
Institutional Planning**

3. Standard Three – Institutional Planning

The institution engages in ongoing, participatory planning that provides direction for the institution and leads to the achievement of the intended outcomes of its programs and services, accomplishment of its core themes, and fulfillment of its mission. The resulting plans reflect the interdependent nature of the institution's operations, functions, and resources. The institution demonstrates that the plans are implemented and are evident in the relevant activities of its programs and services, the adequacy of its resource allocation, and the effective application of institutional capacity. In addition, the institution demonstrates that its planning and implementation processes are sufficiently flexible so that the institution is able to address unexpected circumstances that have the potential to impact the institution's ability to accomplish its core theme objectives and to fulfill its mission.

Standard 3.A - Institutional Planning

3.A.1 *The institution engages in ongoing, purposeful, systematic, integrated, and comprehensive planning that leads to fulfillment of its mission. Its plans are implemented and made available to appropriate constituencies.*

3.A.2 *The institution's comprehensive planning process is broad-based and offers opportunities for input by appropriate constituencies.*

3.A.3 *The institution's comprehensive planning process is informed by the collection of appropriately defined data that are analyzed and used to evaluate fulfillment of its mission.*

3.A.4 *The institution's comprehensive plan articulates priorities and guides decisions on resource allocation and application of institutional capacity.*

3.A.5 *The institution's planning includes emergency preparedness and contingency planning for continuity and recovery of operations should catastrophic events significantly interrupt normal institutional operations.*

Introduction

Simon Fraser University engages in ongoing, participatory, purposeful, systematic, integrated, and comprehensive planning. Plans are aligned and intended to lead to the fulfillment of SFU's Vision/Mission, its core theme objectives, and the identified goals or intended outcomes of its programs and services. They reflect the interdependent nature of SFU's operations, functions, and resources in achieving intended results. Major institutional plans are developed, refined, and updated regularly, with ancillary or supporting plans produced and renewed at various intervals as appropriate.

Involvement in the development of major plans is broad and tailored to gather practical input while also communicating the institution's larger goals and values to its diverse communities. Preparations for planning are announced at meetings and via a host of media, including email lists,

websites, and internal newsletters. Early and penultimate drafts are circulated and/or posted on websites for comment. All the input is considered in producing subsequent drafts. Approved plans include detailed information about the process by which they were produced, and final versions of all major plans are published on the appropriate University websites.

Plans identify goals, outcomes, and, wherever possible, indicators to monitor institutional progress. Plans are amended when changing circumstances, or growing experience suggests implementation would be improved by adjusting a plan's original goals, strategies, or indicators. Overall, planning and assessments at Simon Fraser University are large enough in scope and sufficient in detail to allow the University to conduct its operations and fulfill its Vision/Mission successfully. Ultimately, plans identify institutional priorities and guide the allocation of University resources and capacities, whether human, financial, or physical.

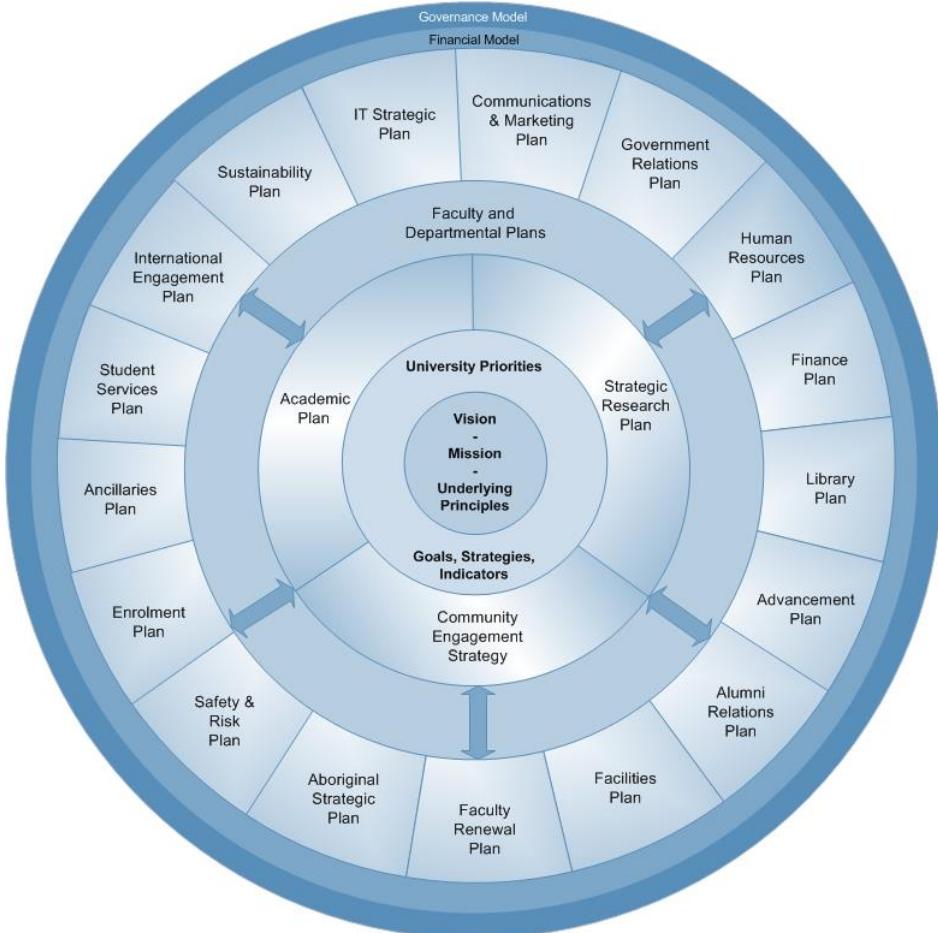
In support of its Vision/Mission, SFU has adopted three core themes, each with an associated goal and supporting activities, to facilitate the achievement of being the leading engaged university, and a fundamental theme. Plans are produced for each of the three core themes: the Academic Plan, which touches on all three core themes, and the Strategic Research Plan and the Community Engagement Strategy, which are more focused on particular core themes. These plans are at the centre of all planning activities and provide guidance for other subordinate planning. The relationship between the three core theme plans and other planning activities is achieved through the University Planning Framework.

Although not a core theme that contributes directly to the achievement of the Vision/Mission, the fundamental theme, Leveraging Institutional Strength, ensures that the capacity is available so that the three core theme strategies can be implemented while also contributing to the University's ongoing sustainability: being well-resourced financially, having well-developed administrative systems, recruiting and retaining excellent faculty and staff, and maintaining and developing supporting physical structures and facilities.

University Planning Framework

SFU's Vision/Mission and its underlying principles are at the centre of the University Planning Framework (UPF)²⁴² and its principles and philosophy permeate all aspects of the University's governance and culture. As depicted below, the Academic Plan, the Strategic Research Plan, and the Community Engagement Strategy, which represent core theme planning, form the main linkages between the Vision/Mission and the Faculty Plans, the Departmental Plans, and functional plans. All plans are constrained by the two outer circles—Financial Model and Governance Model.

²⁴² Link to UPF not yet available

Figure 10: The Depiction of SFU's Planning Framework

The UPF, which is updated regularly, provides a means for determining future initiatives, allocating resources, and measuring success. It provides guidance to all institutional planning activities and includes mechanisms for monitoring progress and achievements. It is a dynamic document that reflects the University's response to its changing environment.

The UPF includes goals for each core theme and the fundamental theme, expected outcomes for each theme, and indicators to measure theme performance.

The Planning Framework is reviewed by the Board of Governors and the Senate and is published on SFU's website.

Provincial Government Accountability Framework

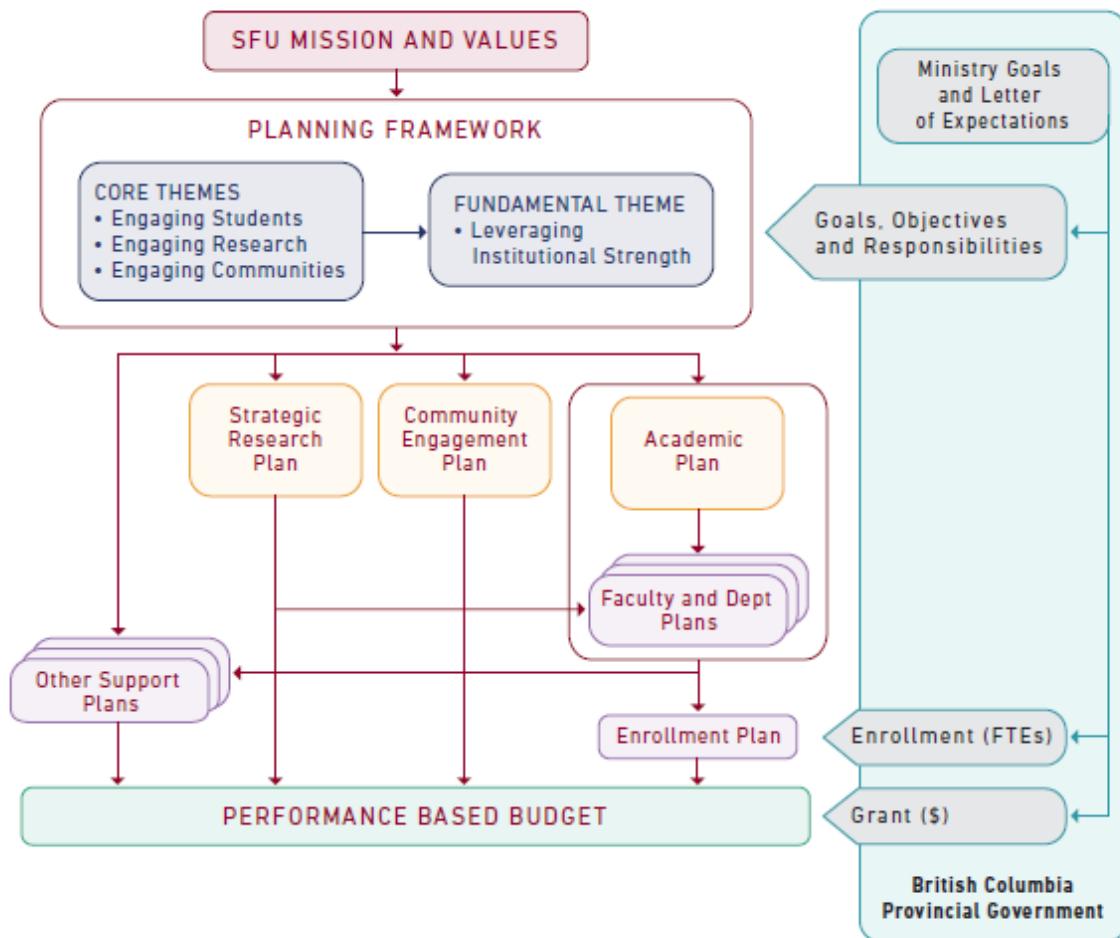
Under the accountability framework, public post-secondary institutions in British Columbia must prepare an annual accountability document, including a three-year plan and report. These Institutional Accountability Plans and Reports include goals, objectives, and performance measure

results for each institution, along with contextual information to describe the services provided to students and communities.

SFU's Institutional Accountability Plan and Report (IAPR)²⁴³ also indicates how SFU's core themes, goals, and objectives are aligned in support of the Ministry of Advanced Education's (AVED) strategic goals. The most recent IAPR, which was approved by the Board of Governors on June 25, 2015, demonstrates that SFU exceeded two of the nine ministry indicators, achieved six, and substantially achieved one. The IAPR is discussed at a number of venues, including the Senate, and is published both on AVED's and SFU's websites.

The figure below illustrates how the Ministry influences SFU planning.

Figure 11: SFU planning from Vision/Mission to performance based budget



²⁴³ http://www.sfu.ca/content/dam/sfu/pres/pres_docs/IAPR_2015-16_2017-18.pdf

Other Major Institutional Level Planning

A number of other institutional level plans are key to SFU's achievement of its Vision/Mission. These plans, used to direct planning and activities across the University, include: Annual Budget, Strategic Enrollment Plan, Faculty Renewal Plan, Emergency Preparedness and Disaster Recovery Plans, Information Technology Business Recovery Plan, and Aboriginal Strategic Plan.

Annual Budget

The University budget is developed annually, following a process set out in the Budget Guidelines²⁴⁴ and managed by the Budget Office. As with all major SFU plans, budgets are developed in, and informed by, extensive consultation with the University community. Budgeting begins each summer with forecasting and modeling based on planning assumptions for enrollment, government grants, research performance, and known inflation for costs. The budget model is discussed and reviewed by the Vice-Presidents and a proposed budget is presented to the University community. Early in the fall semester, the Vice-President, Academic and the Vice-President, Finance and Administration hold a number of budget consultations with the broader University community. These discussions focus on the financial landscape, which includes provincial grants estimates, tuition fees, and other revenue sources, as well as high-level estimations of expected expenditures. The challenges and possible options for the forthcoming year are openly discussed.

Budget Model

By late fall, each Vice-President is provided with the funding amount allocated to his or her portfolio. Allocations to units within the portfolios are determined via the Budget Model, which includes two methods: one method is formulaic and applies to revenue-generating units; the other applies to units that provide support that is more subjective in nature.

- **Revenue-based Budget Centres**

The budgets of specific portfolios are tied directly to revenue drivers, such as:

- **Faculties:** budgets are aligned with the enrollment plan
- **Research:** budget is based on a three-year historical trend in research funding
- **Advancement:** budget is aligned with fundraising performance and targets

- **Support Cost Centres**

These budgets are tied to the University's overall growth and are reviewed by the Budget Review Committee (BRC). The BRC reviews budgets not linked to revenue generation, but fundamental to supporting the University's Vision/Mission. The Committee reviews and recommends budget adjustments for specific portfolios, ensuring an equitable, responsive, transparent process that maintains the stability required to support the advancement of SFU's institutional goals. The BRC is composed of the Vice-President, Academic; the Vice-President, Finance and Administration; and a Faculty Dean.

²⁴⁴ The Budget Guiding Principles: page 16 of the 2015/16 Budget and Financial Plan
<https://www.sfu.ca/finance/departments/budget/report.html>

The role and function of the BRC is currently under review.

Once these allocations are determined, each department enters its budget into the budget system (IFPBS²⁴⁵). Budget Guidelines assist departments with budget preparation and the Budget Office coordinates the budget process and analyzes budget variances prior to review and approval by senior administration.

An information session with the Board of Governors' Finance and Administration Committee is held prior to the presentation of the Budget for approval at the fall Board meeting. This enables questions and feedback to be considered prior to the Board meeting. Approval of annual budgets lies within the domain of the Board of Governors, and proposed Operating Budgets are typically presented for approval in March.

In accordance with Section 29 of the University Act, the University is not permitted to incur any liability, or to make expenditures that it is unable to fund out of annual income for the year. This, and other annual budget policy objectives are covered in "Budget Policy Objectives" B10.05²⁴⁶.

University Priority Fund

In addition to these budget allocations, the University Priority Fund (UPF) provides funds for strategic initiatives, which are run on a project basis, that aim at advancing the achievement of the University's strategic goals. The Fund is approximately \$9 million annually. Supported initiatives must meet specific criteria and require stakeholder support and approval from the appropriate Vice-President. Applications are reviewed and ranked by the University Planning Committee. Recommendations are then submitted for deliberation by the Vice-Presidents and subsequently reviewed by the Board prior to final approval.

Table 7

2015/16 University Priority Fund – by Core Theme		
	Previously Funded	2015/16
Engaging Students	2,154,440	3,329,439
Engaging Research	2,050,000	905,000
Engaging Communities	1,705,000	1,090,000
Leveraging Institutional Strength	1,797,000	4,619,276
Total Current Project Initiatives	7,706,440	9,943,715
Previously Funded Projects since 2011/12	23,463,449	
Total Project Initiatives	31,169,889	9,943,715

Proposals spanning two or more years are reviewed annually before funding is continued. In addition, semi-annual Progress Reports must be submitted for each project. The Progress Report details expenditures to date and performance against project milestones and

²⁴⁵ Interim Financial Planning and Budgeting System.

²⁴⁶ <https://www.sfu.ca/policies/gazette/board/B10-05.html>

performance metrics.

This process of UPF allocation is currently undergoing review.

Monitoring Expenditure and Financial Performance

Expenditures are monitored on an ongoing basis by departments across the University. SFU produces a Quarterly Financial Review, which analyzes expenditures by Vice-President portfolio and by Faculty/department, identifying variances to budget year-to-date (YTD) and providing explanations of significant variances. The YTD Budget reflects a pro-rata of the fiscal budget, based on the prior year's spending pattern.

The Quarterly Financial Review also provides information on other aspects of the University's financial performance, including tuition revenues, faculty and staff headcounts, investment income, capital projects, and research funding. The document is provided to the University executive each quarter and queries are addressed promptly by Financial Services.

Expenditures associated with research projects are very closely monitored to ensure they are spent in accordance with grant requirements. External funding bodies conduct regular audits of the University's research expenditures to ensure compliance.

The University also reports its expenditures in the financial reports submitted to the Ministry of Advanced Education (AVED) on a quarterly basis to meet the reporting requirements of the Budget Transparency and Accountability Act. The reports include quarterly forecasts of current-year expenditures and projections for the three subsequent fiscal years.

Strategic Enrollment Plan

A major link between the Academic Plan and the annual budget is provided by SFU's Strategic Enrollment Plan, which establishes specific student enrollment targets for individual Faculties.

Enrollment planning begins with receipt of the Letter of Expectations from AVED. The Letter determines the number of domestic Full Time Equivalent undergraduate and graduate students to be funded by the province.²⁴⁷ These numbers are the starting point for SFU's Enrollment Plan.

The Enrollment Plan covers seven years (current year, plus six years), with the current Plan extending to 2020/21. Enrollment Plans are influenced by funding, institutional decisions on the desired split between graduate and undergraduate student capacity, the desired proportion of international enrollments relative to domestic, and identified areas of growth and strategic importance.

²⁴⁷ Letters identify FTE funding for three years, but funding commitments for future years have proven to be more suggestive than definitive.

Through discussions with the Faculties, the Enrollment Plan sets targets for each Faculty for domestic and international undergraduate and graduate students. Planning at the Faculty level considers program capacity, including faculty workload, student demand, and local and global economic conditions. To help Faculties respond quickly and efficiently to emerging enrollment conditions, each Faculty is provided with a web-based "enrollment dashboard" by the Institutional Research and Planning department. These dashboards display actual enrollment figures relative to targets set each semester.

The Strategic Enrollment Management Committee (SEMC), which includes representation from each Faculty, develops the plan. SEMC is charged with coordinating strategic enrollment activities across the University, evaluating data sources and information used to guide planning, and identifying and recommending best practices for enrollment management. Official enrollment targets for each Faculty are recommended to Senate for consideration and approved by the Senate Committee on Enrollment Management and Planning (SCEMP).²⁴⁸ SCEMP is chaired by the Vice-President, Academic, and includes representatives from all Faculties, other senior University officers, and two students.

Faculty Renewal Plan

The goals contained in the Five-Year Academic Plan 2013-2018 identify as a top priority the continued recruitment of faculty to SFU. It is important to maintain an appropriate balance of teaching and research faculty members and that the approved positions contribute to the research and teaching strengths of the respective Faculties and departments. The annual faculty renewal planning process provides a strategic opportunity to direct resources to specific research areas and to manage changing student demand.

Each year, Deans request new and/or replacement academic positions. These positions are reviewed by the Vice-President, Academic to ensure that they support Academic Plan goals, as well as those outlined in the Faculties' five-year plans. These positions are then submitted to the Human Resources Committee, acting under delegated authority of the Board of Governors, to approve the University's request to recruit the recommended number of faculty positions, excluding academic positions associated with the hiring of senior academic administrators.

At the same time the Vice-President, Academic also asks for approval to further expand the faculty complement by up to seven positions during the fiscal year, should strategic opportunities arise for the University. Such opportunities may include the conversion of existing limited-term appointments to continuing, unanticipated student demand in critical areas, or the recruitment of prestigious candidates in areas of strategic importance.

The Vice-President, Academic recommends positions using the following criteria:

- need for limited-term conversion
- teaching needs of unit
- student/faculty ratios

²⁴⁸ <http://www.sfu.ca/senate.html>

- building existing research strengths
- development of new research areas
- opportunities for interdisciplinary teaching and research
- opportunities for community engagement
- ability to resource position

Once approved, these positions are included in the Faculties' budgets.

The Faculty Renewal Plan includes additional information, including startup costs, an analysis of the faculty with regard to funding source, attrition, retention awards, and chair appointments.

Details of the process followed in developing the Faculty Renewal Plan ²⁴⁹ and the current Faculty Renewal Plan ²⁵⁰ can be found on the SFU website.

Emergency Preparedness and Disaster Recovery Plans

Over the last several years, SFU has made the development and implementation of emergency plans a priority. In 2013, SFU developed a Comprehensive Emergency Management Plan²⁵¹ (CEMP) that outlines the approach to all hazards and emergency management. Plans are specific to a range of events, from hazardous materials spills to severe weather to infectious disease, and they identify actions and assign departmental or individual responsibilities for each type of hazard.²⁵²

Related policies include those on Response to Violence or Threatening Behaviour,²⁵³ Emergency Management,²⁵⁴ and the Unscheduled Cancellation of Classes.²⁵⁵ The critical role of the University Communications department in responding to disasters and other emergencies is set out in the Emergency Communications Plan.²⁵⁶

As SFU's largest campus is located 370 metres above sea level on Burnaby Mountain, the most common source of disruption is snowfall. Long experience with winter-related events has generated significant planning and activity, but with some access roads at a 7% grade, moving large numbers of people on and off Burnaby Mountain in winter weather remains a persistent challenge.

Development of emergency plans has been a priority for the University over the last several years. In spring 2015, the University developed and deployed a comprehensive, enterprise-

²⁴⁹ https://www.sfu.ca/vpacademic/academic_planning/faculty_renewal/Report.html

²⁵⁰ http://www.sfu.ca/vpacademic/FinBdgt_Mgmt.html

²⁵¹ <http://www.sfu.ca/content/dam/sfu/srs/emergency/2013.12.20%20CEMP-%20Web%20Version.pdf>

²⁵² SFU's framework for emergency management, the Comprehensive Emergency Management Plan, is available online at: <http://www.sfu.ca/srs/resources/ecp.html>

²⁵³ <http://www.sfu.ca/policies/gazette/general/gp25.html>

²⁵⁴ <http://www.sfu.ca/policies/gazette/general/gp31.html>

²⁵⁵ <http://www.sfu.ca/policies/gazette/general/gp4.html>

²⁵⁶ Complete manual available to University staff only.

wide Emergency Preparedness and Operational Continuity project, which has identified a few significant residual risks that require senior level attention. Safety and Risk Services is currently compiling a report that outlines all of the projects findings

The University also prepares and monitors an Enterprise Risk Management Plan²⁵⁷ (ERMP). Its purpose is to manage strategic risks that could prevent the University from achieving its objectives. The ERMP identifies, evaluates, and prioritizes risks; assigns responsibility for managing these risks; and identifies steps taken to mitigate them. Identified risks are monitored on an ongoing basis, with the ERMP operating on a three-year horizon, at which time the University undertakes a reassessment to ensure that new and emerging risks are included. When a risk has been substantially reduced, it may be removed from the list. The ERMP was last reviewed and revised in winter 2013 and is currently under review. A new version will be released in 2016.

Information Technology Business Recovery Plan

SFU's capacity to carry out key elements of its business relies ultimately on the information technology through which, among many other things, it enrolls students, collects tuition, delivers online courses, and pays its employees. The University's Enterprise Risk Management Report notes that "failure or performance issues of key IT systems" have the potential to significantly disrupt SFU's business activities. Potential threats include physical damage to IT infrastructure (e.g., hardware or network connections) or damage to key data or files.

Key data and files are backed up daily and stored in multiple locations off-site. Systems are constantly monitored and upgraded to detect and prevent intrusions.

SFU has initiated a review of its approach to both enterprise risk management and business continuity planning. This review will lead to the development of a series of inter-related mitigations and plans to address identified risks.

Aboriginal Strategic Plan

Originally approved by Senate in 2007 and updated in 2013, the Aboriginal Strategic Plan (ASP)²⁵⁸ is a supporting plan within SFU's University Planning Framework. It serves as a useful example of the alignment of second-tier plans with the University's Academic, Research, and Community Engagement Plans and demonstrates how fiscal resources are directed at fulfilling core theme objectives. It is also a good example of how institutional planning can support government priorities.

The ASP was the result of a two-year comprehensive planning and visioning process. It was

²⁵⁷ Complete manual available to University staff only.

²⁵⁸ <http://www.sfu.ca/aboriginalpeoples/aboriginal-strategic-plan-.html>

built on a long-standing history of engagement, collaboration, and partnership with various Aboriginal peoples and communities (i.e., First Nations, Métis, and Inuit). The Plan was developed within a context of new understandings, new perspectives, new strategies, and new partnerships with the First Peoples. Its aim is to transform the University's approach to academic programming, community engagement, student support, international engagement, knowledge and leadership development, infrastructure development, government and NGO relationships, communication strategies, and, equally important, research on matters of direct relevance to Canada's Aboriginal peoples.

Since its approval, much progress has been made to advance ASP goals and strategies. Various initiatives, and the progress made on them so far, are detailed in Annual Reports on Aboriginal Strategic Initiatives submitted by the Director of the Office for Aboriginal Peoples. The financial resources for implementing the ASP are from the Vice-President, Academic's budget, the various Faculties and other University offices, and through special allocations from the University Priority Fund. The Priority Fund allocated more than \$1 million over three years (2011/12-2013/14) to support Aboriginal students (discussed in the Budget section above).

The ASP also aligns SFU's activities with the Ministry of Advanced Education's priority to increase Aboriginal participation in post- secondary education province-wide.

Conclusion – Chapter 3

The plans outlined in this section should not be seen as all inclusive, but as examples of the planning processes followed in a much broader range of planning across the University. The core theme planning covered in the next section of this report are examples of SFU's more comprehensive planning and assessment processes.

SFU engages in ongoing participatory planning that provides direction for the University and helps fulfill its Vision/Mission, its core theme objectives, and the identified goals or intended outcomes of its programs and services. The resulting plans are flexible enough to address unexpected circumstances while influencing practice, resource allocation, and application of institutional capacity.

The plans also reflect the interdependent nature of the University's operations, functions, and resources in achieving intended results. This integration is ensured through the use of a Planning Framework, which effectively provides guidance to all institutional planning activities and includes mechanisms for monitoring progress and achievements.

Chapter 4

**Standards Three and Four:
Core Theme Planning, Assessment, and Improvement**

4. Standard Three and Four – Core Theme Planning, Assessment and Improvement

Executive Summary of Eligibility Requirements 22 - 23

Eligibility Requirement 22 – Student Achievement

The institution identifies and publishes the expected learning outcomes for each of its degree and certificate programs. The institution engages in regular and ongoing assessment to validate student achievement of these learning outcomes.

The practice of identifying expected learning outcomes for degrees and programs has not been widely adopted at Canadian universities. SFU does, however, adhere to the learning standards identified by the Canadian Council of Ministers of Education for general degrees (bachelor, master's and doctoral). The systematic evaluation of students' achievement at the course level by qualified instructors and the rigorous course requirements set for each program ensure that students achieve these learning standards. In addition, some programs accredited through external bodies have developed learning outcome protocols.

The current Academic Plan has as one of its objectives the implementation and assessment of learning outcomes. This will ensure that all students understand the curriculum structure and content, and will enable SFU to collect data on achievement of student learning. Also, under Senate guidelines and via the regular academic departmental external review process, SFU is developing and assessing expected learning outcomes for all its programs.

Eligibility Requirement 23 – Institutional Effectiveness

The institution systematically applies clearly defined evaluation and planning procedures, assesses the extent to which it achieves its mission and core themes, uses the results of assessment to effect institutional improvement, and periodically publishes the results to its constituencies. Through these processes it regularly monitors its internal and external environments to determine how and to what degree changing circumstances may impact the institution and its ability to ensure its viability and sustainability.

University plans clearly define objectives, specific outcomes, and detailed indicators by which to assess progress toward the achievement of those objectives and outcomes. As a result of the SFU Vision/Mission and the accreditation process, plans are increasingly informed by "core themes," and objectives, outcomes, and indicators are continually amended based on performance reviews. Results from all major assessment processes, including this Self Evaluation Report, are routinely published to the appropriate communities, most often via the University's website.

Plans and planning processes take account of changing internal and external environments, and emphasis is placed on the University's ability to maintain teaching and research excellence as well as financial sustainability.

Standard Three – Planning and Implementation

The institution engages in ongoing, participatory planning that provides direction for the institution and leads to the achievement of the intended outcomes of its programs and services, accomplishment of its core themes, and fulfillment of its mission. The resulting plans reflect the interdependent nature of the institution's operations, functions, and resources. The institution demonstrates that the plans are implemented and are evident in the relevant activities of its programs and services, the adequacy of its resource allocation, and the effective application of institutional capacity. In addition, the institution demonstrates that its planning and implementation processes are sufficiently flexible so that the institution is able to address unexpected circumstances that have the potential to impact the institution's ability to accomplish its core theme objectives and to fulfill its mission.

Standard 3.B - Core Theme Planning

3.B.1 *Planning for each core theme is consistent with the institution's comprehensive plan and guides the selection of programs and services to ensure they are aligned with and contribute to accomplishment of the core theme's objectives.*

3.B.2 *Planning for core theme programs and services guides the selection of contributing components of those programs and services to ensure they are aligned with and contribute to achievement of the goals or intended outcomes of the respective programs and services.*

3.B.3 *Core theme planning is informed by the collection of appropriately defined data that are analyzed and used to evaluate accomplishment of core theme objectives. Planning for programs and services is informed by the collection of appropriately defined data that are used to evaluate achievement of the goals or intended outcomes of those programs and services.*

Standard Four – Effectiveness and Improvement

The institution regularly and systematically collects data related to clearly defined indicators of achievement, analyzes those data, and formulates evidence-based evaluations of the achievement of core theme objectives. It demonstrates clearly defined procedures for evaluating the integration and significance of institutional planning, the allocation of resources, and the application of capacity in its activities for achieving the intended outcomes of its programs and services and for achieving its core theme objectives. The institution disseminates assessment results to its constituencies and uses those results to effect improvement.

Standard 4.A - Assessment

4.A.1 *The institution engages in ongoing systematic collection and analysis of meaningful, assessable, and verifiable data—quantitative and/or qualitative, as appropriate to its indicators of achievement—as the basis for evaluating the accomplishment of its core theme objectives.*

4.A.2 *The institution engages in an effective system of evaluation of its programs and services, wherever offered and however delivered, to evaluate achievement of clearly identified program goals or intended outcomes. Faculty have a primary role in the evaluation of educational programs and services.*

4.A.3 *The institution documents, through an effective, regular, and comprehensive system of assessment of student achievement, that students who complete its educational courses, programs, and degrees, wherever offered and however delivered, achieve identified course, program, and degree learning outcomes. Faculty with teaching responsibilities are responsible for evaluating student achievement of clearly identified learning outcomes.*

4.A.4 *The institution evaluates holistically the alignment, correlation, and integration of programs and services with respect to accomplishment of core theme objectives.*

4.A.5 *The institution evaluates holistically the alignment, correlation, and integration of planning, resources, capacity, practices, and assessment with respect to achievement of the goals or intended outcomes of its programs or services, wherever offered and however delivered.*

4.A.6 *The institution regularly reviews its assessment processes to ensure they appraise authentic achievements and yield meaningful results that lead to improvement.*

Standard 4.B - Improvement

4.B.1 *Results of core theme assessments and results of assessments of programs and services are: a) based on meaningful institutionally identified indicators of achievement; b) used for improvement by informing planning, decision making, and allocation of resources and capacity; and c) made available to appropriate constituencies in a timely manner.*

4.B.2 *The institution uses the results of its assessment of student learning to inform academic and learning-support planning and practices that lead to enhancement of student learning achievements. Results of student learning assessments are made available to appropriate constituencies in a timely manner.*

Introduction

SFU's planning is focused on core themes, with specific objectives and clearly defined indicators of achievement for each theme. Plans are reviewed regularly; the data collected are analyzed and activities and practices undergo a qualitative review to ensure core theme objectives are being met. These reviews systematically apply evaluation procedures to appraise the relationship of institutional planning, resources, capacity, and practices to the core theme objectives. SFU disseminates its findings to its constituencies and uses assessment results to effect improvement.

Core Theme Planning

The Academic Plan, together with the Strategic Research Plan, and the Community Engagement Strategy, guides the academic development and activities at the heart of SFU's Vision/Mission.

Core Theme - Engaging Students - The Academic Plan 2013 – 2018

The Academic Plan, with its broad focus across academic activities, encompasses, to some degree, the three core themes: Engaging Students, Engaging Research, and Engaging Communities.

The University's priorities are to educate students, provide continuing opportunities to its communities to pursue learning over a lifetime, and contribute new knowledge for the common good

The Academic Plan provides the President and Vice-Presidents with a basis on which to allocate resources and assess performance. It also provides a broad, clear-yet-flexible, structure within which academic and operational supports can be positioned to achieve the University's goals. The allocation of most of SFU's human, financial, and physical resources is based on objectives set out in the Academic Plan. Although core theme goals are woven through all of SFU's major planning documents, they are most fully expressed and delineated in the Academic Plan.

The Academic Plan is central to the University's success in achieving its core themes and fulfilling its Vision/Mission. As such, its development is transparent and consultative, and communications during planning and implementation are widespread and detailed. Broad consultation ensures that the strengths and challenges of individual units are taken into account during the planning process. It also promotes understanding of the role each Faculty, department, school, or administrative unit must play in carrying out SFU's Vision/Mission and how each can contribute to achieving the Vice-President, Academic's strategic goals.

The Academic Planning Process

SFU's academic planning horizon is five years. The Senate Guidelines for Academic Plans²⁵⁹ sets out the timelines, content, and participants.

As a prelude to the planning exercise, the Vice-President, Academic and Deans assess the University's success in meeting the goals set out in the outgoing Plan, using data provided by the Office of Institutional Research and Planning (IRP).

The academic planning cycle at SFU begins with its Vision/Mission, its three core themes, and the fundamental theme. The Vice-President, Academic initiates the process by identifying key strategic issues and developing guidelines to direct the next planning cycle. These issues are discussed and agreed upon by the Deans' Council²⁶⁰ and further communicated at a number of venues. Planning continues through a sequence of "retreats" led by the Vice-President, Academic, in conjunction with the Deans, and presentations at 'town hall' meetings where staff, faculty, and students are welcome. In addition to the core themes' objectives, the Plan also includes a list of "Operational Activities and Strategic Planning Issues." Once consensus around academic goals and strategies is achieved, the Vice-President, Academic prepares a first draft of the Planning Guidelines and Academic Plan. The draft Plan informs the planning process within Faculties and academic departments.

Each academic unit prepares a five-year academic plan on the same schedule as the high level Academic Plan. Faculty and departmental plans take account of the goals and objectives identified in the draft Academic Plan, but do so with a more granular view that is commensurate with their direct involvement in delivering programs and services. Plans are structured around the institution's three core themes. The processes of Faculty and department planning often merge and overlap.

Academic departmental plans are reviewed by the Faculty Dean and are integrated into the Faculty's academic plan. Only Faculty plans are submitted to the Vice President, Academic.

Other inputs to the academic planning process include a review of the Canadian post-secondary environment, the provincial Ministry of Advanced Education's goals, the most recent academic unit external review report and resulting action plan, the Strategic Enrollment Plan, financial prospects, and the President's Agenda. All Faculty plans, as well as five-year plans for the Dean of Graduate Studies; the Dean of Lifelong Learning; and the Associate-Vice President, Student Services; are posted on the Vice-President, Academic's website.²⁶¹

The final, high-level, Academic Plan is presented to the Senate Committee on University

²⁵⁹

http://www.sfu.ca/content/dam/sfu/vpacademic/files/vp_academic_docs/pdfs/SENATE_GUIDELINES_Acad_plans_Rev_3.pdf

²⁶⁰ The Deans' Council includes the Deans of the eight academic Faculties, Graduate Studies, Lifelong Learning and the Library.

²⁶¹ www.sfu.ca/vpacademic/academic_planning/academic_plans/current_three_yearplans.html

Priorities (SCUP), Senate, and the Board of Governors for information.

The academic planning process is timed to produce information useful in carrying out the annual budgeting process.

Assessment and Improvement – Academic Planning.

Assessments of progress toward Plan objectives are carried out bi-annually. The Vice-President, Academic produces an overview of achievements relative to the Academic Plan, including the three core themes, and the Faculties and support units report on progress made in achieving the goals identified in their plans. The Vice-President, Academic's overview, and the Faculty and support unit progress reports are merged into a Consolidated Progress Report, which is discussed at the Deans' Council, the Senate Committee on University Priorities (SCUP), Senate, and the Board of Governors. This process ensures the plans remain relevant and focused on current demands; where necessary, the goals and objectives may be amended to better reflect the changing environment.

The Vice-President, Academic employs a number of operational indicators and key performance measures to assess and manage the activities reported on in the Consolidated Progress Report²⁶². In addition, other relative data are collected, analyzed, and published on the IRP website²⁶³.

✓ Increasing use of Metrics

Until a few years ago, SFU's assessment processes were primarily qualitative. Considerable work has been done over the past few years by the core theme teams to refine indicators and, through a suitable balance of quantitative and qualitative measures, to provide a clearer index of meaningful activity. This work continues and will expand throughout the accreditation process and in future planning documents. More quantitative metrics for each goal have been introduced in recent planning cycles, and the search continues for indicators that will help capture the full picture of institutional performance.

✓ Increasing use of Learning Outcomes

The use of learning outcomes is not common in Canadian institutions and requires a major shift within academic culture, particularly within British Columbia. Nevertheless, SFU has embarked on the significant task of identifying, assessing, and publishing learning outcomes for all its programs.

A working group, set up by the Vice-President, Academic, drafted principles to guide the development and implementation of learning outcomes and assessment across all courses, programs, degrees, Faculties, and the University. To be successful, these practices need to fit within SFU's existing curricular development and review processes. The engagement of

²⁶² https://www.sfu.ca/content/dam/sfu/vpacademic/files/vp_academic_docs/pdfs/2013-2018%20AcadPlanProg_Report.pdf

²⁶³ www.sfu.ca/irp.html

faculty in the change-management process, including wide and meaningful consultation, has been crucial to the successful implementation of learning outcomes.

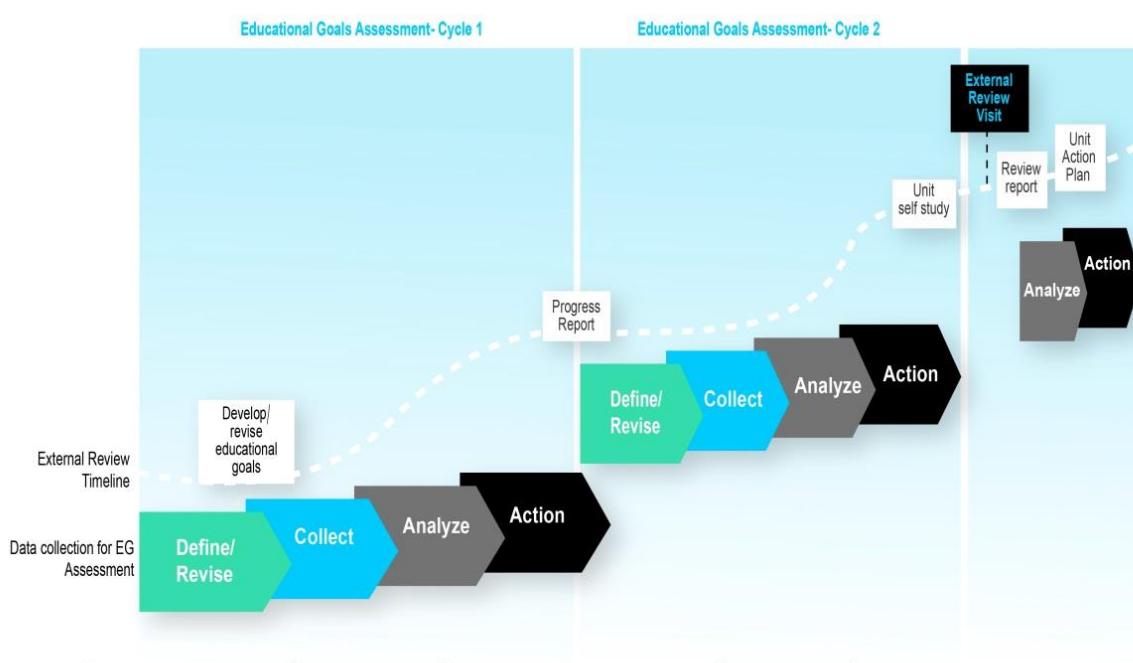
To date, Senate has agreed that program learning outcomes, called “educational goals” at SFU, are to be assessed during departmental external reviews. This process will evolve over time, allowing for significant review and assessment. The method adopted for integrating educational goals and assessment processes is best suited to SFU’s uniquely Canadian institutional culture, and holds true to the values of the University’s Vision/Mission. The initiative takes into account the importance of supporting SFU faculty and staff over the course of this cultural shift, and promotes the direct and positive benefits of implementing an outcomes and assessment approach.

The figure below shows the integration of educational goals data collection and assessment process with the External Review process.

Figure 12

October 15, 2013

<http://hadar.tlc.sfu.ca/edGoals/>



Independent of this initiative, many departments have adopted and assess learning outcomes for professional accreditation and pedagogical beliefs.

A fuller discussion on the introduction and progress being made in implementing learning outcomes can be found in the response to the Initial Candidacy Self Evaluation Report Recommendation 2 and Mid-Cycle Evaluation Report Recommendation 1.

✓ **External Reviews of Academic Units**

Senate has provided guidelines²⁶⁴ for the regular assessment of all academic units. These units are reviewed on a periodic basis, normally once every seven years. The purposes of such reviews are to enable units to:

- Assess their strengths and weaknesses.
- Obtain the view of external experts in the field.
- Support academic planning.

The review process is intended to ensure that:

- The quality of the unit's programs is high and there are measures in place for evaluation and revision of teaching programs.
- The quality of faculty research is high and that faculty collaboration and interaction provides a stimulating academic environment.
- Unit members participate in the unit's administration and take an active role in knowledge dissemination.
- The unit's environment is conducive to the attainment of the unit's objectives.

Among other data and analysis, the Guidelines stipulate that the unit self-study include a statement of educational goals (also known as “learning outcomes”) for each academic program (commencing with reviews in the spring term of 2014). It should also include an evaluation of the success of the unit in meeting the educational goals of its program(s), using methods and evidence selected by the academic unit (commencing with reviews scheduled for spring term of 2015). The evaluation should include evidence for student demand, access to courses, quality of teaching, educational experiences (including co-op and exchange opportunities), student academic achievement, scholarships and awards, student opinions of courses and programs, degrees and other credentials completed, and student experience and satisfaction following graduation. The Review Committee’s terms of reference (appendix D) are to ensure these educational goals are relevant, meaningful, and assessable and align clearly with the curriculum.

The External Review is conducted by three people external to the University, who are senior members of the discipline, some of whom have had administrative experience. The site visit is usually three days in length and the reviewers meet with faculty, staff, and students. An Action Plan is developed from the recommendations made by the Review Committee and this Action Plan is approved by Senate. The Unit is required to report to Senate after three and a half years on progress being made in implementation. Examples of an Action Plan and an Action Plan Update are attached as appendix E.

²⁶⁴ http://www.sfu.ca/content/dam/sfu/vpacademic/files/academic_planning/Senate_ER_Guidelines.pdf

Core Theme - Engaging Research - Strategic Research Plan (SRP)

Engaging Research drives much of SFU's scholarly activity. Knowledge generation and knowledge transfer through research are fundamental to SFU's Vision/Mission, and the advancement of excellence in research is one of the University's defining characteristics and core theme objectives. Research is a major instructional activity involving close work with both graduate and undergraduate students in a wide variety of research settings. Because students benefit significantly from direct exposure to, and participation in, research activity, SFU has made it an explicit goal to engage more undergraduate students in its research activities.

At SFU, research matters.²⁶⁵ As a core theme, research strengthens the success of SFU's other theme-related efforts. Multidisciplinary research collaborations are facilitated through research centres and institutes, and include many projects carried out jointly with business and industry, community organizations, and agencies in all levels of government.

SFU's Strategic Research Plan (SRP) guides the University in responding effectively to the changing research environment, and provides a platform for its participation in collaborative research-related initiatives. The document is also a means for promoting SFU's research strengths to government, community partners, and funding organizations.

The Strategic Research Planning Process (SRP)

In spring of 2015, the Office of Vice-President, Research began to take stock of SFU's research accomplishments, benchmark its research activities, and develop a transformative SRP for the next five years (2016-2020).

The success of the SRP depends on the participation of all members of the SFU research community and its external stakeholders.

The SRP planning process uses as its "touchstone" SFU's Vision/Mission: "*To be the leading engaged university defined by its dynamic integration of innovative education, cutting-edge research, and far-reaching community engagement*" and the specific goal identified for the core theme Engaging Research: "*To be a world leader in knowledge mobilization building on a strong foundation of fundamental research*" to delineate the scope of the SRP:

- *SFU will leverage its fundamental research strengths, including interdisciplinary research, close community connections, and partnerships and collaborations to become a global leader in research mobilization.*
- *SFU will support and promote the full continuum of research, from the fundamental generation of knowledge, through the dissemination of that knowledge within the academic community and beyond, to the application of transformative ideas for the benefit of society.*

²⁶⁵ www.sfu.ca/vpresearch/research+matters.html

- *SFU will promote research excellence, supporting and encouraging all researchers, including undergraduates, graduate students, faculty, staff members, and community partners who assist the research mission.*
- *SFU will seek opportunities to transfer the results of its research to the broader society, including policy-makers, civil society leaders, and the community.*

This process will result in an SRP that embodies the principles of SFU's Vision/Mission (academic and intellectual freedom, diversity, internationalization, respect for Aboriginal peoples and cultures, supportive and healthy work environment, and sustainability) and aligns with the Academic Plan, the Community Engagement Strategy, and Faculty and Departmental Plans.

The current planning process is providing SFU an opportunity to communicate its distinctive research excellence, and its research goals and objectives to internal and external audiences. A key element of the process involves collectively determining how SFU can best deliver on these goals while contributing to SFU's overall strategic Vision/Mission as an engaged university committed to enhancing the well-being of current and future generations.

Two phases are planned. The first phase, which has been completed, included institutional benchmarking, identifying all stakeholders, environmental scanning, and seeking initial input. The second phase is currently underway and includes consulting further with stakeholders, preparing a draft plan for comment, and then finalizing the plan for presenting to Senate and the Board of Governors, and for publication.

The Strategic Research Plan for 2016 - 2020 should be finalized by early 2016.

Assessment and Improvement - Strategic Research Plan

Research outputs are periodically evaluated in consultation with Faculty Deans, using metrics appropriate to the diverse array of research activities at SFU. Performance assessments are based on publications, conference proceedings, books, monographs, patents, government and public panel contributions, workshops, policy papers, artistic and cultural performances, exhibitions, other forms of research, and awards and distinctions. This task is accomplished by soliciting data from faculty through the Deans' offices once a year at the time of faculty salary review.

Research Performance Analysis

SFU has dedicated resources for monitoring its research performance across a spectrum of metrics by input, output, impact, and engagement. These metrics are monitored at various levels of detail, across academic units, research areas, and individual researchers. Through this exercise, SFU is able to identify its areas of research strength for new opportunities and strategic planning, and benchmark its performance against local and international peer institutions.

SFU has access to a suite of research analysis tools, including Elsevier's SciVal²⁶⁶ and Thompson Reuters' InCites,²⁶⁷ which provide world-wide publication metrics, suited for benchmarking

²⁶⁶ <https://www.elsevier.com/solutions/scival>

publication sets at highly sophisticated levels of analysis. These can measure the productivity, impact, and engagement of individual researchers, research groups, departments, and larger academic units, and the performance of the researchers within their field, world-wide, or by geographic location. The data are also used to identify SFU's closest global research partners, at the institutional and individual level, and the impact of those relationships.

Through this suite of tools, analysts can measure impact and collaboration while taking into account the diversity of research cultures across various disciplines. These analyses are performed regularly, and specific studies are carried out for major institutional research initiatives, departmental reviews, allocation of internal grants, and strategic planning for appointing Research Chairs.

Together with annual financial data from the Canadian Association of University Business Officers (CAUBO), grants data from major federal funding agencies, and data on invention and patents through the Association of University Technology Managers (AUTM), SFU monitors its position within the Canadian and global research and innovation landscape. These data are also used to assess the core theme of Engaging Research, strategic research planning, and for the seven-year cycle of external reviews for each academic department.

Core Theme - Engaging Communities - Strategic Community Engagement Action Plan 2015 – 2020 (SCEAP)

Background and Scope

With aspiration to be Canada's most community-engaged research university, SFU's first three-year Community Engagement Strategy was approved by the University's Board of Governors in 2013. It identified several areas of institutional priority with the purpose of increasing community access to SFU people, knowledge, and resources. These included:

- Expanding community connections as an integral part of the University's academic mission to create opportunities for practical and experiential learning and to inspire research;
- Developing partnerships to maximize the capacities of SFU's three campuses to enhance the social, economic, environmental, and cultural well-being of communities locally and globally;
- Cultivating respectful and mutually beneficial community relationships;
- Meeting the lifelong learning needs of students, alumni, and the community; and
- Establishing SFU as British Columbia's public square for enlightenment and dialogue on key public issues.

As the end of the initial term of SFU's 2013 – 2015 Community Engagement Strategy is reached, the University has seen significant growth in student, research, and community-engaged planning and activity across university disciplines, departments, campuses, and communities. Advancements in SFU's Academic Plan and Strategic Research Plan have

²⁶⁷ <http://researchanalytics.thomsonreuters.com/incites/>

resulted in increasingly robust engagement planning that contributes to the “Engaged University” vision. This growth in engagement across and between SFU and its communities is an opportunity to build on initial priorities through an institution-wide Strategic Community Engagement Action Plan (SCEAP). The SCEAP will define the networks and mechanisms through which community engagement could best be supported at SFU.

As a highly decentralized organization with community engagement initiatives throughout the University’s three distinctive campuses, across its 30,000 students, 6,500 faculty and staff, and 120,000 alumni, and between SFU and the communities it serves, the planning process must ensure that the final plan reflects the values of SFU’s vast group of stakeholders.

- **The SCEAP Planning Process**

- **Phase One (September 2015 – December 2015)**

Identification of Stakeholders and Initial Situation Analysis

- Identify key SFU stakeholders
- Identify key community member/group stakeholders
- Situation analysis – Macro-environmental scan including initial measurement and benchmarking

- **Phase Two (January 2016 – April 2016)**

Consultation and Identification of Opportunities and Issues

- Identify SFU department and campus Community Engagement (CE) needs, strengths, and weaknesses
- Identify community CE needs, strengths, and weaknesses
- Identify CE opportunities and challenges in the region(s) that SFU serves
- Identify CE critical success factors
- Identify possible new CE strategies to leverage strengths and minimize weaknesses
- Determine the objectives vital to successful CE at SFU and within the community

- **Phase Three (May 2016 – August 2016)**

Synthesis of Inputs and Sharing

- Prepare written SCEAP including strategy, priorities, and action plan/programs
- Share results with stakeholders, SFU President’s Office, and SFU Board of Governors

- **Phase Four (September 2016 – December 2020)**

Approval, Collective Implementation, Plan Monitoring and Review, and Iterative Plan Revisions

Core Theme Assessment

Determination of “Mission Fulfillment” is directly related to an assessment of each of the core themes, as well as the fundamental theme, which ensures the University can maintain all its functions.

The University Planning Committee (UPC) initially identified between one and four indicators of achievement for each theme, which were included in the University Planning Framework. The review of each theme is done by Theme Teams, each led by an Associate Vice-President. The three core themes and the fundamental theme are assessed both qualitatively and quantitatively by the appointed Theme Team. The metrics associated with each identified indicator are assessed against targets, where targets have been identified, or for having a positive trend.

Each Theme Team produces a written report justifying its determination of institutional performance for the theme. Theme Teams also comment on the effectiveness and reliability of the indicators in measuring performance and propose new indicators if deemed necessary. These proposals are considered by the UPC and recommended to the President and Vice-Presidents for approval and adoption. Once approved, the indicators are included in the updated University Planning Framework. This process is depicted in the diagram below. Theme Teams also comment on ways to improve institutional performance.

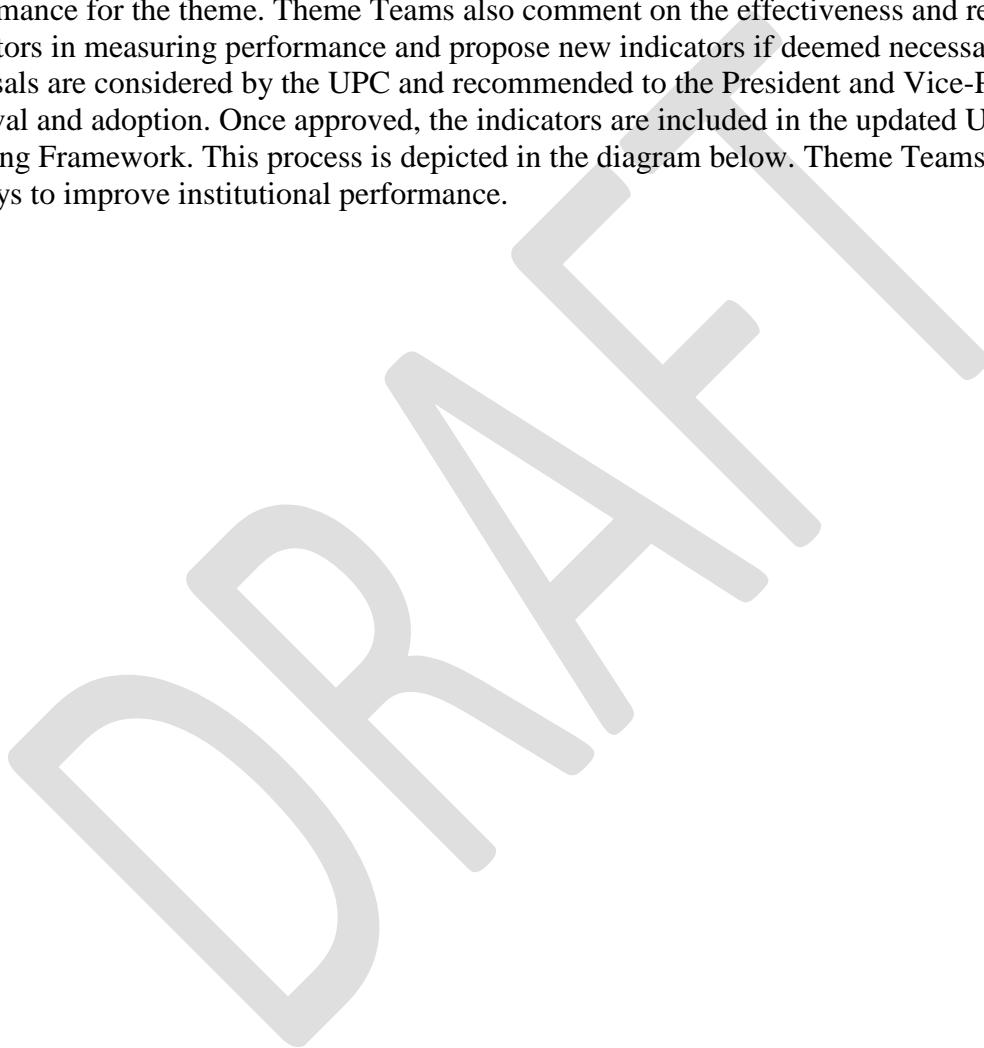


Figure 13: Process for Updating the SFU Planning Framework

Theme Team Reporting

During 2014, the Theme Team responsible for the core theme, “*Engaging Students*,” conducted a full assessment of the theme to meet the NWCCU Mid-Cycle Report requirements. Other Theme Teams assessed indicators of their themes only. The resulting recommendations were approved by the President and Vice-Presidents and published in the University Planning Framework. These assessments were included in the Mid-Cycle Report.²⁶⁸

For this Comprehensive Self Evaluation Report, all Theme Teams; including the Theme Team for the fundamental theme, which ensures capacity and resources are available to achieve the core theme outcomes; were tasked with doing a full assessment by September 2015. Their reports (appendix A) included recommendations for a new outcome and a number of new indicators. These are included in the assessment discussion below. The Theme Team assessments were synthesized into a single overarching document, the SFU Strategic Review.

The SFU Strategic Review has been discussed at various forums, including the President and Vice-Presidents group, the Deans, the Board of Governors, and the Senate. It is now on the web.

Following are summaries of the determination made by each Theme Team and their proposed recommendations for improving the Planning Framework. These recommendations were reviewed by the University Planning Committee and approved by the President and Vice-Presidents for incorporation into an updated version of the University Planning Framework.

²⁶⁸ https://www.sfu.ca/content/dam/sfu/vpacademic/files/academic_planning/MidCycleSelfEvalRpt.2014Sept.pdf

Core Theme Performance – Engaging Students

Goal

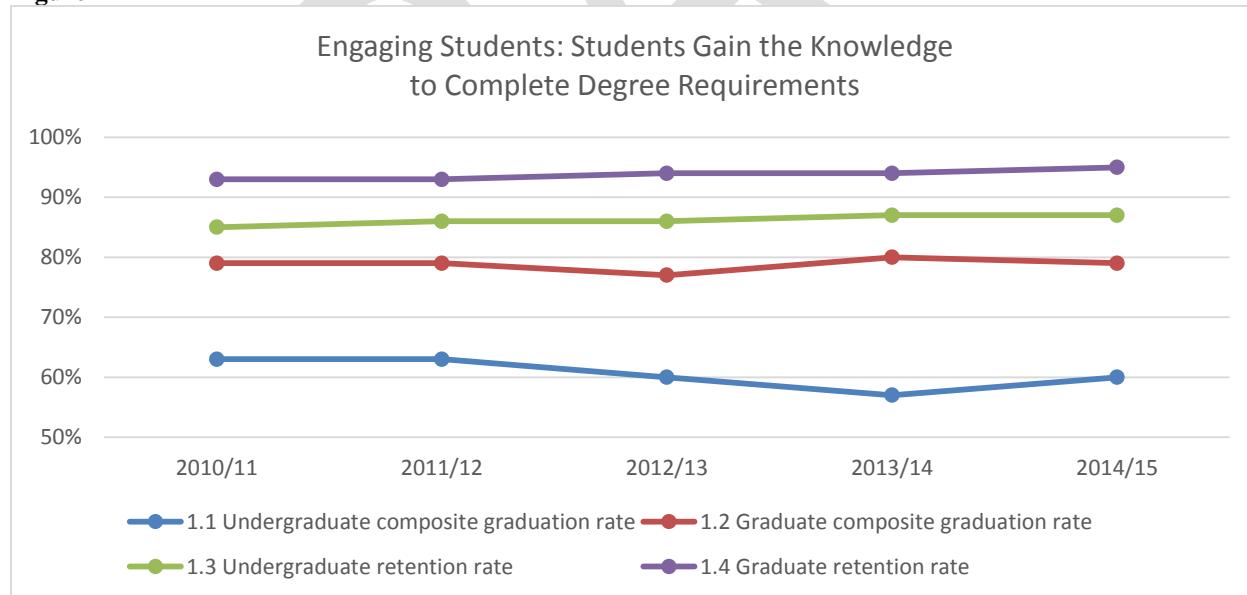
To equip SFU students with the knowledge, skills, and experiences that prepare them for life in an ever-changing and challenging world.

Outcome 1 – Students Gain the Knowledge to Complete Degree Requirements

Table 8

Outcome	Indicator	2010/11	2011/12	2012/13	2013/14	2014/15
Students gain the knowledge to complete degree requirements.	1.1 Undergraduate composite graduation rate (%) (6-year graduation rate) for degree programs	63%	63%	60%	57%	60%
	1.2 Graduate composite graduation rate (%) (6-year for master's programs, and 8-year for doctoral programs)	79%	79%	77%	80%	79%
	1.3 Undergraduate retention rate (%) (year 1 to year 2)	85%	86%	86%	87%	87%
	1.4 Graduate retention rate (%) (year 1 to year 2)	93%	93%	94%	94%	95%

Figure 14



Indicators #1.1 to 1.4 Graduation and Retention Rates

Since 2010/11, the composite graduation rate for both graduate and undergraduate students has remained relatively stable with little fluctuation. SFU's composite undergraduate graduation rate is over a six-year time frame (indicator definition), recognizing that for students to take advantage of the many co-operative education and field school opportunities SFU offers,

students will often take longer than the traditional four years to complete their degree. While keen to ensure timely credential completion, SFU knows the importance of students graduating with the real-world work experience that its various integrated learning programs offer.

Retention rates in both the graduate and undergraduate levels are strong and show a steady increase year over year. SFU has put considerable effort into increasing its retention rate of undergraduate students and recent data support this.

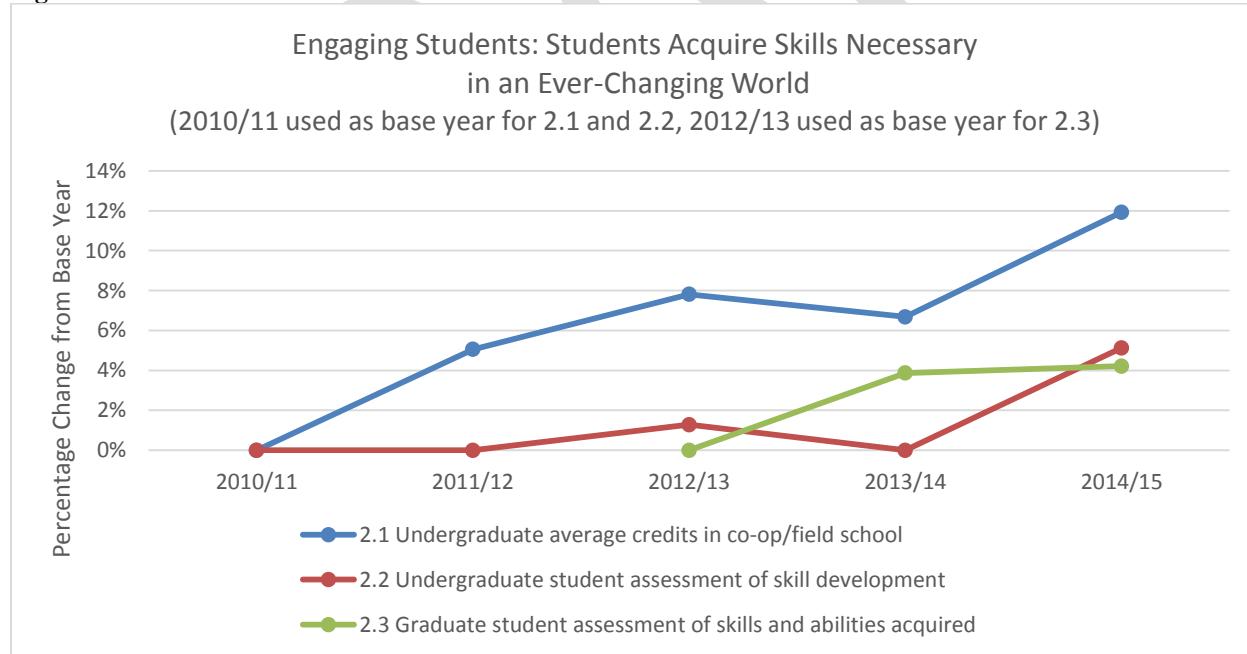
Outcome 2 – Students Acquire Skills Necessary in an Ever-Changing World

Table 9

Goal: To equip students with the knowledge, skills, and experiences that prepare them for life in an ever-changing and challenging world.

Outcome	Indicator	2010/11	2011/12	2012/13	2013/14	2014/15
Students acquire skills necessary in an ever-changing world.	2.1 Undergraduate average credits in co-operative education and field schools per graduating student	7.77	8.17	8.38	8.29	8.70
	2.2 Undergraduate student assessment of skill development (average %), as measured by the BC Baccalaureate Graduate Survey	78%	78%	79%	78%	82%
	2.3 Graduate student assessment of skills and abilities acquired during graduate program, as measured by the SFU Graduate Exit Survey	-	-	88%	91%	92%

Figure 15



Indicator #2.1 Average Credits in Experiential Learning (Co-op and Field Schools)

The data clearly show an upward movement in relation to credits earned in experiential learning. This supports SFU's increasing commitment to this education model. The document

A *Degree of Experience*²⁶⁹ encapsulates the breadth and depth of these experiential learning opportunities, which continue to grow at SFU to meet high student demand. In particular, growth of co-operative education is a response to faculty and student demand at both the undergraduate and graduate levels.

Indicators #2.2 and majority 2.3 Student Assessment of Skill Development and Abilities Acquired

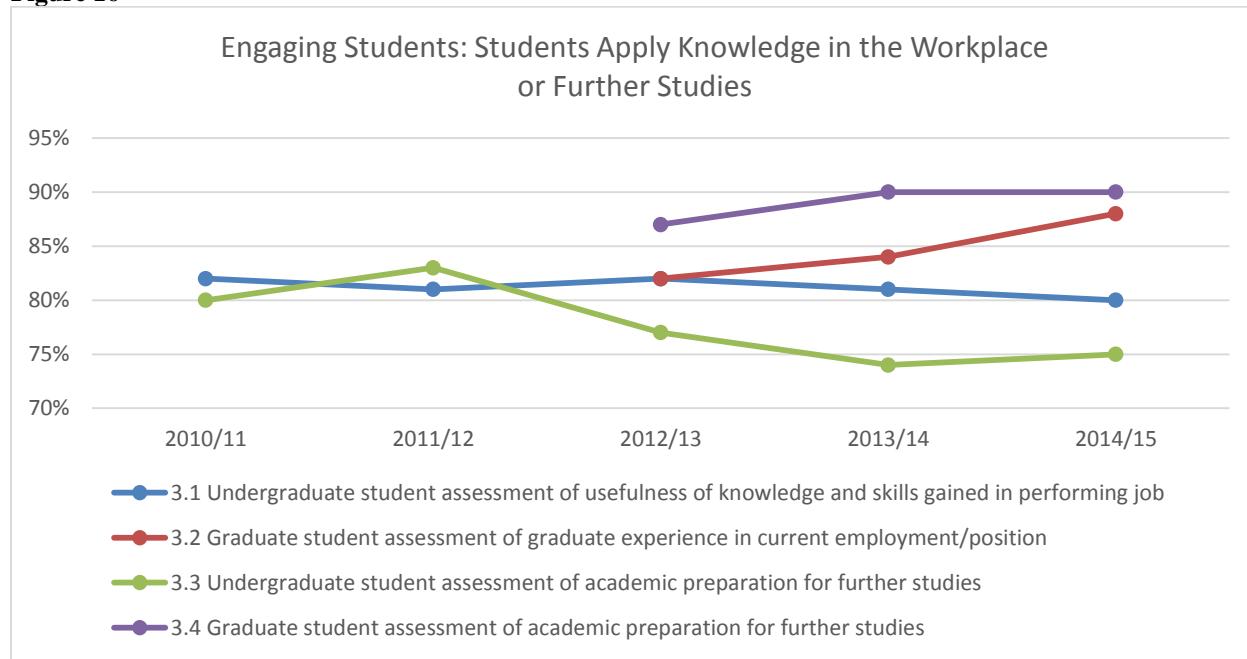
National, provincial, and SFU's own student surveys indicate that students are strongly satisfied with their education experience at SFU. The data show an increase in this indicator over the five-year period reported. Students are satisfied with the quality of education they are receiving, which includes their communication skills (written, oral, and interpersonal co-operation), as well as their analytical and learning skills. Data from graduate students have been collected for only three years.

Outcome 3 – Students Apply Knowledge in the Workplace or Further Studies

Table 10

Outcome		Indicator	2010/11	2011/12	2012/13	2013/14	2014/15
Students apply knowledge in the workplace or further studies.	3.1	Undergraduate student assessment of usefulness of knowledge and skills gained in performing job, as measured by the BC Baccalaureate Graduate Survey	82%	81%	82%	81%	80%
	3.2	Graduate student assessment of graduate experience in current employment/position, as measured by the SFU Graduate Exit Survey	-	-	82%	84%	88%
	3.3	Undergraduate student assessment of academic preparation for further studies, as measured by the BC Baccalaureate Graduate Survey	80%	83%	77%	74%	75%
	3.4	Graduate student assessment of academic preparation for further studies, as measured by the SFU Graduate Exit Survey	-	-	87%	90%	90%

²⁶⁹ http://www.sfu.ca/content/dam/sfu/wil/DegreeofExperience_Mar_30_12.pdf

Figure 16

Indicator #3.1 and 3.2 Student Assessment of Usefulness of Knowledge and Skills Gained in Performing Job

National, provincial, and SFU's own surveys indicate that a high percentage of students have found their education at SFU to be useful or somewhat useful in their work/employment. Skills associated with critical analysis and independent learning were rated the highest (89%). Communication skills, reading and comprehending material, writing clearly and concisely, and verbally expressing opinions or ideas, were also highly rated.

Indicators #3.3 and 3.4 Student Assessment of Academic Preparation for Further Studies

National, provincial, and SFU's own surveys indicate that students feel well prepared to undertake further academic studies. Similar to the results showing that students believe the analytical and communication skills learned at SFU helped them in the work settings, the results show that students believe these same skills are preparing them for further academic studies.

Recommendations

The Engaging Students Theme Team did not propose any recommendations for improving or altering the current list of indicators. The Theme Team is content with the indicators in this Report. However, they have proposed improvements to the activities measured by the indicators. A detailed list of these initiatives can be found in the full Theme Team report (appendix A).

Conclusion – Core Theme - Engaging Students

Overall, SFU is making satisfactory progress on its core theme of Engaging Students. In addition to the information collected related to SFU's indicators, there is considerable evidence from institutional, provincial, and national student surveys to substantiate the claim. Given that the majority of the indicators have shown an upward trend, SFU is confident stating that it is fulfilling this goal's objective.

Core Theme Performance - Engaging Research

Goal

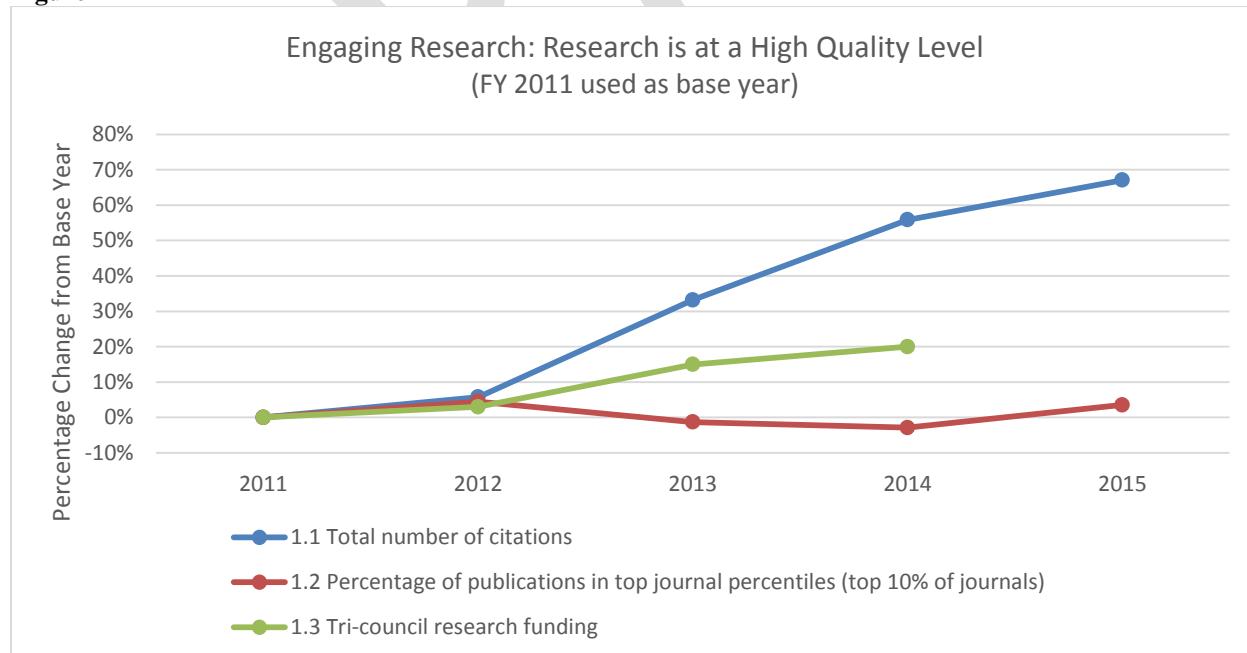
To be a world leader in knowledge mobilization building on a strong foundation of fundamental research.

Outcome 1 – Research is at a High Quality Level

Table 11

Outcome	Indicator	2011	2012	2013	2014	2015	Targets		
							2016	2017	2018
Research is at a high quality level.	1.1 Total number of citations	39,036	41,286	51,990	60,832	65,210	69,122	73,270	77,665
	1.2 Percentage of publications in top 10% journals	31.2%	32.6%	30.8%	30.3%	32.3%	32.6%	32.9%	33.2%
	1.3 Tri-Council research funding	\$35.3M	\$36.2M	\$40.4M	\$42.0M	\$43.7M	\$45.4M	\$47.3M	n/a

Figure 17



Indicator #1.1 – Total Number of Citations

It is standard practice by world university ranking systems, journals, and the field of bibliometrics, to rely on the total number of citations for research publications as a measure of research impact. In the latest QS World University Rankings (2015/16), SFU is ranked #2 in Canada and #66 in the world for the number of citations per faculty. SFU is consistently ranked among Canada's top research universities for research impact in various ranking systems, including Times Higher Education, Re\$earch Infosource, and *Maclean's* magazine.

The total number of citations per year for SFU research publications, obtained through Thomson Reuters' *InCites*, has been steadily rising. From 2010/11 to 2014/15, SFU has increased its number of citations by 67%, which suggests that SFU research is steadily gaining greater impact each year. Projected targets have SFU reaching a nearly 100% increase in citations by 2017/18 from 2010/11. SFU is *on course* with respect to this indicator, is achieving its target, and fulfilling its objective.

It should be noted that bibliometric data for Social Sciences, Arts and Humanities are known to be problematic, as books and monographs are poorly represented in major databases of abstracts and citations, such as *Web of Science* and *Scopus*. SFU is currently in discussion with several data providers to address this gap, and will look for alternative metrics better suited to research fields not well represented by citation data.

Indicator #1.2 – Percentage of Publications in Top Journal Percentiles (Top 10% of Journals)

In addition to citation count of publications, the primary indicator of research impact, the quality of scientific research and scholarship can be captured by the quality, reputation, and competitiveness of the journals in which the articles are published. For this indicator, the percentage of SFU articles published in 2015 within the top 10% of journals in fields where SFU research is active is 32%, while the Canadian, American, and European averages for the same year are 29.8%, 29.8%, and 24.6% respectively.

Over the last five years, between 28 – 33% of SFU's research publications have been considered by expert peer-reviewers to be among the top in their field (top 10% journals), and an average of 17% of SFU's publications appeared in the very best journals (top 5% journals). These data suggest that SFU is *on course* with respect to this research quality indicator. The University's three-year targets are set with the view that SFU will maintain its share of top-quality publications at comparable levels.

Indicator #1.3 – Tri-Council Research Funding

In Canada, the Tri-Council Agencies²⁷⁰ are the core source of operating federal funding for research, and account for an average of 28% of total research funding in Canada.²⁷¹ Because

²⁷⁰ The Tri-Council Agencies: the Canadian Institutes of Health Research (CIHR), the Natural Sciences and Engineering Research Council of Canada (NSERC), and the Social Sciences and Humanities Research Council (SSHRC)

²⁷¹ This average is calculated based on a five-year period, obtained through Financial Reports published annually by the Canadian Association of University Business Officers (CAUBO): www.caubo.ca

quality assessment is built prominently into Tri-Council funding competitions, success in Tri-Council research funding can be used as an indicator of research quality.

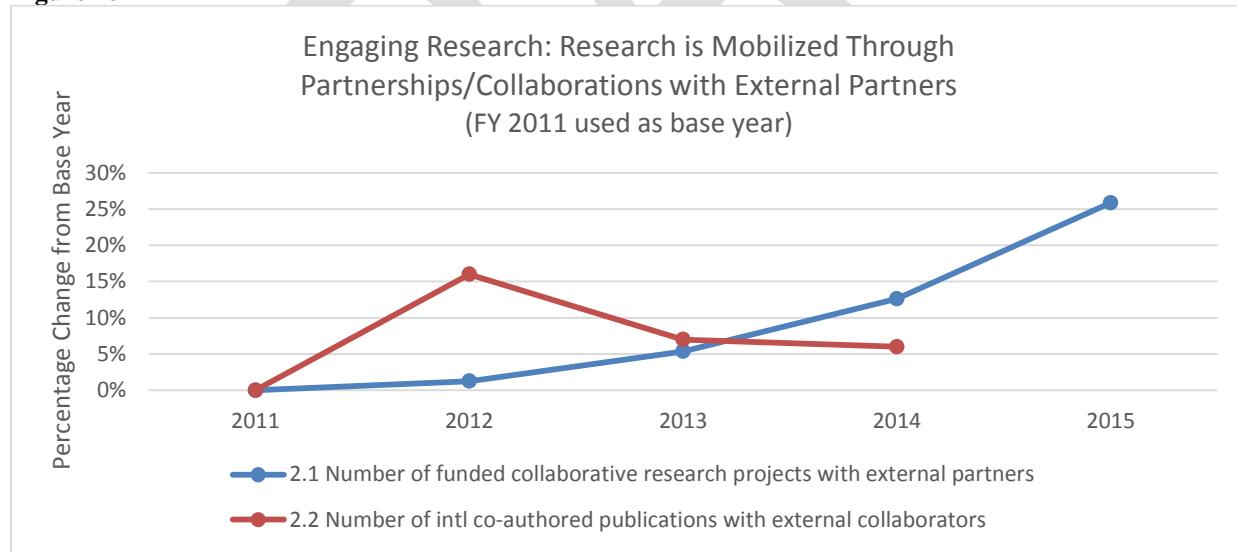
Considering the relatively flat federal budget allocated to the Tri-Councils in recent years, steep increases to the University's research income through the Tri-Councils are unlikely. While SFU expects to see a continued growth in research funding, Tri-Council targets for the next three years are set at a growth rate of 4%. With respect to this indicator, SFU met its \$42 million Tri-Council funding target for 2014, is *on course*, and fulfilling its objective.

Outcome 2 – Research is Mobilized Through Partnerships/Collaborations with External Partners

Table 12

Goal: To be a world leader in knowledge mobilization building on a strong foundation of fundamental research.										
Outcome	Indicator	2011	2012	2013	2014	2015	Targets			
							2016	2017	2018	
Research is mobilized through partnerships/collaborations with external partners.	2.1	Number of funded collaborative research projects with external partners	317	321	334	357	399	415	432	449
	2.2	Number of co-authored publications with external collaborators	intl-979 natl-412 corp-34	intl-1139 natl-411 corp-37	intl-1064 natl-355 corp-40	intl-1039 natl-395 corp-45	intl-1081 natl-411 corp-48	intl-1124 natl-427 corp-51	intl-1169 natl-444 corp-54	tbd

Figure 18



Indicator #2.1 – Number of Funded Collaborative Research Projects with External Partners

SFU is increasing its number of research partnerships and engaging the broader community with a higher number of collaborations each year. Targets for the next three years are set with the expectation that SFU will engage with a higher number of research partnerships every year.

SFU in *on course* with respect to this indicator, and is fulfilling its objective.

Indicator #2.2 – Number of Co-Authored Publications with External Collaborators

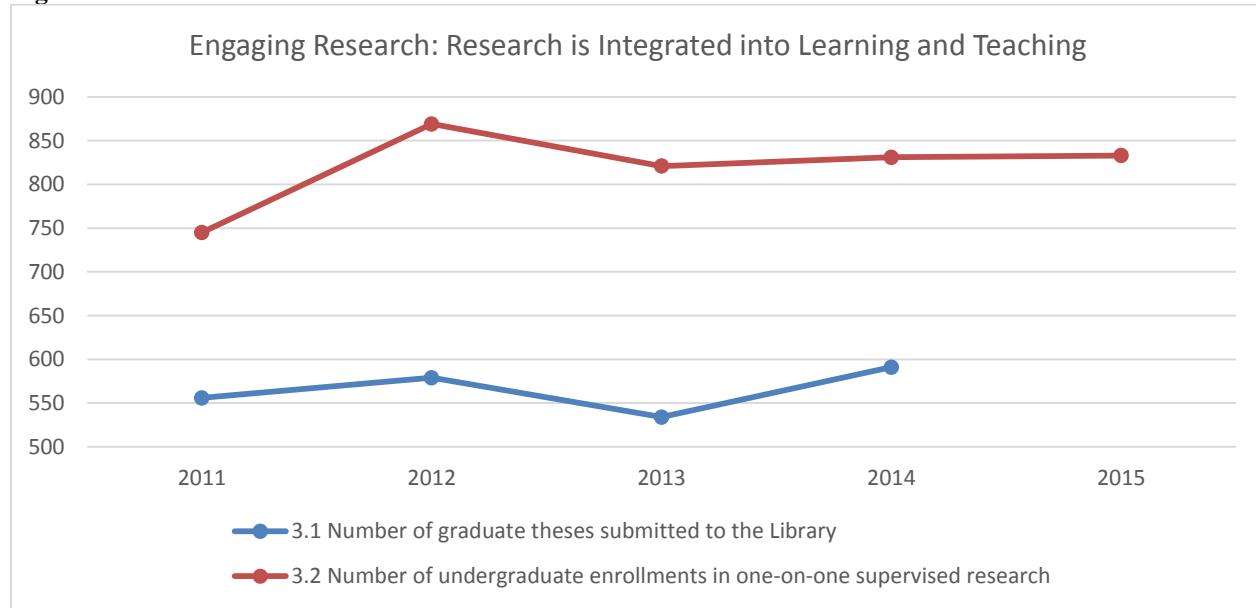
This indicator shows the number of publications in which an SFU researcher has at least one co-author from an external organization outside of Canada (international), in Canada (national), or with a corporate organization (academic-corporate). The Theme Team Report provides a more detailed breakdown of the data along the listed dimensions: number of international collaborations (intl), number of national collaborations (natl), and number of academic-corporate collaborations (corp), whereas figure 5 shows only the percentage change of the number of international publications.

The trend for national co-authored publications follows that of the international, but at a lower level. The corporate co-authored publication number is steadily rising, but is smaller overall than the other two. In general, the trend remains relatively steady for this indicator and, when considered alongside the steady upward trend of the previous indicator (Number of Funded Collaborative Research Projects with External Partners), it shows SFU to be an institution that actively seeks collaboration around the globe. With respect to this indicator and Outcome 2, SFU is *on course* and achieving its targets in mobilizing research collaborations with external partners.

Outcome 3 – Research is Integrated into Learning and Teaching

Table 13

Strategic Goal: To be a world leader in knowledge mobilization building on a strong foundation of fundamental research.										
Outcome	Indicator	2011	2012	2013	2014	2015	Targets			
							2016	2017	2018	
Research is integrated into learning and teaching.	3.1	Number of graduate theses submitted to the Library	556	579	534	591	596	604	612	n/a
	3.2	Number of undergraduate enrollments in one-on-one supervised research	745	869	821	831	833	835	837	840

Figure 19

Indicator #3.1 – Number of Graduate Theses Submitted to the Library

This indicator shows the level of student engagement in research at SFU. It is important to note that both doctoral and master's level theses are included in this measurement, which the University believes gives a more accurate representation of the scope of research occurring at all levels of the institution.

The total number of graduate thesis submissions at SFU has grown approximately 6% over the last four years. This relatively modest increase is partly due to the provincial government scaling back on its support for graduate students. This scaling back prompted the University's graduate programs to reduce graduate admission targets. Targets are included in the Theme Team Report (appendix A).

With respect to indicator 3.1, SFU is *on course* and on target with graduate thesis submissions, although the Theme Team believes this indicator may be revised as more data on graduate student publications become available.

Indicator #3.2 – Number of Undergraduate Enrollments in One-On-One Supervised Research

Undergraduate students at SFU are immersed in a supportive environment for research and experiential learning. They engage with faculty-directed research projects through seminars, tutorials, co-op semesters, and other volunteer opportunities that stimulate their curiosity in research.

The number of undergraduate student enrollments in research activities with direct supervision has remained very stable in the last three years. As these training activities are highly resource-intensive for faculty researchers, an increase in the number of undergraduate enrollments in supervised research would require increased incentives for faculty members. This issue

remains a topic for further discussion, as SFU develops a strategy to increase the research engagement of senior undergraduate students.

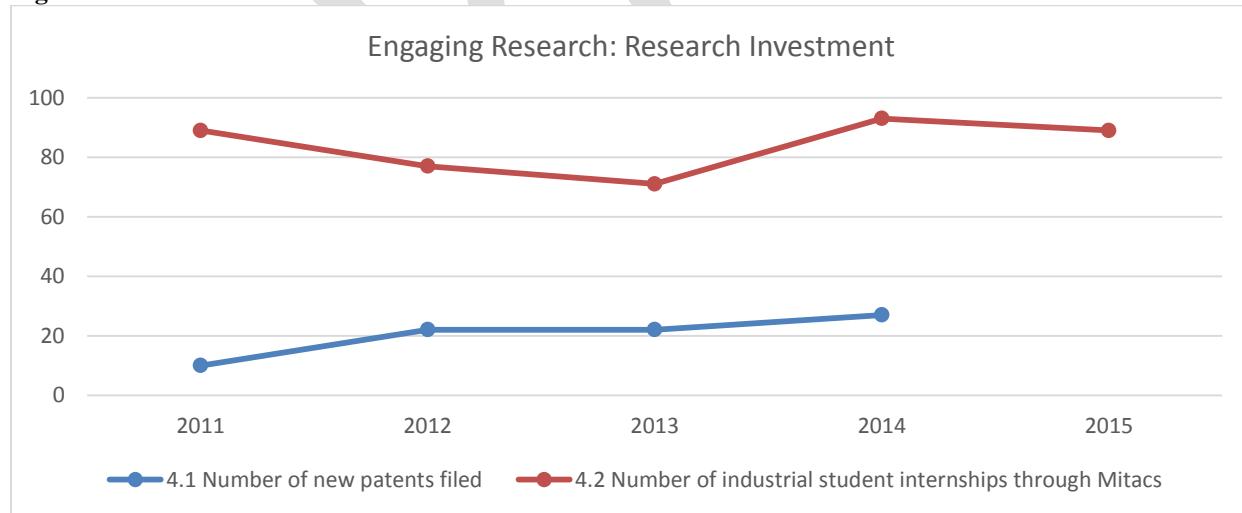
The University expects to maintain the number of undergraduate enrollments in dedicated research activities at a comparable level over the next three years.

Outcome 4 – Research Investment is Leveraged to Drive Innovation and Transfer of Technology for the Benefit of Society and the Economy

Table 14

Outcome	Indicator	2011	2012	2013	2014	2015	Targets		
							2016	2017	2018
Research investment is leveraged to drive innovation and transfer of technology for the benefit of society and the economy.	4.1	Number of new patents filed	10	22	22	27	28	29	30
	4.2	Number of industrial student internships through Mitacs	89	77	71	93	89	92	100

Figure 20



Indicator #4.1 – Number of New Patents Filed

This indicator provides the number of new patents filed each year through the SFU Innovation Office. While these numbers may not reflect all patents filed each year due to SFU's flexible Intellectual Property Policy, the data are indicative of innovation activities at SFU and provide a sound metric for this outcome.

The number of new patents filed each year shows a positive trend and the data show that SFU is *on course* with respect to new patents. It is expected that this trend will continue as SFU formalizes its innovation agenda over the next few years.

Indicator #4.2 – Number of Industrial Student Internships through Mitacs

Mitacs is a Canadian not-for-profit organization that supports research internships across academia and industry, with the goal of facilitating innovation. Mitacs internships go to graduate students and post-doctoral fellows and are, in effect, a partnership between the University and industry.

The number of Mitacs internships has ranged from 71 in 2013 to 93 a year later. The low point in 2013 was due to internal program restructuring at Mitacs. Overall, the value of Mitacs awards has increased significantly, a sign of the success of both Mitacs and SFU graduate programs. As suggested by this indicator, SFU graduate programs are supporting innovation in research through Mitacs partnerships, and this trend is expected to continue.

Recommendations

The Engaging Research Theme Team has made a number of recommendations, including the addition of a new outcome with two corresponding indicators, and one new indicator for each of its other three outcomes.

New Outcome (Outcome 4)

The Theme Team has recommended a new outcome with two corresponding indicators. This outcome, *Research investment is leveraged to drive innovation and transfer of technology for the benefit of society and the economy*, indicates that innovation is a major component of SFU's research portfolio. Its corresponding indicators, "number of new patents filed," and "number of industrial student internships through Mitacs," provide measurable benchmarks of SFU's influence in innovative and entrepreneurial endeavours.

New Indicators

For Outcome 1, *Research is at a high quality level*, the Theme Team added a new indicator, "percentage of publications in top journal percentiles," which provides a metric for benchmarking the quality of SFU's research relative to Canada, USA, and Europe.

For Outcome 2, *Research is mobilized through partnerships/collaborations with external partners*, the Theme Team added a new indicator, "number of co-authored publications with external collaborators," which provides a concrete measure of SFU's engagement in research with collaborators across multiple levels: national, international, and corporate.

For Outcome 3, *Research is integrated into learning and teaching*, the Theme Team added a new indicator, "number of undergraduate enrollments in one-on-one supervised research." The Theme Team notes that active participation of undergraduate students in research demonstrates the University's integration of research into learning and teaching.

Conclusion Core Theme – Engaging Research

The outcomes and indicators laid out in this core theme strongly support SFU's position as one of Canada's top research-intensive universities, set to become a global leader in knowledge mobilization. The indicators address SFU's high quality of research, its far-reaching collaborations and engagement with external partners, its integration of research into training programs for students at all degree levels, and its strategy for innovation and transfer of technology. As the data illustrate, SFU is *on course* and meeting its research targets, and is set to expand its research enterprise along all of the above dimensions as it continues to fulfill the University's Vision/Mission.

Core Theme – Engaging Communities

Goal

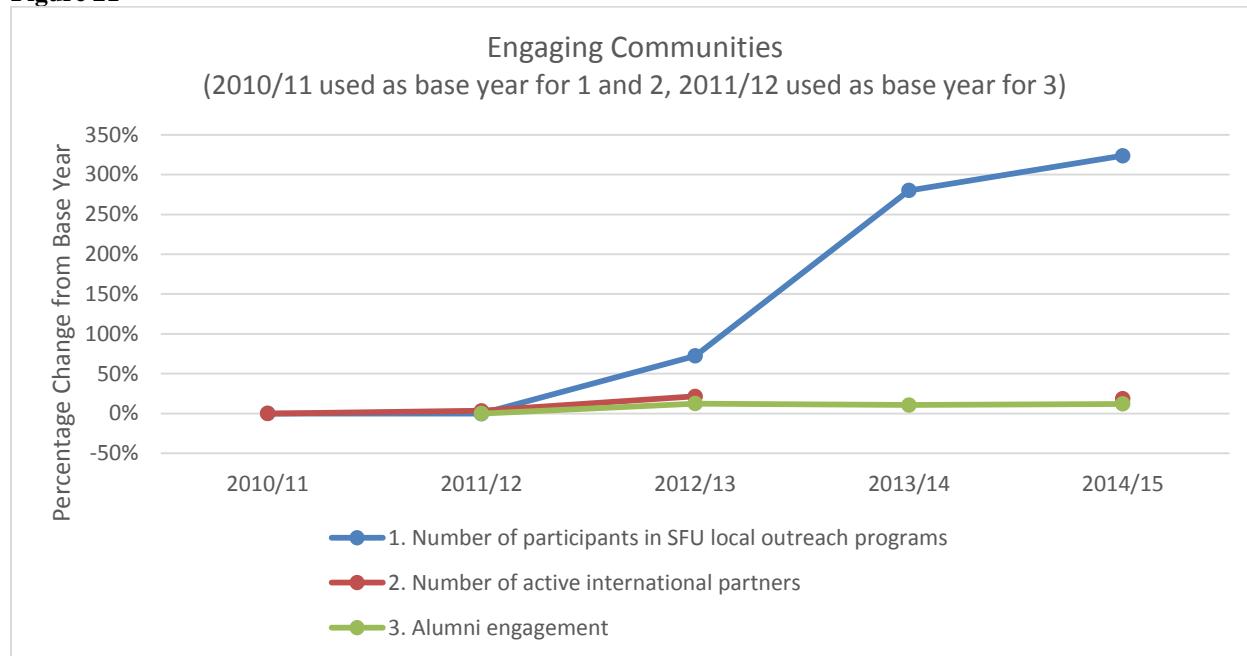
To be Canada's most community-engaged research university.

Outcomes

Table 15

Goal: To be Canada's most community-engaged research university.							
Outcome	Indicator		2010/11	2011/12	2012/13	2013/14	2014/15
SFU is engaged locally.	1.	Number of participants in SFU local outreach programs	13,905	13,879	23,953	52,834	58,901
SFU is engaged globally.	2.	Number of active international partners	177	183	215	not available	210
SFU is engaged with its alumni.	3.	Alumni engagement score ²⁷²	-	1.04	1.17	1.15	1.16

²⁷² Every contactable alumnus is assigned a score based on his/her level of alumni engagement as follows: Informed (1), Involved (2), and Invested (3). The alumni engagement score is the sum of all points divided by the total number of contactable alumni (tentative). Source: University Planning Framework

Figure 21

Indicator #1 – Number of Participants in SFU Local Outreach Programs

SFU has a strong tradition of community and continuing education programming, evident in the increasing number of participants in its outreach programming over the five years reported. The University's Public Square and Science outreach initiatives have been especially successful. The large jump in outreach participation from 2012/13 to 2013/14 correlates with the release of SFU's Community Engagement Strategy²⁷³ in early 2013.

As the Community Engagement Strategy is reviewed and improved in 2016, SFU is confident that participation in its community outreach programs will remain vibrant and that the programs will continue to increase in popularity. Currently, this indicator is *on course* and fulfilling its objective.

Indicator #2 – Number of Active International Partners

SFU is committed to international exchange and partnerships. The dual-degree computing science program with Zhejiang University in China, launched in 2005, is of particular note. This program was one of the first of its kind worldwide and has served as a model for many institutions around the globe.

Currently, SFU has close to 210 partnership agreements with other universities, including bilateral exchange agreements, consortia exchange relationships, inbound study-abroad relationships, collaborative degrees, field schools, and many other projects and programs. In the five years measured, these agreements have increased by approximately 19%. With respect to this indicator, although no data is available for 2013/14, the University appears to be *on course* and fulfilling its objective.

²⁷³ <https://www.sfu.ca/engage/strategy.html>

Indicator #3 – Alumni Engagement Score

SFU and the Alumni Association established a strategic vision for alumni engagement in 2011/12 with five distinct goals:

1. Build partnerships to expand and strengthen alumni engagement.
2. Improve our knowledge of alumni for more personalized engagement.
3. Provide programs and services that help alumni learn, grow, and succeed.
4. Provide opportunities for alumni to help students learn, grow, and succeed.
5. Foster a culture of engagement among students, our future alumni.

To measure the level of success in attaining these goals and their contribution to the University's overall Vision/Mission, the University has adopted a measurement/alumni engagement score. This measurement shows an initial jump from the first year to the second and a leveling off in years three and four.

While the measurements for this indicator have remained steady for the last three years, currently, this indicator is *on course* and fulfilling SFU's Vision/Mission,

Recommendations

The Engaging Communities Theme Team is satisfied with the indicators being used to measure community engagement. However, the Team has recommended improvements regarding the activities captured by each of the indicators. It suggests the University add several additional programs to better represent the breadth of community outreach and engagement, which will further support growth in Indicator 1. For Indicator 2, the Team recommends that SFU International²⁷⁴ include a measurement of partnership depth, in addition to the total number of partnerships. For Indicator 3, the Team currently does not have any recommendations.

Conclusion – Engaging Communities

Currently, the indicators for this theme are *on course* and moving in a positive direction. Given the changing methodology for calculating the indicators, the rapid growth of activities, and the uncertainty of continued external funding, the Theme Team does not recommend establishing aspirational targets. The implementation of targets could be reviewed at the next mid-term review. In future years, the current indicators could be modified if a university-wide event registration system being implemented in 2015/16 continues, and if there is the opportunity to include questions as part of an online faculty curriculum vitae system.

In 2016, the University will establish a process to renew the Community Engagement Strategy, especially in light of integrative initiatives in Engaging Students and Engaging Research (see the Engaging Communities Theme Team Report in appendix A for the proposed process and timeline). The Vice-President, Research is currently investigating what infrastructure is necessary to support community-based research and innovation.

²⁷⁴ <http://www.sfu.ca/international.html>

Fundamental Theme - Leveraging Institutional Strength

Goal

To become financially flexible by continuously improving our administrative systems and strengthening our infrastructure and to engage the best people.

Outcomes

Table 16

Goal: To become financially flexible through continuous improvement of administrative systems, strengthening of infrastructure, and recruitment and retention of the best people.		2010/11	2011/12	2012/13	2013/14	2014/15
Outcome	Indicator					
SFU is financially sound.	1. Net operating assets as a % of consolidated revenues	7%	6%	4%	4%	3%
SFU has IT services that support its priorities.	2. Joint availability of core services	n/a	n/a	n/a	99.84	99.97
SFU attracts and retains the best people.	3. Canada's Top 100 Employers	Yes	Yes	Yes	Yes	Yes
SFU has facilities that meet its needs.	4. Facilities Condition Index	-	-	0.43	0.47	0.53

Indicator #1 - Net Operating Assets as a Percentage of Consolidated Revenues

With the introduction of new accounting standards and the careful management of reserve levels, this indicator has dropped from its high point in 2010/11. However, net assets in the range of 2% to 9% still represent a reasonable level of operational reserves, given that contributions have been made to deferred maintenance from the operating budget. For 2014/15, SFU remains within its target range and is *on course* with respect to this indicator.

Indicator #2 – Joint Availability of Core Services

As there is no “industry standard” single metric for the performance of IT services, the Theme Team adopted a measurement expressed as a percentage of time the SFU system is performing as designed for all users. The measurement has been in place only two years, but the initial readings indicate that the core IT services at the University are being employed very well. That said, this indicator will be subject to further review.

SFU is *on course* with this indicator.

Indicator #3 - Canada's Top 100 Employers

SFU consistently ranks in the top 100 rankings of employers by Mediacorp Canada,²⁷⁵ the country’s leading employment periodicals publisher. Mediacorp assesses employers using eight criteria:

1. Physical workspace
2. Work atmosphere and social atmosphere
3. Health, financial, and family benefits
4. Vacation and time off
5. Employee communications

²⁷⁵ <http://www.canadastop100.com/national/>

6. Performance management
7. Training and skills development
8. Community involvement

SFU has been in the top 100 list every year since 2008, which is a good indicator of the University's commitment to employees and ability to provide a positive work environment.

Indicator #4 - Facilities Condition Index

In 2012/13, SFU adopted the Facilities Condition Index (FCI) for all its campuses. FCI is an accepted industry metric for determining the relative condition of buildings at a specific point in time. It is the ratio of the cost of deferred maintenance and capital renewal to current replacement value. For example, an FCI of zero means that a building is brand new, while an FCI of 1.00 means that a building has no useful life left.

SFU's FCI of 0.53 for 2014/15 falls in the range of "poor" condition. That said, this is a measure of the University's entire building portfolio, with many buildings having an FCI far in excess of 0.53 and some buildings having a lower FCI. In 2014/15, the University completed \$15 million worth of deferred maintenance-related work and established a Deferred Maintenance Initiative with a \$30 million line of credit.

Recommendations

Indicator #1 - Net Operating Assets as a Percentage of Consolidated Revenue

This indicator was updated in June 2014 and was previously expressed as the dollar value of net unrestricted assets. The new indicator is considered more representative of the financial health of the University as it is now directly linked with consolidated revenue and provides for a better year-over-year comparison.

SFU is currently satisfied with this indicator and has no immediate recommendations to change it.

Indicator #2 - Joint Availability of Core Services

SFU adopted its current measurement of IT services two years ago. Initial results are proving to be favourable and useful. However, this metric is broad-based, unweighted, and susceptible to diminishing returns. Since the IT Services department at SFU is currently undergoing transformation, this metric will likely be reviewed and possibly replaced with one that is more focused, providing a more robust measure of IT performance.

Indicator #3 - Canada's Top 100 Employers

This continues to be an effective measure in determining whether or not SFU attracts and retains the best people. However, the University may consider developing a support metric to supplement the Canada's Top 100 Employers indicator due to its binary nature, as any given organization is either "on the list" or "off the list."

SFU is also exploring the possibility of implementing an employee engagement survey that would provide valuable information for understanding SFU's employee satisfaction levels.

Indicator #4 - Facilities Condition Index

The FCI is an effective tool of measurement and can be used to make a political statement regarding deferred maintenance. (If all post-secondary institutions adopt FCI, then it could act as a standardized or uniform guide for the Ministry of Advanced Education with regard to provincial funding decisions.) However, a single average FCI does not capture the complexities at hand. If all buildings had an FCI of 0.53 this would be acceptable. In reality, many important buildings have an FCI of 0.70, which is unacceptable. A policy goal may be to not have any buildings with an FCI over 0.80 and an overall average FCI target of 0.35. This could be adopted as an SFU policy, with the ultimate goal of implementing it as a system-wide Ministry of Advanced Education policy.

As information matures, it is recommended that the University consider a more detailed review of FCI values for the entire building portfolio, and that it update the indicator accordingly. A more detailed approach to indicator tracking would provide important information to guide overall University infrastructure planning and enhance government lobbying efforts.

Conclusion – Leveraging Institutional Strength

These measurements reflect SFU's overall financial strength, the strength of ITS resources, the strength in human capital, and the condition of SFU's facilities. They can drive where and how the University allocates resources. Based on the measurements for the documented five-year period, SFU is meeting its goals and objectives for this fundamental theme.

Conclusion – Chapter 4

From the discussion above, it is evident that SFU conducts highly participative and consultative planning for each core theme. Knowledgeable and experienced faculty, staff, and students (where applicable) review the University's performance for each of these themes, taking into consideration both quantitative assessments, using identified indicators, and qualitative views where appropriate.

The responsibility for developing and reviewing each core theme plan rests with a Vice President:

Table 17

Core Theme	Plan	Vice-President Responsible
Engaging Students	Academic Plan*	Vice-President, Academic
Engaging Research	Strategic Research Plan (SRP)	Vice-President, Research
Engaging Communities	Strategic Community Engagement Action Plan (SCEAP)	Vice-President, External Relations

**The Academic Plan encompasses all themes*

The planning horizons of these plans are five years. The Strategic Research Plan and the Strategic Community Engagement Action Plan are currently being renewed, using highly participative and transparent processes to ensure buy-in and support for the outcomes and activities identified.

The Vice-President regularly conducts in-depth reviews of each plan's activities and assessments of success are determined by performance against an appropriate number of indicators as well as other qualitative information.

In addition, a Strategic Review is undertaken regularly at the institutional level by designated Theme Teams under the direction of the University Planning Committee. The Strategic Review forms the basis for determining how well SFU is achieving its Vision/Mission. It is widely distributed, and suggested changes to outcomes, indicators, or specific actions are built into the Planning Framework, which influences and guides future planning activities.

DRAFT

Chapter 5

**Standard Five:
Mission Fulfillment, Adaptation, and Sustainability**

5. Standard Five – Mission Fulfillment, Adaptation, and Sustainability

Executive Summary of Eligibility Requirement 24

Eligibility Requirement 24 – Scale and Sustainability

The institution demonstrates that its operational scale (e.g., enrollment, human and financial resources and institutional infrastructure) is sufficient to fulfill its mission and achieve its core themes in the present and will be sufficient to do so in the foreseeable future

The University's operational scale is appropriate to fulfill its Vision/Mission and carry out its core themes.

SFU consistently meets, and often exceeds, enrollment targets at the undergraduate and graduate levels. Over-enrollment creates unusual pressure on resources, but is also generating financial flexibility during a prolonged period of stagnant provincial funding.

The number of academic and support staff is sufficient to allow the University to carry out its mandate.

The development of the annual budget is a highly consultative process and at each stage the Vice-Presidential portfolios, Faculties and department budgets are assessed. The final budget is approved by the Board of Governors. Like other Canadian universities, SFU faces a major challenge in addressing its deferred maintenance. However, the University is monitoring this issue and finding additional resources to address immediate concerns.

SFU's academic operations increasingly depend on the efficient functioning of its IT infrastructure. Whether in the form of course delivery media, enterprise resource planning software, bandwidth, or other facets of IT, the IT infrastructure requires constant updating and ever-increasing financial and staff resources to maintain and grow it.

The University regularly evaluates its ability to fulfill its Vision/Mission by means of a Strategic Review and other assessment and review processes. Academic and Faculty Plans are also regularly assessed to ensure adequate resources and funding, and that there is continued alignment with the University's Vision/Mission.

Standard 5.A - Mission Fulfillment

5.A.1 *The institution engages in regular, systematic, participatory, self-reflective, and evidence-based assessment of its accomplishments.*

5.A.2 *Based on its definition of mission fulfillment, the institution uses assessment results to make determinations of quality, effectiveness, and mission fulfillment and communicates its conclusions to appropriate constituencies and the public.*

Standard 5.B - Adaptation and Sustainability

5.B.1 *Within the context of its mission and characteristics, the institution evaluates regularly the adequacy of its resources, capacity, and effectiveness of operations to document its ongoing potential to fulfill its mission, accomplish its core theme objectives, and achieve the goals or intended outcomes of its programs and services, wherever offered and however delivered.*

5.B.2 *The institution documents and evaluates regularly its cycle of planning, practices, resource allocation, application of institutional capacity, and assessment of results to ensure their adequacy, alignment, and effectiveness. It uses the results of its evaluation to make changes, as necessary, for improvement.*

5.B.3 *The institution monitors its internal and external environments to identify current and emerging patterns, trends, and expectations. Through its governance system it uses those findings to assess its strategic position, define its future direction, and review and revise, as necessary, its mission, core themes, core theme objectives, goals or intended outcomes of its programs and services, and indicators of achievement.*

Mission Fulfillment (Standard 5.A)

Introduction

While well practiced in assessing its activities, SFU has only recently begun to ask the question: “How well are we fulfilling our Vision/Mission?” Previously, institutional assessments have focused on measuring progress towards plan-specific objectives, such as targeted enrollment increases, higher rates of research funding, or the ability of students to complete degree requirements in a timely way. The production of the first Comprehensive Self Evaluation Report (2011) and this second one has been both unprecedented and revealing. These reports have made the University take a more exacting view of its parts and how they relate to one another, and to consider at greater length how its three core themes are supporting the achievement of the Vision/Mission.

To complete these self-evaluations, SFU has approached the question of Vision/Mission fulfillment in two ways. One is based on a consideration of qualitative evidence from both its history and its current circumstances; the other is the largely quantitative (and often indirect) evidence collected and evaluated during this assessment. Ultimately, the review of the available, albeit sometimes imperfect, evidence has confirmed that SFU is fulfilling its Vision/Mission satisfactorily, achieving excellence in some respects, and needing some improvement in others.

At the outset, it was agreed that Vision/Mission fulfillment would be determined by “consolidating the assessments of the core themes and then determining an overall evaluation of institutional performance.” This process of assessment and consolidation of results culminates in a document called the SFU Strategic Review.

Determining the Vision/Mission and Core Themes

To understand how SFU interprets the fulfillment of its Vision/Mission, it is important to consider the process by which the current Vision/Mission came to be. The process was led by the President and involved listening to thousands of students, faculty, and staff, along with thousands more alumni, community partners, and supporters. After one of the most extensive consultations undertaken by a major Canadian university, the current Vision/Mission was officially launched in February 2012.

Out of the SFU Vision/Mission—being the “leading engaged university defined by its innovative education, cutting-edge research and far-reaching community engagement”—came the three core themes. It was important that these resonate with faculty, staff, students, alumni, and the general public. Where these three core themes intersect is where SFU’s real strength lies.

Strategic Reviews and Vision/Mission Fulfillment

For the NWCCU Mid-Cycle Self Evaluation Report in 2014, SFU conducted its first Strategic Review, initiated by the University Planning Committee (UPC). An assessment team leader for each core theme was identified. These leaders were taken from the ranks of the Associate Vice-Presidents and charged with forming a Theme Team of knowledgeable and experienced people to assess a core theme. The Theme Teams could use both quantitative and qualitative observations in their assessments.

The Theme Teams also collected and analyzed data for each of the indicators identified in the Planning Framework, which measure the quality and operational effectiveness of activities undertaken to achieve core theme outcomes. The Teams also made a number of recommendations for improving certain indicators.

After the Theme Team Reports were submitted to the UPC for discussion, the UPC determined that the goals and indicators within the Planning Framework were reasonable and that the Theme Team assessments could provide a consolidated measurement of SFU’s Vision/Mission fulfillment. Furthermore, the assessment results were generally positive, demonstrating that each theme is achieving the required outcomes. That said, questions were raised about certain indicators and a number of changes to indicators were proposed by the Theme Teams to improve the process.

After reviewing the Theme Team reports, the UPC agreed that SFU was fulfilling its Vision/Mission and submitted the Strategic Review Report to the President and Vice-Presidents for their consideration. The Report was approved, submitted to Senate and the Board of Governors for discussion, and posted on the President’s web site.

Subsequent recommendations were included in the next version of the Planning Framework, which is meant to guide all university planning. An updated Planning Framework was then published.

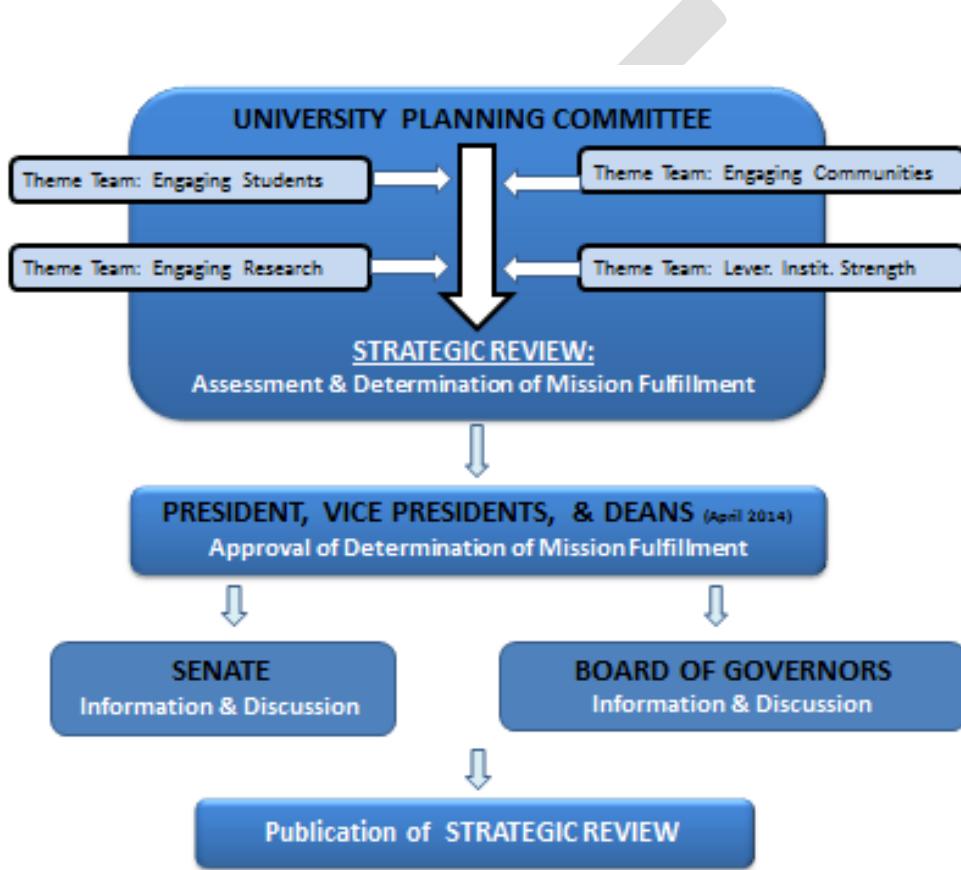
A second Strategic Review²⁷⁶ was conducted in 2015 to be included in the Comprehensive Self Evaluation Report to the NWCCU for accreditation in February 2016.

²⁷⁶ SFU Strategic Review link not yet available

This Review was again built on core theme assessments by designated Theme Teams and again the results showed that SFU was achieving its Vision/Mission. The Review was conducted by the UPC and approved by the President and Vice-Presidents before the results were submitted to Senate and the Board of Governors and posted on the President's web page.

The process of conducting this assessment is depicted in the figure below.

Figure 22: Process for Determining Vision/Mission Fulfillment



This process of evaluation is regular, systematic, participatory, self-reflective, and evidence-based. The results of this process, and other assessments of University activities, are made available to all appropriate constituencies and the public.

These other processes include, among others:

1. Institutional Accountability Plan and Report.

This is an annual report to the provincial government detailing how SFU is contributing to the province's higher education goals. It includes sections on SFU's strategic direction, aspects of quality assurance, three core themes, the fundamental theme, and the strategic

risks SFU faces. This report, approved by the Board of Governors and submitted to the Ministry of Advanced Education, is published on both the Ministry's and SFU's website.

2. Academic Accreditation and Recognition:

SFU has a number of programs that are accredited and/or recognized by relevant professional governing bodies and associations. Professional associations, industry, and the Faculties and departments themselves demand regular reviews so as to maintain the highest possible standards for their respective programs.

3. Academic Departmental External Reviews:

All academic units are periodically reviewed, typically once every seven years. Such reviews allow the units to:

- Assess their strengths and weaknesses.
- Obtain the view of external experts in the field.
- Support academic planning.

The review process ensures that:

- The quality of the unit's programs is high and there are measures in place to ensure the evaluation and revision of the teaching programs.
- The quality of faculty research is high and faculty collaboration and interaction provide a stimulating academic environment.
- Department members participate in the administration of the unit and take an active role in the dissemination of knowledge.
- The departmental environment is conducive to the attainment of the departmental objectives.

After each review by three external reviewers, the unit draws up an action plan that is approved by Senate. Three and a half years later the Unit reports progress to Senate with regard to the implementation of the action plan. The Report of the External Reviewers and the Action Plan (and progress report) are all public documents.

4. Administrative Unit External Reviews

The periodic academic reviews are complemented by administrative departmental reviews. These assessments focus on the University's core administrative functions and are designed to:

- Identify the highest value opportunities to improve the quality of administrative processes and outputs.
- Enhance the capabilities of departmental administration staff to better support the academic and research objectives of the University.
- Identify ways to better serve the diverse stakeholders of the SFU community.

The administrative reviews are usually undertaken by external advisors. These advisors do a comprehensive document review, interview relevant departmental senior managers and University stakeholders, report to senior management for feedback, and submit a final report. Results and recommendations are presented to the associated unit for comment, and

summary information is presented to the University executive team upon completion of the review.

These assessment processes all add to SFU's highly participative and transparent approach to achieving the institution's Vision/Mission through review and continuous improvement.

5. Other Evidence

In addition to the processes described above, SFU's faculty members regularly earn major teaching and research awards at the provincial, national, and international levels. They are also sought as experts by the media. SFU students in all Faculties win awards and competitions for their achievements, creativity, problem-solving abilities and community service. SFU graduates advance to prestigious graduate programs in their disciplines or in others. And finally, research conducted at SFU continues to grow in impact and influence, with products, patents, and social and commercial utility.

Many SFU researchers are prominent in their disciplines and SFU's research profile is disproportionate to its size and mandate as a comprehensive university. While ranked #1 in the *MacLean's* ranking of comprehensive universities, the Times Higher Education ranking is 14th of all universities in Canada and between 250 and 300 in the world, and the QS rankings have it placed 11th in Canada and 225 in the world.

Students are admitted to SFU on a competitive basis and, through rigorous admission standards, the University has been able to balance its commitment to BC's high school graduates and university transfer students with its commitment to academic excellence. Demand for an SFU education remains high and enrollment targets are consistently exceeded. In 2014/15, SFU exceeded its provincial FTE target by 10.5%.

Student opinions of the University's performance have played an important role in all assessments at SFU, especially with regard to their experience at the institution. Although this information gives students an all-important voice, more objective and verifiable measures may be needed to supplement survey results, and survey questions may need revising to achieve greater usefulness.

For the Ministry Accountability Objective of "Quality", 91.5% of students were "Satisfied" or "Very Satisfied" with the education they received at SFU, while 92.7% were "Satisfied" or "Very Satisfied" with the quality of instruction they received.

SFU graduates' unemployment rate is almost half (6.8%) of the provincial target of 12.4%. Many graduates go on to further studies at SFU or at other institutions.

These positive observations, together with the formal assessments undertaken by the Theme Teams for each core theme and the Strategic Review, demonstrate that SFU is achieving its Vision/Mission.

Adaptation and Sustainability (Standard 5.B)

SFU regularly evaluates the adequacy and application of its resources—human, financial, and physical—in relation to its Vision/Mission and institutional priorities. Institutional investments have consistently been targeted to address continuing and new requirements identified through cyclical reviews carried out as part of the University’s regular planning processes.

These processes range from the major plans discussed in earlier chapters of this report to the supporting plans identified in the University Planning Framework “wheel” (e.g., Library, Student Services, Faculty Renewal) and to contributing departmental, Faculty, and other unit plans. All are reviewed and renewed according to schedule or as changing circumstances require.

The Adequacy of Resources, Capacity and Operations

Leveraging Institutional Strength – The Fundamental Theme

The adoption of the fundamental theme, *Leveraging Institutional Strength*, flows from a recognition that the University’s resources must be responsibly managed in order to fulfill its Vision/Mission and carry out its core themes activities. Institutional strength requires the University to account for its resources, to understand its priorities, and to allocate those resources in alignment with the priorities it sets.

This theme focuses on ensuring that the University is financially sound, that IT services and support are priorities, that the best people are attracted and retained, and that the facilities meet the needs of the institution.

Financial Sustainability

Financial flexibility has been greatly constrained by the combination of stagnant FTE grant funding, the capping of tuition increases at 2% annually since 2003, the virtual elimination of provincial funding for capital maintenance, and the 2008 collapse of the financial markets. The combination of these circumstances created a major financial challenge that led to numerous changes, including moving from incremental budgeting to performance based budgeting. However, SFU has adapted to new circumstances and taken advantage of opportunities as they arise.

The development of the annual budget is led by the Vice-President, Finance and follows a highly consultative process, with presentations being made on three campuses to faculty, staff, and students. During this process, the adequacy of financial resources for all areas of the University is reviewed. The final budget proposal is approved annually by the Board of Governors. Regular financial reports are made to the Board of Governors and to the Ministry of Advanced Education.

Information Systems and Services

The increasing reliance on the “virtual” University has made maintaining and updating the University’s information technology essential to the fulfillment of SFU’s Vision/Mission. Information technology provides instructional capacity for online education and support for face-to-face courses, and builds the platforms on which the University manages its communications and business operations. The University carefully manages these systems and services to ensure the required capacity for both academic and administrative computing is met.

Human Resources

Institutional strength depends on the quality of the faculty and staff who carry out its various mandates, so it is essential that SFU hires and retains the best people available.

The University’s annual Faculty Renewal Plan addresses this need. SFU continues to pursue its goal of being the most research-intensive comprehensive university in Canada, competing effectively with the country’s top-tier institutions. The Faculty Renewal Plan identifies specific recruiting requirements for the next fiscal year and provides an outline of proposed activities for recruiting and retaining faculty. Each year the Vice-President, Academic reviews academic vacancies to determine whether positions should be eliminated or reallocated to better serve the University’s strategic needs. Currently, overall growth in faculty numbers depends on generating revenue or savings made through new efficiencies.

Recruiting and retaining non-academic staff is made that much easier by the attractive working conditions at SFU, which is designated as one of Canada’s 100 Best Employers²⁷⁷, and one of British Columbia’s 50 Best Employers.²⁷⁸

All staff have free access to the University’s fitness centre and various health promotion and wellness programs. SFU also offers career enhancement through educational opportunities such as the Tuition Waiver program, professional development programs on- and off-campus, and leadership training. A performance development system was introduced for all non-academic staff and the University recognizes excellent performance through public acknowledgement.

SFU is also committed to a respectful and inclusive workplace. Almost all non-academic staff belong to collective bargaining units, and the University places a premium on maintaining productive and collaborative relationships with them.

Infrastructure and Facilities

The University’s Five-Year Capital Plan focuses on capital funding requests for building and infrastructure renewal. The renewal of existing facilities is an identified priority of government and is of particular concern at the Burnaby campus, where original buildings are now 50 years

²⁷⁷ <http://www.canadastop100.com/national/>

²⁷⁸ <http://www.canadastop100.com/bc/>

old. Aging campus facilities are experiencing ever-increasing health and safety deficiencies, lack of functionality, and unreliable and inefficient building systems. Deferred maintenance is an issue as government funding has been greatly reduced. However, as stated elsewhere in this report, and in the response to a recommendation made by the NWCCU in 2011, much has been done to limit this risk.

Other processes mentioned viz. the program accreditation reviews, as well as academic and administrative reviews, include an assessment of institutional resources, capacity, and effectiveness.

Alignment of Planning, Practices, Resource Allocation, and Institutional Capacity

Planning and assessment are continuous across all levels of the University, from the larger Faculties and administrative areas to the individual academic and services units that comprise them. The University Planning Framework (UPF) offers the most comprehensive overview of SFU's major plans, including the interrelationships among various objectives, outcomes, and indicators.

Planning objectives set out in major plans typically find expression in related plans; for instance, Faculty plans will reflect the overarching goals of the Academic Plan. Final versions of major plans explain in detail the extensive consultation and approval processes that led to their creation. Planning and assessment processes are supported by the continuous collection of data, primarily through the University's Institutional Research and Planning office. Chapter 3 and 4 describe SFU's planning processes in more detail.

The UPF provides guidance to all of the University's planning activities. It is updated as required, e.g., after a Strategic Review, and is widely distributed and placed on the President's web page for reference by anyone undertaking a planning activity. It is usual practice to plan by core theme wherever possible. Also, there are Senate Guidelines with regard to academic planning. The Guidelines provide strong direction to Faculties and academic departments and are reinforced by directions from the Vice-President, Academic during planning periods. To ensure alignment across the University a number of planning retreats are held. These include retreats by the Board of Governors together with the President and Vice-Presidents, a strategic planning weekend retreat by the Vice-President group, and Dean's Retreats. Coordinating Committees for the smaller campuses viz. Surrey and Vancouver have also been established.

Monitoring Internal and External Environments

SFU's ability to adapt and sustain itself and be nimble in response to changing circumstances requires constant monitoring of internal and external environments.

In 2012, the University developed its current Vision/Mission through a hugely collaborative process that considered opinions and viewpoints from multiple sources within and outside the

University. As a result, the Vision/Mission is broadly accepted and understood by SFU faculty, staff, and students as well as the communities SFU serves.

It follows that, as SFU moves into the future, it continues to engage in a highly consultative and transparent process of institutional development. To achieve this, regular performance assessments are broadly distributed and shared with all interested parties.

Moreover, to ensure decision-makers and influencers are up to date and informed of the latest trends and best practices in higher education, faculty and staff are encouraged to monitor developments in their areas of responsibility and expertise, and feed these back into the internal structures and processes. Regular meetings are held between SFU's executive and the Deans, Chairs, and Directors as well as senior Administrators to discuss issues of operational and/or strategic importance.

Internal

SFU's strong regard for transparency, consultation, and participation has allowed for the development of information flows both to and from decision-makers. In this environment, faculty, staff, and students engage in healthy discussions and consider a cross-section of views.

These processes allow for the recognition of emerging patterns, trends, and expectations – all of which help determine future direction for the University and help define intended outcomes.

SFU does a number of surveys of both graduate and undergraduate students, which provide input into decision making. These surveys cover issues from student satisfaction with instruction, course access, to preferred food options, etc.

External

SFU's strong orientation towards "engagement" has resulted in both formal and informal interactive relationships between all levels of SFU faculty and staff and the communities SFU serves.

The University monitors the external environment in a number of ways:

- Recently, the portfolio of the Vice-President, External Relations was expanded to include dedicated resources to support relationships with government and international partners.
- Faculty and staff are encouraged to attend national and international conferences and bring back information on recent trends and activities, which can then be absorbed by the University and applied in its practices.
- As mentioned previously, every academic department is reviewed regularly by three external, well respected scholars who make recommendations with regard to program content, pedagogy, research, and community relations, among other areas. These recommendations are incorporated into department plans.

- Complementing the periodic academic reviews are the administration departmental reviews. These assessments focus on the University's core administrative functions and are designed to improve efficiency.
- Professionally oriented Faculties make good use of Faculty Advisory Councils. These Councils include well-respected professionals and business executives who provide insight into the needs and requirements of their industries.
- SFU has a number of programs that are accredited and/or recognized by relevant professional governing bodies and associations. Professional associations, industry, and the Faculties and departments themselves demand reviews so as to maintain the highest possible standards for their respective programs.

Conclusion – Chapter 5

SFU is fulfilling its Vision/Mission as evidenced by the regular and systematic assessment of the core theme objectives.

Expectations of Vision/Mission fulfillment are clearly defined. Structures and processes ensure the assessment of core themes is done efficiently, is participative and self-reflective, and relies on identified performance indicators. Any recommendations resulting from the assessment or any adaptation required to improve outcomes is communicated through the SFU Planning Framework, which guides and informs all planning activities at SFU.

Further evidence of Vision/Mission fulfillment is substantiated by the annual report to the Ministry of Advanced Education. The University has exceeded the Ministry's performance measures in two instances, achieved them in six, and substantially achieved them in one. This analysis indicates that SFU is contributing to the achievement of the Ministry's goals for the delivery of high-quality post-secondary education in British Columbia.

A number of other processes at various levels within the University provide valuable assessment information, such as academic and administrative unit reviews undertaken by external evaluators.

Various rankings also provide validating data:

- Times Higher Education recently placed SFU 26th in the world amongst universities under 50: “the rising stars that show great potential.”
- SFU was ranked #1 amongst Canada's comprehensive universities in the 2016 *Maclean's* magazine rankings for the eighth time in the last nine years.
- Research Info\$ource rankings placed SFU first among comprehensive universities for research impact and third for publication output in Canada. SFU was also ranked first for partnerships with non-profit organizations.

To sustain this level of performance, adequate staff, systems, and facilities need to be available and assessed in the same way as the three core themes. SFU has proved itself to be a dynamic organization and has taken advantage of growth opportunities as they arose and broadened its

focus to include new developing areas of study. Some examples of such accomplishments over the last ten years include:

- Growth in FTEs from 19,300 in 2005 to 26,300 in 2015 (36%).
- The establishment of a new campus in an underserved region (Surrey) - now serving almost 3,500 FTEs.
- The creation of a Faculty of Health Sciences and a Faculty of the Environment to diversify programs and increase research intensity.
- The addition of 109,000 sq. ft. (34%) of infrastructure at the Burnaby, Surrey and Vancouver campuses.
- The establishment of Fraser International College²⁷⁹ to provide a sustainable flow of high quality international students.
- The increase of international students to nearly 20% of the student body.

These achievements were only possible through SFU's highly developed sensitivity to internal and external environments as well as sensitivity to emerging needs and trends, and having the leadership, drive, and capacity to accommodate them. These traits will continue to serve SFU well into the future as it maintains the ongoing fulfillment of its Vision/Mission.

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²⁷⁹ <https://www.sfu.ca/students/sfu-fic.html>



Conclusion

On September 9, 1965, Simon Fraser University opened its doors to welcome its first class of 2,500 students. From those early days as a “radical campus” to the current standing as Canada’s “engaged university,” SFU has much to celebrate as it turns 50.

Today SFU delivers over 150 programs in eight Faculties to 30,000-plus students on three thriving campuses. It has over 130,000 alumni residing in more than 130 countries around the world, and is ranked as Canada’s top comprehensive university, with one of the most diverse and international student bodies in the country.

What is more, SFU has a strong, well-conceived Vision/Mission, well supported by faculty, staff, students, and the communities it serves. The *Engaging Students, Engaging Research, and Engaging Communities* core themes clearly articulate the essential elements of the Vision/Mission. These provide direction to all present and future planning activities as SFU works to become the leading engaged university—one that is defined by a dynamic combination of innovative education, cutting-edge research, and far-reaching community engagement.

By introducing a more formal approach to planning, the NWCCU Standards have only helped SFU move closer to its goals. Core theme assessments, which are at the heart of this Report, have provided the University with crucial information, strengthening a culture of measurement and assessment of progress towards the attainment of planned outcomes.

The University has carefully considered assessment results and made adjustments to activities so as to increase SFU’s effectiveness and efficiency in fulfilling its Vision/Mission. Communication of these results has added to a broader understanding of the University’s success and an appreciation of the fact that SFU is achieving its Vision/Mission across the three core themes. That open approach has enhanced the culture of transparency and participation at the University.

In recent years, the fiscal climate, marked by cuts in provincial grants and limited allowable increases to fees, has been a significant challenge to SFU. But these constraints have resulted in a more resilient, adaptable, and sustainable University.

The deferred maintenance situation also presents major challenges. Provincial funding has not kept up with maintenance demands. But to the limited extent possible under a very tight operating budget, SFU has managed to focus a portion of its Capital Plan on much needed maintenance and renewal, while lobbying the provincial government to make funding available, which it has for 2015/16 with a one-time increase of \$7.2 million, in addition to the annual funding of \$2.5 million, for a total of \$9.7 million. In the interim, SFU continues to search for creative ways to alleviate the most urgent deferred maintenance issues.

The University is doing all it can to adhere to the NWCCU Standards and will continue to adopt best practices for the timely implementation of assessable learning outcomes across the curricula. The method SFU has adopted for doing so is suited to

SFU's uniquely Canadian institutional culture and is aligned with the University's Vision/Mission. The initiative recognizes the importance of supporting SFU faculty and staff over the course of this cultural shift and it promotes the direct benefits of an outcomes and assessment approach. As importantly, the process will evolve over time, allowing for ongoing review as the University moves forward into its next half-century.

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Appendices

- A** SFU Strategic Review 2015 (pg. 204)
- B** SFU University Planning Framework 2015 (pg. 284)
- C** Assurance of Learning: Beedie School of Business (pg. 311)
- D** External Review – Terms of Reference (pg. 331)
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 - E.1** Department of Psychology: Educational Goals and Assessment Action Plan (pg. 334)
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Appendix A

2015 Strategic Review

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SFU Strategic Review 2015

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1. Purpose

SFU's Strategic Review demonstrates the University's commitment to Vision/Mission fulfillment. SFU regards the degree of Vision/Mission fulfillment as the extent to which the University's clearly articulated purpose and intentions are being achieved through its three core themes. The purpose of this document is to provide substantive evidence that SFU is accomplishing its objectives, and, if necessary, provide recommendations regarding outcomes and indicators.

The adoption of best practices requires the review of institutional performance through the continuous improvement reflected in the performance of identified indicators. Regular, systematic, participatory, self-reflective, and evidence-based assessments of accomplishments are imperative in this endeavour. Assessments linked to quality and operational effectiveness reflect the degree of success in achieving the SFU objectives.

Specific objectives have been articulated for each of the University's three core themes, *Engaging Students*, *Engaging Research*, and *Engaging Communities*, and the fundamental theme, *Leveraging Institutional Strength*. All are documented in the University Planning Framework (UPF). A number of indicators of achievement have been identified for each objective. In this review and/or in the Theme Teams' Reports, each indicator has been analyzed and assessed. All indicators are then summarized and used to assess whether or not the core theme they are associated with is fulfilling the University Vision/Mission.

Initially, SFU looked for trends in the data, with a positive trend as the goal. Having experienced using indicators in this manner, the University has begun to assign specific target or "target bands" for indicators wherever possible.

This report is an overarching document that summarizes the findings of the four Theme Teams and their respective reports, which are attached in the appendix. It provides the necessary evidence to demonstrate that SFU is achieving its core theme objectives, and synthesizes the findings into an overall assessment of how well SFU is achieving its Vision/Mission and is meeting the standards required by the Northwest Commission on Colleges and Universities.

2. SFU's Strategic Vision/Mission

Following an extensive consultation process within and beyond the University, the SFU Vision/Mission was launched in February 2012. The Vision/Mission, which focuses on SFU's strengths and aspirations as an "engaged university," represents the culmination of a year-long consultation process that included thousands of students and community members and hundreds of SFU faculty, staff, and alumni.

SFU's Vision/Mission

To be the leading engaged university defined by its dynamic integration of innovative education, cutting edge research, and far-reaching community engagement.

- **ENGAGING STUDENTS**
 - *To equip students with the knowledge, skills, and experiences that prepare them for life in an ever-changing world.*
- **ENGAGING RESEARCH**
 - *To be a world leader in knowledge mobilization building on a strong foundation of fundamental research.*
- **ENGAGING COMMUNITIES**
 - *To be Canada's most community-engaged research university.*

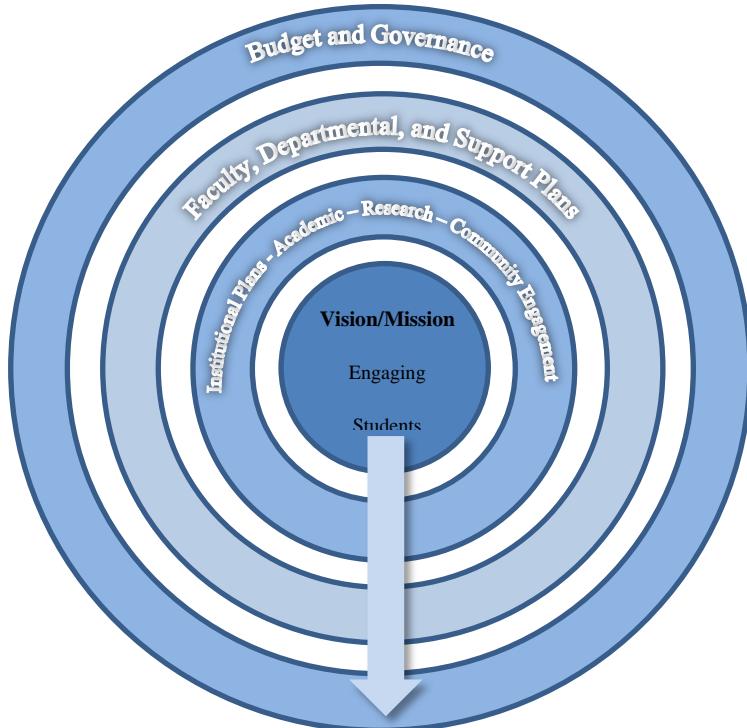
The full details of the SFU Vision/Mission can be found at: <http://www.sfu.ca/engage.html>

3. The University Planning Framework

The University Planning Framework (UPF) is used to provide guidance to all institutional planning activities and includes mechanisms for monitoring progress and achievements. It is a dynamic document that reflects the University's response to its changing environment, and is updated as required.

SFU's Vision/Mission is at the core of the Framework. The Vision/Mission as well as its principles and philosophy permeate their way throughout all aspects of the University's governance and culture. The Academic Plan, the Strategic Research Plan, and the Community Engagement Strategy, which represent Core Theme planning, form the main linkages between the Vision/Mission and the Faculty Plans, the Departmental Plans, and support plans. All plans are constrained by the two outer circles—Financial Model and Governance Model.

Plans Originate from the Vision/Mission



4. Performance Reflected by SFU Planning Framework Indicators

For each of the core themes, the data are provided in the form of a table and a graph that show performance over a five-year period, with 2010/11 as the base year where applicable. This is followed by a brief discussion on performance and recommendations, and then a conclusion is drawn as to whether expectations/targets have been met.

4.1. Core Theme 1: Engaging Students

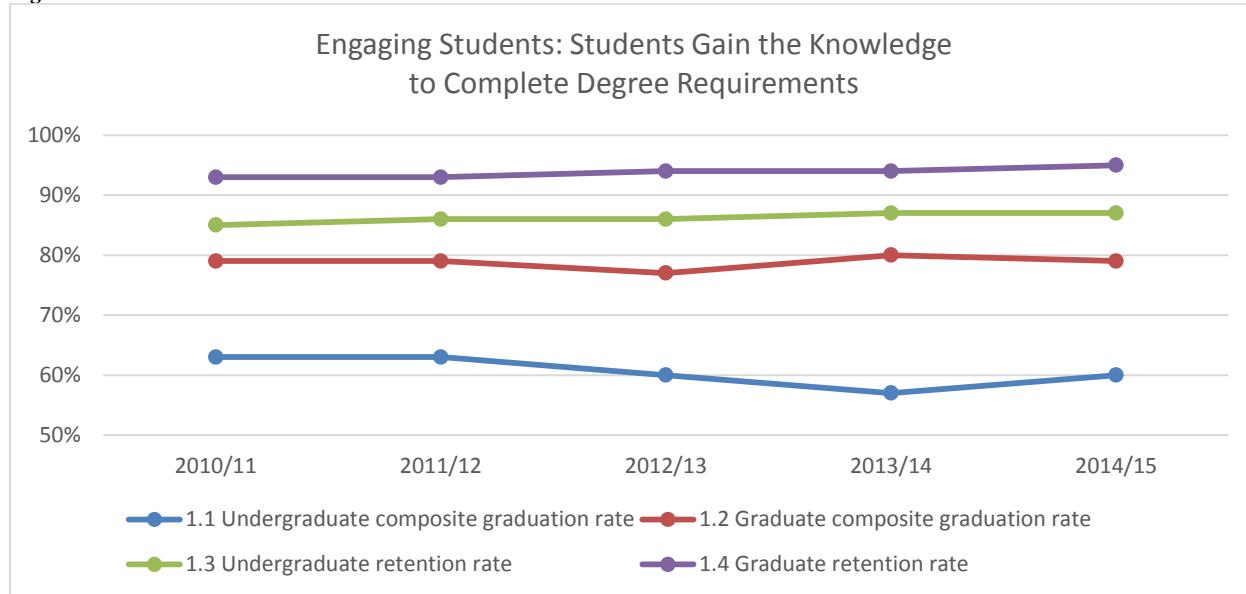
Goal

To equip SFU students with the knowledge, skills, and experiences that prepare them for life in an ever-changing and challenging world.

4.1.1. Outcome 1 – Students Gain the Knowledge to Complete Degree Requirements

Table 1

Goal: To equip students with the knowledge, skills, and experiences that prepare them for life in an ever-changing and challenging world.						
Outcome	Indicator	2010/11	2011/12	2012/13	2013/14	2014/15
Students gain the knowledge to complete degree requirements.	1.1	Undergraduate composite graduation rate (%) (6-year graduation rate) for degree programs	63%	63%	60%	57%
	1.2	Graduate composite graduation rate (%) (6-year for master's programs, and 8-year for doctoral programs)	79%	79%	77%	80%
	1.3	Undergraduate retention rate (%) (year 1 to year 2)	85%	86%	86%	87%
	1.4	Graduate retention rate (%) (year 1 to year 2)	93%	93%	94%	94%

Figure 1

Indicators #1.1 to 1.4 Graduation and Retention Rates

Since 2010/11, the composite graduation rate for both graduate and undergraduate students has remained relatively stable with little fluctuation. SFU's composite undergraduate graduation rate is over a six-year time frame (indicator definition). Among other things, it recognizes that in order for students to take advantage of the many co-operative education and field school opportunities that SFU offers, students will often take longer than the traditional four years to complete their degree. While SFU is keen to ensure timely credential completion, it sees the importance of students being able to graduate with the real-world work experience that its various integrated learning programs offer.

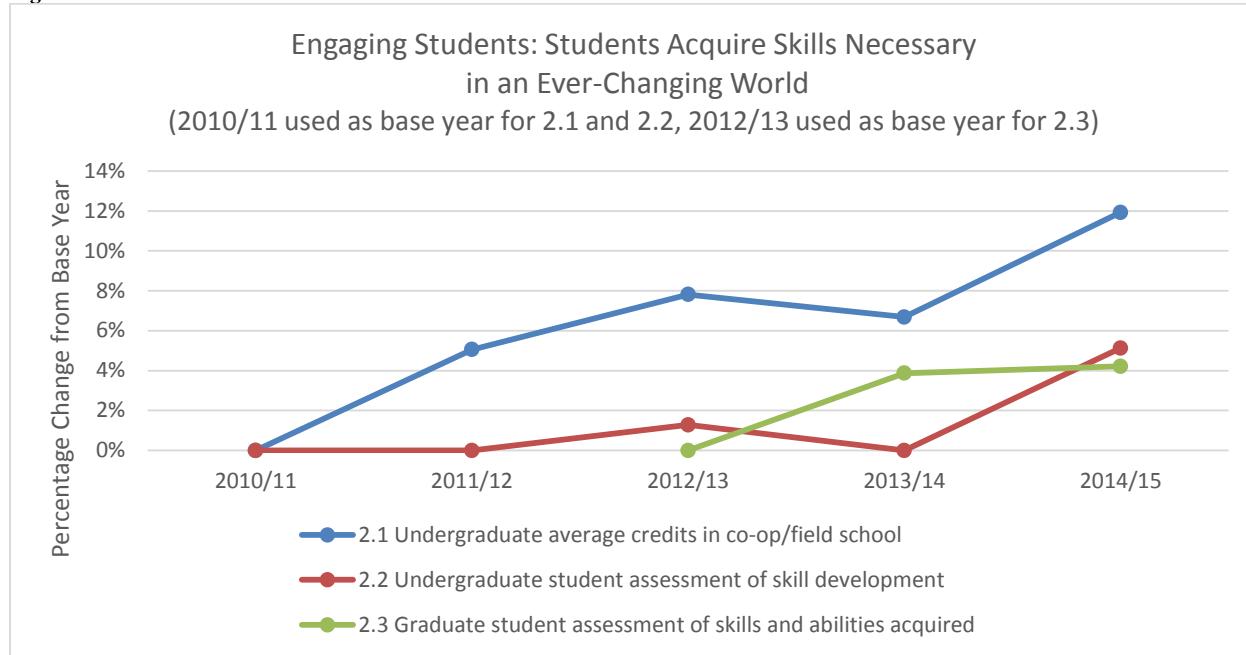
Retention rates in both the graduate and undergraduate level are strong and show a steady increase year over year. SFU has put considerable effort into increasing its retention rate of undergraduate students and recent data supports this.

4.1.2. Outcome 2 – Students Acquire Skills Necessary in an Ever-Changing World

Table 2

Goal: To equip students with the knowledge, skills, and experiences that prepare them for life in an ever-changing and challenging world.							
Outcome	Indicator		2010/11	2011/12	2012/13	2013/14	2014/15
Students acquire skills necessary in an ever-changing world.	2.1	Undergraduate average credits in co-operative education and field schools per graduating student	7.77	8.17	8.38	8.29	8.70
	2.2	Undergraduate student assessment of skill development (average %), as measured by the BC Baccalaureate Graduate Survey	78%	78%	79%	78%	82%
	2.3	Graduate student assessment of skills and abilities acquired during graduate program, as measured by the SFU Graduate Exit Survey	-	-	88%	91%	92%

Figure 2



Indicator #2.1 Average Credits in Experiential Learning (Co-op and Field Schools)

The data clearly show an upward movement in relation to credits earned in experiential learning. This supports SFU's increasing commitment in regards to the importance of this model of education. The document *A Degree of Experience*²⁸⁰ encapsulates the breadth and depth of these opportunities, which continue to grow at SFU and which continue to have high student demand. In particular, growth for co-operative education is a result of the response to faculty and student demand at both the undergraduate and graduate levels.

Indicators #2.2 and majority 2.3 Student Assessment of Skill Development and Abilities Acquired

National, provincial, and SFU's own student surveys indicate that students are strongly satisfied with their education experience at SFU. The data show an increase in this indicator over the five-year period reported. Students are satisfied with the quality of education they are receiving, which includes their communication skills (written, oral, and interpersonal co-operation) as well as their analytical and learning skills. Data from graduate students have only been collected for three years.

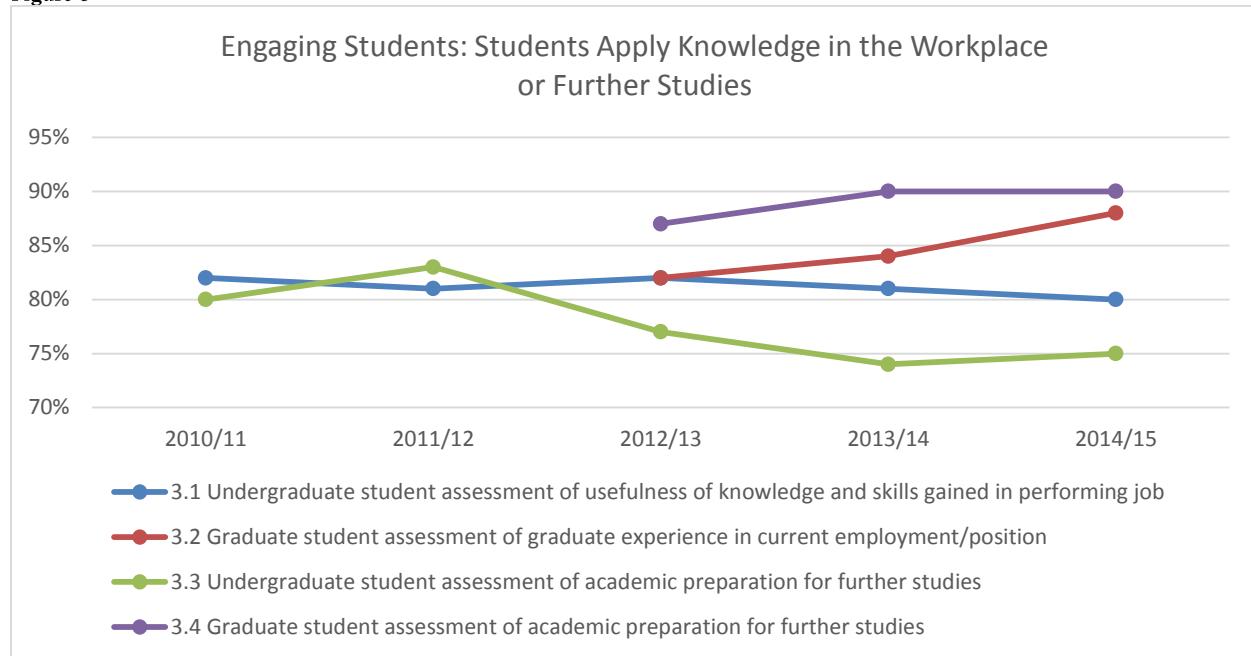
²⁸⁰ http://www.sfu.ca/content/dam/sfu/wil/DegreeofExperience_Mar_30_12.pdf

4.1.3. Outcome 3 – Students Apply Knowledge in the Workplace or Further Studies

Table 3

Goal: To equip students with the knowledge, skills, and experiences that prepare them for life in an ever-changing and challenging world.

Outcome	Indicator	2010/11	2011/12	2012/13	2013/14	2014/15
Students apply knowledge in the workplace or further studies.	3.1	Undergraduate student assessment of usefulness of knowledge and skills gained in performing job, as measured by the BC Baccalaureate Graduate Survey	82%	81%	82%	81%
	3.2	Graduate student assessment of graduate experience in current employment/position, as measured by the SFU Graduate Exit Survey	-	-	82%	84%
	3.3	Undergraduate student assessment of academic preparation for further studies, as measured by the BC Baccalaureate Graduate Survey	80%	83%	77%	74%
	3.4	Graduate student assessment of academic preparation for further studies, as measured by the SFU Graduate Exit Survey	-	-	87%	90%

Figure 3

Indicator #3.1 and 3.2 Student Assessment of Usefulness of Knowledge and Skills Gained in Performing Job

National, provincial, and SFU's own surveys indicate that a high percentage of students have found their education at SFU to be useful or somewhat useful in their work/employment. Skills associated with critical analysis and independent learning were rated the highest (89%). Communication skills, reading and comprehending material, writing clearly and concisely, and verbally expressing opinions or ideas, were also highly rated.

Indicators #3.3 and 3.4 Student Assessment of Academic Preparation for Further Studies

National, provincial, and SFU's own surveys indicate that students feel well prepared to undertake further academic studies. Similar to the results that showed that students felt the analytical and communication skills learned at SFU helped them in the work settings, they are also saying these same skills are preparing them for further academic studies.

4.1.4. Recommendations

The Engaging Students Theme Team has not proposed any recommendations to improve or alter the current list of indicators. The Theme Team is content with the indicators in this Report. However, they have proposed suggested improvements to the activities measured by the indicators in the form of key activities to sustain and improve, as well as new initiatives. A detailed list of these initiatives can be found in the full Theme Team report attached as an appendix.

4.1.5. Conclusion – Engaging Students

Overall, SFU is achieving satisfactory progress on its core theme of Engaging Students. In addition to the information collected related to SFU's indicators, there is considerable evidence from institutional, provincial, and national surveys to substantiate the claim. Given that the majority of the indicators has shown an upward trend, SFU is confident stating that it is fulfilling this goal's objective.

4.2. Core Theme 2: Engaging Research

Goal

To be a world leader in knowledge mobilization building on a strong foundation of fundamental research.

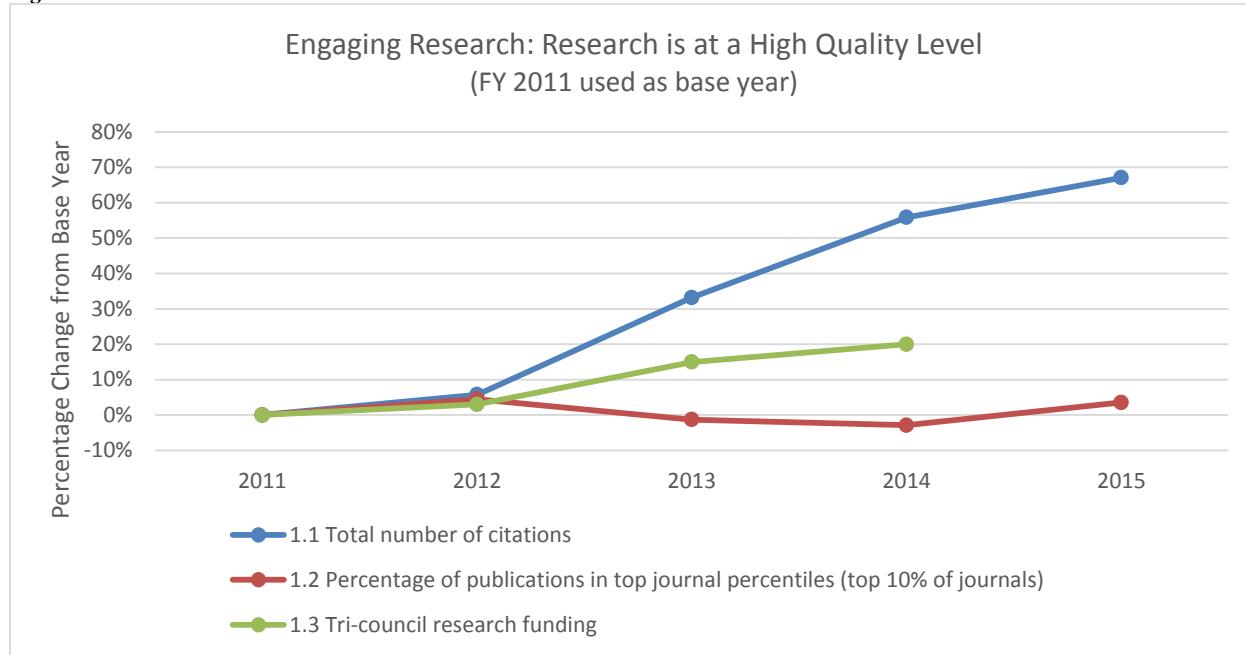
4.2.1. Outcome 1 – Research is at a High Quality Level

Table 4

Goal: To be a world leader in knowledge mobilization building on a strong foundation of fundamental research.

Research							Targets			
Outcome	Indicator		2011	2012	2013	2014	2015	2016	2017	2018
Research is at a high quality level.	1.1	Total number of citations	39,036	41,286	51,990	60,832	65,210	69,122	73,270	77,665
	1.2	Percentage of publications in top 10% journals	31.2%	32.6%	30.8%	30.3%	32.3%	32.6%	32.9%	33.2%
	1.3	Tri-Council research funding	\$35.3M	\$36.2M	\$40.4M	\$42.0M	\$43.7M	\$45.4M	\$47.3M	n/a

Figure 4



Indicator #1.1 – Total Number of Citations

It is standard practice by world university ranking systems, journals, and the field of bibliometrics in general, to rely on the total number of citations for research publications as a measure of research impact. In the latest QS World University Rankings (2015/16), SFU is ranked #2 in Canada and #66 in the world for its number of citations per faculty. SFU is consistently ranked among Canada's top research universities for research impact in various ranking systems, including Times Higher Education, Re\$earch Infosource, and Maclean's.

The total number of citations per year for SFU research publications, obtained through Thomson Reuters' *InCites*, has been steadily rising. From 2010/11 to 2014/15, SFU has increased its number of citations by 67%, which suggests that SFU research is steadily gaining greater impact each year. Projected targets have SFU reaching a nearly 100% increase in citations by 2017/18 from 2010/11. SFU is *on course* with respect to this indicator, is achieving its target, and fulfilling its objective.

It should be noted that bibliometric data for Social Sciences, Arts and Humanities are known to be problematic, as books and monographs are poorly represented in major databases of abstracts and citations, such as *Web of Science* and *Scopus*. SFU is currently in discussion with several data providers to address this gap, and will look for alternative metrics that are better suited to research fields not best represented by citation data.

Indicator #1.2 – Percentage of Publications in Top Journal Percentiles (Top 10% of Journals)

In addition to citation count of publications, which is used as the primary indicator of research impact, quality of scientific research and scholarship can also be captured by the quality, reputation, and competitiveness of the journals in which the articles are published. For this indicator, SFU provides the percentage of SFU articles published within the top 10% of journals in fields where SFU research is active, and compares that with the Canadian, American, and European averages.

Over the last five years, between 28 – 33% of SFU's research publications have been considered by expert peer-reviewers to be among the top in their field (top 10% journals), and an average of 17% of SFU's publications appeared in the very best journals (top 5% journals). These data suggest that SFU is *on course* with respect to this research quality indicator. The University's three-year targets are set with the view that SFU will maintain its share of top-quality publications at comparable levels.

Indicator #1.3 – Tri-Council Research Funding

In Canada, the Tri-Council Agencies²⁸¹ are the core source of operating federal funding for research, and account for an average of 28% of total research funding in Canada.²⁸² Because quality assessment is built prominently into Tri-Council funding competitions, success in Tri-Council research funding can be used as an indicator of research quality.

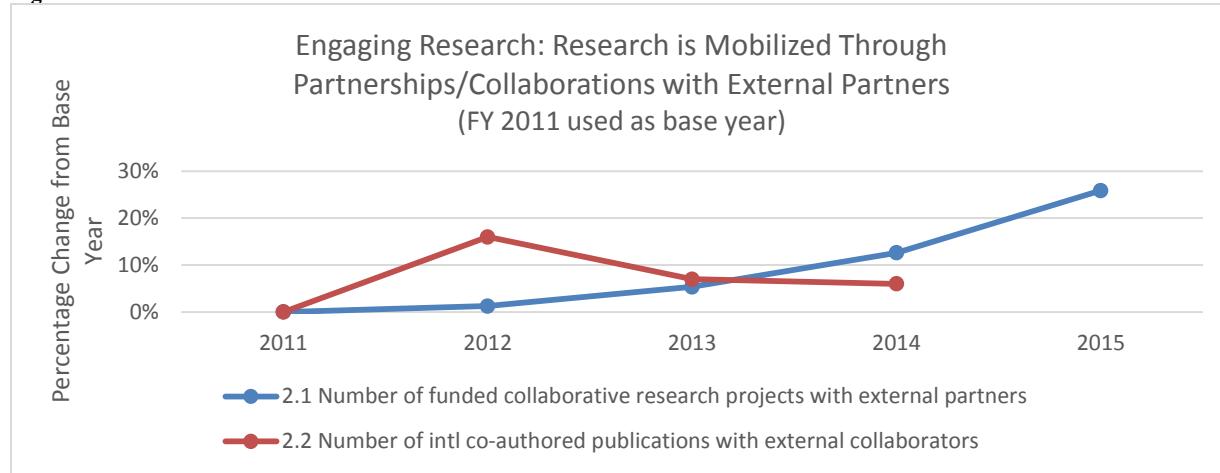
Considering the relatively flat federal budget allocated to the Tri-Councils in recent years, steep increases to the University's research income through the Tri-Councils are unlikely. While SFU expects to see a continued growth in research funding, Tri-Council targets for the next three years are set at a growth rate of 4%. With respect to this indicator, SFU met its \$42M Tri-Council funding target for 2014, is *on course*, and fulfilling its objective.

4.2.2. Outcome 2 – Research is Mobilized Through Partnerships/Collaborations with External Partners

Table 5

Goal: To be a world leader in knowledge mobilization building on a strong foundation of fundamental research.										
Outcome	Indicator		2011	2012	2013	2014	2015	2016	2017	2018
Research is mobilized through partnerships/collaborations with external partners.	2.1	Number of funded collaborative research projects with external partners	317	321	334	357	399	415	432	449
	2.2	Number of co-authored publications with external collaborators	intl-979 natl-412 corp-34	intl-1139 natl-411 corp-37	intl-1064 natl-355 corp-40	intl-1039 natl-395 corp-45	intl-1081 natl-411 corp-48	intl-1124 natl-427 corp-51	intl-1169 natl-444 corp-54	tbd

Figure 5



Indicator #2.1 – Number of Funded Collaborative Research Projects with External Partners

²⁸¹ The Tri-Council Agencies: the Canadian Institutes of Health Research (CIHR), the Natural Sciences and Engineering Research Council of Canada (NSERC), and the Social Sciences and Humanities Research Council (SSHRC)

²⁸² This average is calculated based on a five-year period, obtained through Financial Reports published annually by the Canadian Association of University Business Officers (CAUBO): www.caubo.ca

SFU is increasing its number of research partnerships, and engaging the broader community with a higher number of collaborations each year. Targets for the next three years are set with the expectation that SFU will continue to steadily engage with a higher number of research partnerships each year.

SFU is *on course* with respect to this indicator, and is fulfilling its objective.

Indicator #2.2 – Number of Co-Authored Publications with External Collaborators

This indicator shows the number of publications in which an SFU researcher has at least one co-author from an external organization outside of Canada (international), in Canada (national), or with a corporate organization (academic-corporate). The Theme Team Report in the appendix provides a more detailed breakdown of the data along the listed dimensions: number of international collaborations (intl), number of national collaborations (natl), and number of academic-corporate collaborations (corp), whereas figure 5 shows only the percentage change of the number of international publications.

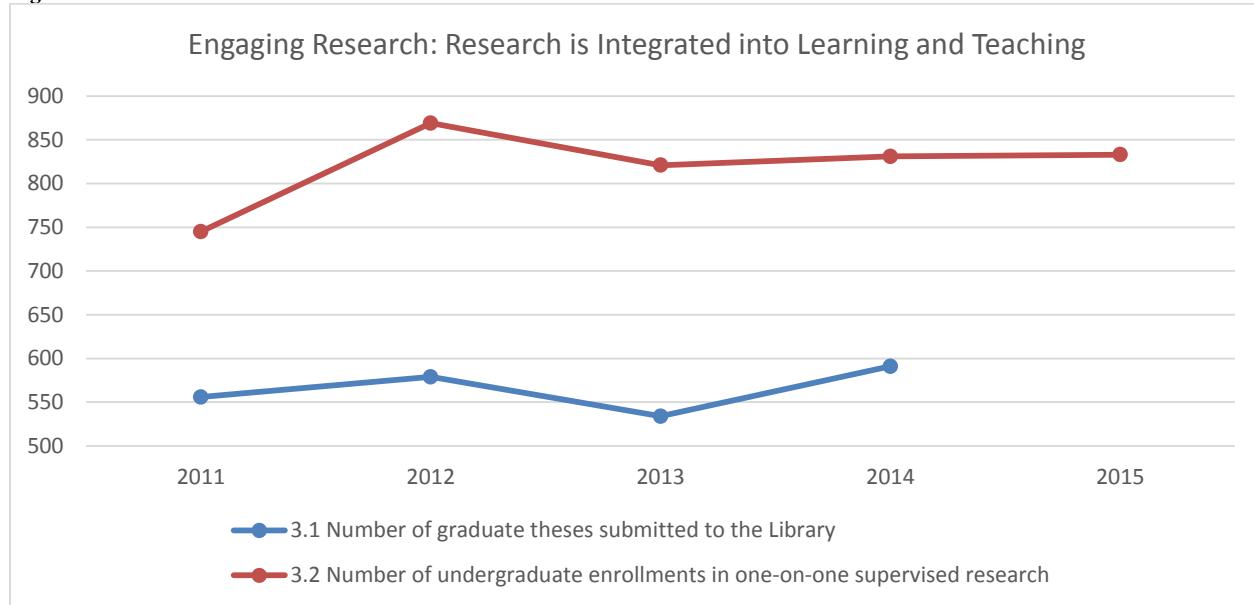
The trend for national co-authored publications follows a similar trend to the international, but at a lower level. The corporate co-authored publication number is steadily rising, but is smaller overall than the other two. Overall, the trend remains relatively steady for this indicator, and when considered alongside the steady upward trend of the previous indicator (Number of Funded Collaborative Research Projects with External Partners), it shows SFU to be an institution that actively seeks collaboration around the globe. With respect to this indicator and Outcome 2, SFU is *on course* and achieving its targets in mobilizing research collaborations with external partners.

4.2.3. Outcome 3 – Research is Integrated into Learning and Teaching

Table 6

Goal: To be a world leader in knowledge mobilization building on a strong foundation of fundamental research.										
Outcome	Indicator		Targets							
			2011	2012	2013	2014	2015	2016	2017	2018
Research is integrated into learning and teaching.	3.1	Number of graduate theses submitted to the Library	556	579	534	591	596	604	612	n/a
	3.2	Number of undergraduate enrollments in one-on-one supervised research	745	869	821	831	833	835	837	840

Figure 6



Indicator #3.1 – Number of Graduate Theses Submitted to the Library

This indicator is intended to show the level of student engagement in research at SFU. It is important to note that both doctoral and master's level theses are included in this measurement, which the University believes gives a more thorough and/or broad representation of the scope of research that is occurring at all levels of the institution.

The total number of graduate thesis submissions at SFU has grown approximately 6% over the last four years. This relatively modest increase in the total number of graduate thesis submissions is partly due to the provincial government scaling back the amount of support for graduate students, prompting SFU's graduate programs to reduce their graduate admission targets (targets are included in the Theme Team Report in the appendix).

With respect to indicator 3.1, SFU is *on course* and on target with graduate thesis submissions, although the Theme Team believes this indicator may be revised, as more data on graduate student publications becomes available.

Indicator #3.2 – Number of Undergraduate Enrollments in One-On-One Supervised Research

Undergraduate students at SFU are immersed in a supportive environment for research and experiential learning, and engage with faculty-directed research projects through seminars, tutorials, co-op semesters, and other volunteer activities and opportunities that stimulate their curiosity in research.

The number of undergraduate student enrollments in research activities with direct supervision has remained very stable in the last three years. As these training activities are highly resource-intensive for faculty researchers, an increase in the number of undergraduate enrollments in supervised research would require increased incentives for faculty members to enable them to supervise more undergraduate students. This issue remains a topic for further discussion, as SFU develops a strategy to increase the research engagement of senior undergraduate students.

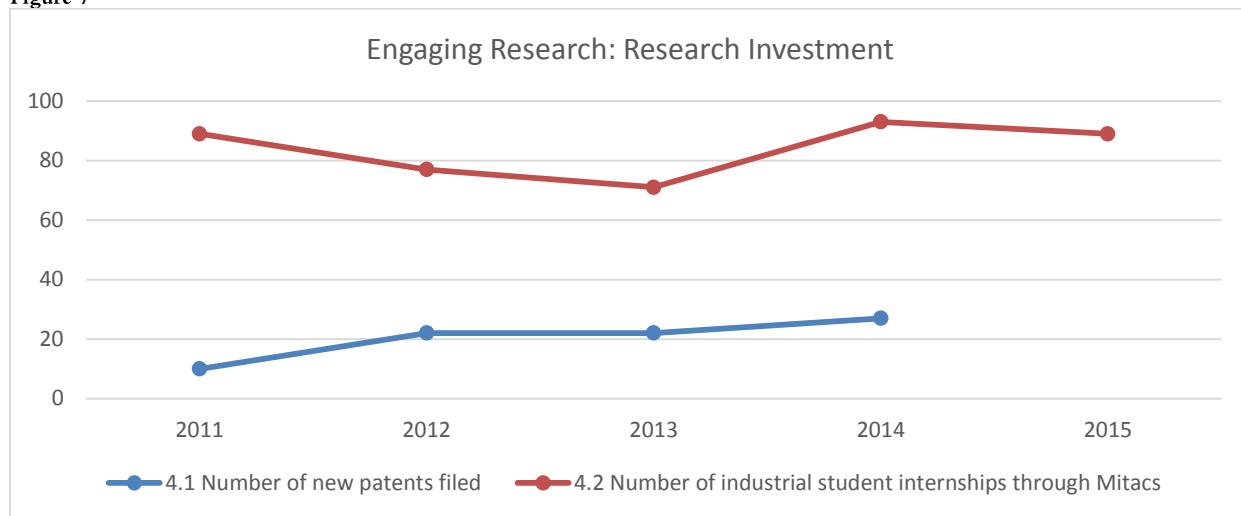
SFU expects to maintain the number of undergraduate enrollments in dedicated research activities at a comparable level over the next three years.

4.2.4. Outcome 4 – Research Investment is Leveraged to Drive Innovation and Transfer of Technology for the Benefit of Society and the Economy

Table 7

Outcome	Indicator	2011	2012	2013	2014	2015	Targets		
							2016	2017	2018
Research investment is leveraged to drive innovation and transfer of technology for the benefit of society and the economy.	4.1	Number of new patents filed	10	22	22	27	28	29	30
	4.2	Number of industrial student internships through Mitacs	89	77	71	93	89	92	100

Figure 7



Indicator #4.1 – Number of New Patents Filed

This indicator provides the number of new patents filed each year through the SFU Innovation Office. While these numbers may not be reflective of all patents filed each year due to SFU's flexible Intellectual Property Policy, the data are indicative of innovation activities at SFU, and provide a good metric for this outcome.

The number of new patents filed each year shows a positive trend, and the data show that SFU is *on course* with respect to new patents, given the overall increase in the number of new patents filed each year. It is expected that this trend will continue as SFU seeks to formalize its innovation agenda over the course of the next few years.

Indicator #4.2 – Number of Industrial Student Internships through Mitacs

Mitacs is a national Canadian not-for-profit organization that supports research internships across academia and industry, with the goal of facilitating innovation. Mitacs internships are intended for graduate students and post-doctoral fellows, and are in effect a partnership between the University and industry.

The number of Mitacs internships has ranged from 71 in FY 2013 to 93 a year later. The low point in 2013 was due to internal program restructuring at Mitacs. Overall, the value of Mitacs awards has increased significantly, which is a sign of the success for both Mitacs and SFU graduate programs. As suggested by this indicator, SFU graduate programs are supporting innovation in research through Mitacs partnerships, and this trend is expected to continue.

4.2.5. Recommendations

The Engaging Research Theme Team has made a number of new recommendations, which include the addition of a new outcome with two corresponding indicators, and one new indicator for each of its other three outcomes.

New Outcome (Outcome 4)

The Theme Team has recommended a new outcome with two corresponding indicators. This outcome, *Research investment is leveraged to drive innovation and transfer of technology for the benefit of society and the economy*, indicates that innovation is a major component of SFU's research portfolio. Its corresponding indicators, "number of new patents filed," and "number of industrial student internships through Mitacs," provide measurable benchmarks of SFU's influence in innovative and entrepreneurial endeavours.

New Indicators

For Outcome 1, *Research is at a high quality level*, the Theme Team has added a new indicator, "percentage of publications in top journal percentiles," which provides a metric for benchmarking the quality of SFU's research relative to Canada, USA, and Europe.

For Outcome 2, *Research is mobilized through partnerships/collaborations with external partners*, the Theme Team has added a new indicator, "number of co-authored publications with external collaborators," which provides a concrete measure of research productivity with partners that showcases the degree of SFU engagement in research with collaborators across multiple levels: national, international, and corporate.

For Outcome 3, *Research is integrated into learning and teaching*, the Theme Team has added a new indicator, "number of undergraduate enrollments in one-on-one supervised research." The Theme Team notes that active participation of undergraduate students in research demonstrates the University's integration of research into learning and teaching.

4.2.6 Conclusion – Engaging Research

The outcomes and indicators laid out in this core theme strongly support SFU's position as one of Canada's top research-intensive universities, set to become a global leader in knowledge mobilization. The indicators address SFU's high quality of research, its far-reaching collaborations and engagement with external partners, its integration of research into training programs for students at all degree levels, and its strategy for innovation and transfer of technology. As the data illustrate, SFU is *on course* and meeting its research targets, and is set to continue the expansion of its research enterprise along all of the above dimensions as it continues to fulfill the University's Vision/Mission.

4.3. Core Theme 3: Engaging Communities

Goal

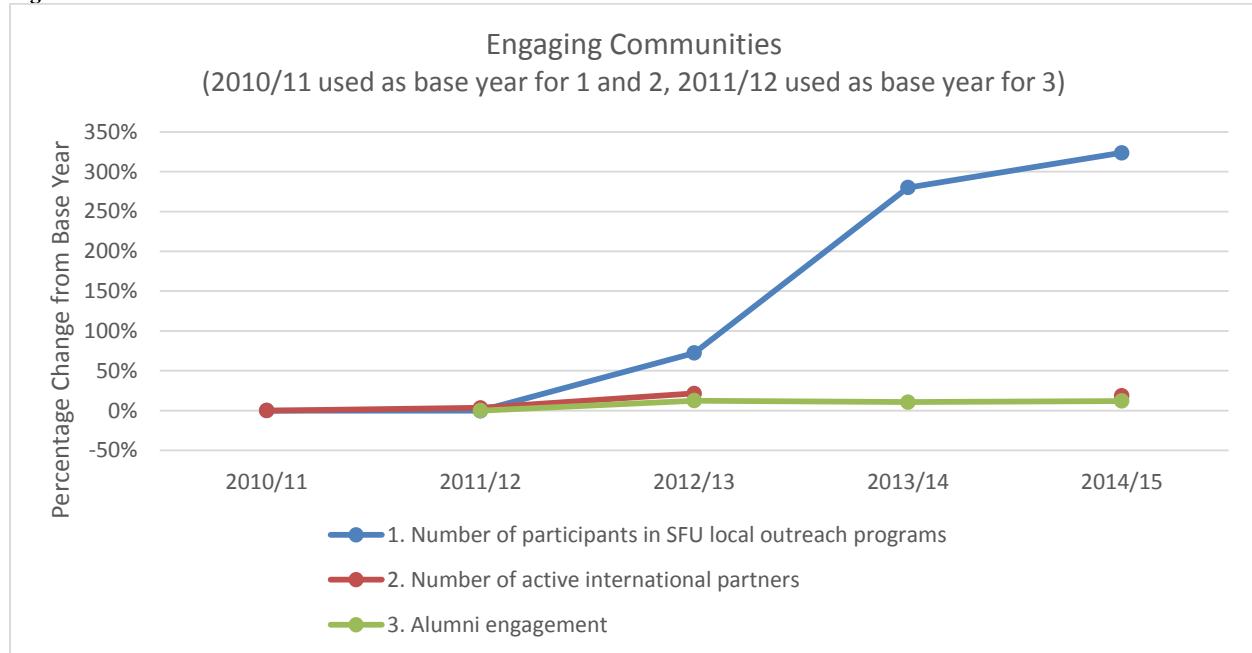
To be Canada's most community-engaged research university.

4.3.1. Outcomes

Table 8

Goal: To be Canada's most community-engaged research university.						
Outcome	Indicator	2010/11	2011/12	2012/13	2013/14	2014/15
SFU is engaged locally.	1. Number of participants in SFU local outreach programs	13,905	13,879	23,953	52,834	58,901
SFU is engaged globally.	2. Number of active international partners	177	183	215	not available	210
SFU is engaged with its alumni.	3. Alumni engagement score ²⁸³	-	1.04	1.17	1.15	1.16

Figure 8



Indicator #1 – Number of Participants in SFU Local Outreach Programs

SFU has a strong tradition of community and continuing education programming. This is evident in the increasing number of participants in its outreach programming over the five years reported. Particularly successful are SFU's Public Square and Science outreach initiatives. It is also important to note that the large jump in outreach participation from 2012/13 to 2013/14 correlates with the release of SFU's Community Engagement Strategy²⁸⁴ in early 2013.

As the Community Engagement Strategy is reviewed and improved in 2016, SFU is confident that participation in its community outreach programs will remain vibrant and continue to increase in popularity. Currently, this indicator is *on course* and fulfilling its objective.

²⁸³ Every contactable alumnus is assigned a score based on his/her level of alumni engagement as follows: Informed (1), Involved (2), and Invested (3). The alumni engagement score is the sum of all points divided by the total number of contactable alumni (tentative). Source: University Planning Framework

²⁸⁴ <https://www.sfu.ca/engage/strategy.html>

Indicator #2 – Number of Active International Partners

SFU is committed to international exchange and partnerships. Of particular note is the dual degree computing science program with Zhejiang University in China that was first launched in 2005. This program was one of the first of its kind worldwide and has served as a model for many institutions around the globe.

SFU currently has approximately 210 partnership agreements with other universities, which include bilateral exchange agreements, consortia exchange relationships, inbound study abroad relationships, collaborative degrees, field schools, and many other projects and programs. In the five years measured, these agreements have increased by approximately 19%. With respect to this indicator, although no data is available for 2013/14, it appears to be *on course* and fulfilling its objective.

Indicator #3 – Alumni Engagement Score

SFU and the Alumni Association established a strategic vision for alumni engagement in 2011/12 with five distinct goals:

1. Build partnerships to expand and strengthen alumni engagement
2. Improve our knowledge of alumni for more personalized engagement
3. Provide programs and services that help alumni learn, grow, and succeed
4. Provide opportunities for alumni to help students learn, grow, and succeed
5. Foster a culture of engagement among students, our future alumni

To measure the level of success in attaining these goals and their contribution to the University's overall Vision/Mission, a measurement/alumni engagement score was adopted. This measurement shows an initial jump from the first year to the second, but has since leveled off in years three and four.

Currently, this indicator is *on course* and fulfilling SFU's Vision/Mission. However, the University does note that the last three years of measurements for this indicator have remained steady.

4.3.2. Recommendations

The Engaging Communities Theme Team is currently satisfied with the indicators being used to measure community engagement. However, they do have recommendations for improvements regarding the activities captured by each of the indicators. The Theme Team recommends that the University add several additional programs to better represent the breadth of community outreach and engagement, which will further support growth in Indicator 1. For Indicator 2, the Team recommends that SFU International²⁸⁵ implement a measurement of partnership depth in future years in addition to the total number of partnerships. For Indicator 3, the Team currently does not have any recommendations.

4.3.3. Conclusion – Engaging Communities

Currently, the indicators for this theme are *on course* and moving in a positive direction. Given the changing methodology in calculating the indicators, the rapid growth of activities, and the uncertainty of continued external funding, the Theme Team does not recommend aspirational targets be established. The implementation of targets could be reviewed at the next mid-term review. In future years, the current indicators could be modified if a university-wide event registration system being implemented in 2015/16 is continued, and if there is the opportunity to include questions as part of an online faculty curriculum vitae system.

In 2016, there will be a process to renew the Community Engagement Strategy, especially in light of integrative initiatives in Engaging Students and Engaging Research (see Engaging Communities Theme Team Report in the appendix for the proposed process and timeline). Current investigations by the Vice-President, Research will result in an understanding of the needed infrastructure to support community-based research and innovation.

²⁸⁵ <http://www.sfu.ca/international.html>

Possible institutional investments in an experiential learning credential and other avenues to increase student engagement will also result in SFU advancing its vision of embedding community engagement in the Vision/Mission.

4.4. Fundamental Theme: Leveraging Institutional Strength

Goal

To become financially flexible by continuously improving our administrative systems and strengthening our infrastructure and to engage the best people.

4.4.1. Outcomes

Table 9

Goal: To become financially flexible through continuous improvement of administrative systems, strengthening of infrastructure, and recruitment and retention of the best people.							
Outcome	Indicator		2010/11	2011/12	2012/13	2013/14	2014/15
SFU is financially sound.	1.	Net operating assets as a % of consolidated revenues	7%	6%	4%	4%	3%
SFU has IT services that support its priorities.	2.	Joint availability of core services	n/a	n/a	n/a	99.84	99.97
SFU attracts and retains the best people.	3.	Canada's Top 100 Employers	Yes	Yes	Yes	Yes	Yes
SFU has facilities that meet its needs.	4.	Facilities Condition Index	-	-	0.43	0.47	0.53

Indicator #1 – Net Operating Assets as a Percentage of Consolidated Revenues

With the introduction of new accounting standards, and the careful management of reserve levels, this indicator has dropped from its high point in 2010/11. However, net assets in the range of 2% to 9% still represent a reasonable level of operational reserves, given that contributions have been made to the deferred maintenance from the operating budget. For 2014/15, SFU remains within its target range and is *on course* with respect to this indicator.

Indicator #2 – Joint Availability of Core Services

As there is no “industry standard” single metric for the performance of IT services, the Theme Team adopted a measurement expressed as a percentage of time the SFU system is performing as designed for all users. The measurement has only been in place for two years, but the initial readings indicate how well the priority core IT services at the University are being employed. However, this indicator will be subject to further review.

SFU is *on course* with this indicator.

Indicator #3 – Canada's Top 100 Employers

SFU consistently ranks in the top 100 rankings of employers by Mediacorp Canada,²⁸⁶ the country's leading employment periodicals publisher. Mediacorp assesses employers using eight criteria:

9. Physical workspace
10. Work atmosphere and social atmosphere
11. Health, financial, and family benefits
12. Vacation and time off
13. Employee communications
14. Performance management
15. Training and skills development
16. Community involvement

²⁸⁶ <http://www.canadastop100.com/national/>

SFU has been in the top 100 list every year since 2008, which is a good indicator of the University's commitment to its employees and its ability to provide them with a positive work environment and culture.

Indicator #4 - Facilities Condition Index

In 2012/13, SFU adopted the Facilities Condition Index (FCI) for all of its campuses. FCI is an accepted industry metric for determining the relative condition of constructed assets at a specific point in time. It is the ratio of the cost of deferred maintenance and capital renewal to current replacement value. For example, an FCI of zero means that a building is brand new, while an FCI of 1.00 means that a building has no useful life left.

SFU's FCI of 0.53 for 2014/15 falls in the range of "poor" condition. However, it should be noted that this is a measure of the University's entire building portfolio, with many buildings having an FCI far in excess of 0.53 and some buildings being in better condition. In 2014/15, the University completed \$15 million worth of deferred maintenance-related work and established a Deferred Maintenance Initiative with a \$30 million line of credit.

4.4.2. Recommendations

Indicator #1 - Net Operating Assets as a Percentage of Consolidated Revenue

This indicator was updated in June 2014 and was previously expressed as the dollar value of net unrestricted assets. The new indicator is considered more representative of the financial health of the University as it is now directly linked with consolidated revenue and provides for a better year-over-year comparison.

SFU is currently satisfied with this indicator and has no immediate recommendations to change it.

Indicator #2 - Joint Availability of Core Services

SFU adopted its current measurement of IT services two years ago. Initial results are proving to be favourable and useful. However, it is acknowledged that this metric is broad based, unweighted, and susceptible to diminishing returns. Since the IT Services department at SFU is currently undergoing a period of transformation, it is anticipated that this metric will be reviewed and possibly replaced with one that is more focused and provides a more robust measure of IT criticality and performance.

Indicator #3 - Canada's Top 100 Employers

This continues to be an effective measure in determining whether or not SFU attracts and retains the best people. However, the University may consider developing a support metric to supplement the Canada's Top 100 Employers indicator due to its binary nature, as any given organization is either "on the list" or "off the list."

SFU is exploring the possibility of implementing an employee engagement survey that would provide valuable information for understanding SFU's employee satisfaction levels.

Indicator #4 - Facilities Condition Index

The FCI is an effective tool of measurement and can be used to make a political statement regarding deferred maintenance. (If all post-secondary institutions adopt FCI, then it could act as a standardized or uniform guide for the Ministry of Advanced Education in regards to provincial funding decisions.) However, it is more complex than just a single average FCI. If all buildings had an FCI of 0.53 this would be acceptable. In reality, many important buildings have an FCI of 0.70, which is not acceptable. A policy goal may be to not have any buildings with an FCI over 0.80 and an overall average FCI target of 0.35. This could be adopted as an SFU policy with a concerted effort to implement this as a system-wide Ministry of Advanced Education policy. It is recommended that, as information matures, the University consider a more detailed review of FCI values for the entire building portfolio, and update the indicator accordingly. A more detailed approach to indicator tracking would provide important information to guide overall University infrastructure planning and enhance government lobbying efforts.

4.4.3. Conclusion – Leveraging Institutional Strength

These measurements reflect SFU's overall financial strength, the strength of ITS resources, the strength in human capital, and the condition of SFU's facilities. These indicators can drive where and how the University allocates resources. Based on the measurements for the documented five-year period, SFU is meeting its goals and objectives for this fundamental theme.

5. Conclusion

This Strategic Review has determined that the goals and indicators within the Planning Framework are reasonable and provide a consolidated measurement reflecting SFU's Vision/Mission fulfillment. Based on the Theme Team reports and this overall assessment, SFU is confident that all objectives and outcomes are being achieved. Therefore, it can be said that SFU is fulfilling its Vision/Mission.

It is suggested that a similar process be led by the Vice-Presidents in regards to each of their respective and subordinate plans that make up the overall Planning Framework. This approach will provide a cohesive and overarching assessment of all facets and areas of the University as it strives to continually improve and achieve its Vision/Mission.

Table 10

Core Theme Assessment for 2015	
Core Theme	Outcomes
Engaging Students	<ul style="list-style-type: none"> Students gain the knowledge to complete the degree requirements.
	<ul style="list-style-type: none"> Students acquire skills necessary in an ever-changing world.
	<ul style="list-style-type: none"> Students apply knowledge in the workplace or further studies.
Engaging Research	<ul style="list-style-type: none"> Research is at a high quality level.
	<ul style="list-style-type: none"> Research is mobilized through partnerships/collaborations with external partners.
	<ul style="list-style-type: none"> Research is integrated into learning and teaching.
	<ul style="list-style-type: none"> Research investment is leveraged to drive innovation and transfer of technology for the benefit of society and the economy.
Engaging Communities	<ul style="list-style-type: none"> SFU is engaged locally.
	<ul style="list-style-type: none"> SFU is engaged globally.
	<ul style="list-style-type: none"> SFU is engaged with its alumni.
Leveraging Institutional Strength	<ul style="list-style-type: none"> SFU is financially sound.
	<ul style="list-style-type: none"> SFU has IT services that support its priorities.
	<ul style="list-style-type: none"> SFU attracts and retains the best people.
	<ul style="list-style-type: none"> SFU has facilities that meet its needs.

SFU is
Fulfilling its
Vision/Mission

6. Strategic Review Appendices

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Simon Fraser University Strategic Review

Core Theme Report 2015 - Engaging Students

October 1, 2015

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SFU's Core Theme: Engaging Students:

"To equip SFU students with the knowledge, skills, and experiences that prepare them for life in an ever-changing and challenging world."

Introduction:

The goal of this review is to examine, through assessment, how the core theme of *Engaging Students* has contributed to the overall mission of the university. In particular the review examines the alignment among the goals articulated, the desired outcomes, and the indicators selected to demonstrate success.

The Engaging Students Theme was assessed in detail for the Mid-Cycle Report submitted to the NWCCU in September 2014. As part of that submission the Engaging Students Theme Team assessed the progress being made and provided recommendations for improvement of the indicators. For this Comprehensive Report, the assessment provided in 2014 has been updated.

A working group was struck to review the theme (see Appendix A for membership) as part of the mid-cycle review in 2014. The Engaging Students theme group undertook three key activities:

1. Reviewed SFU's Strategic Review (April 2014) to assess the extent to which SFU is achieving this theme's articulated goals.
2. Reviewed the effectiveness of the current indicators and suggested changes that could be adopted going forward.
3. Made suggestions regarding how the institution could be more effective in achieving the outcomes for this theme.

For this report, the data submitted for the Mid-Cycle Report has been updated. Although this report will address each of these activities in turn, it is clear that they are highly interrelated. For example the discussion regarding the extent to which SFU currently achieves its goals is directly related to evaluating the selected goal and indicators.

Theme Description

GOAL: TO EQUIP STUDENTS WITH THE KNOWLEDGE, SKILLS, AND EXPERIENCES THAT PREPARE THEM FOR LIFE IN AN EVER-CHANGING AND CHALLENGING WORLD.

SFU will foster supportive learning and campus environments.

Combining the best traditions of academic and teaching excellence, SFU will provide students with diverse and transformative learning opportunities that enable them to gain the knowledge, critical capacities, research skills, and civic understanding required to become engaged global citizens and to thrive and adapt in demanding and dynamic environments.

Students will have opportunities to participate in advanced research, thereby sharing in the labour and joy of creating and applying knowledge while acquiring the skills for lifelong learning.

Students will have access to an unparalleled selection of experiential learning opportunities that allow them to apply knowledge, to grow as individuals, to engage with diverse communities, to develop entrepreneurial skills, and to refine their sense of civic literacy.

There is general satisfaction with the goal and its description.

As part of the 2014 Mid-Cycle Review, the committee evaluated the outcomes and indicators. In the Year One Self-Evaluation Report that was submitted to the NWCCU in 2012 SFU had identified three indicators (see Table 1).

Table 1: Indicators from Year-One Self-Evaluation Report (2012)

Outcome	Indicator
Students gain the knowledge to complete degree requirements.	<ul style="list-style-type: none"> Composite graduation rate (%) (6 year graduation rate for undergraduate programs, 4 year for Masters programs and 6 year for Doctoral programs)
Students acquire skills necessary in an ever-changing world.	<ul style="list-style-type: none"> Participation rate of graduating students in experiential learning (%)
Students apply knowledge in the workplace or further studies.	<ul style="list-style-type: none"> % students employed or engaged in further studies

The Committee found that more indicators were needed to adequately review our performance. The new indicators are consistent with the intent of the original indicators but are intended to be useful in the longer-term and provide a more nuanced assessment of achievement. The indicators and the current performance can be found in Table 2.

Assessment of Theme Performance

SFU is Achieving Satisfactory Progress for its Core Theme of Engaging Students

Looking at the data outlined in Table 2 SFU is achieving its goals for the Student Engagement Theme. Some observations:

- In support of the outcome of students gaining the knowledge to complete degree requirements we report the 6-year graduation rate for undergraduate and graduate students. The graduation rates are quite steady. The committee indicated that ideally the rates could be improved. Information from the Fall Undergraduate Student Survey indicates that the main reasons students extend the time to credential completion is due to course availability issues (e.g., full courses, scheduling conflicts), students choosing to reduce their course load, and students working in a job outside of SFU's Coop program. While we don't have data about graduate student degree completion times the committee was not concerned with the current statistic of 79 percent completing after 6-years.

Table 2 – University Planning Framework Indicators – Student Engagement

Theme	Outcome	Indicator	Fiscal Year					Goal Achievement
			2010/11	2011/12	2012/13	2013/14	2014/15	
Engaging Students	Students gain the knowledge to complete degree requirements.	Undergraduate composite graduation rate (%) (6-year graduation rate) for degree programs	63%	63%	60%	57%	60%	On Course Achieving
		Graduate composite graduation rate (%) (6-year rate for Masters programs and 8-year rate for Doctoral programs)	79%	79%	77%	80%	79%	On Course Achieving
		Undergraduate retention rate (%) (year 1 to year 2)	85%	86%	86%	87%	87%	On Course Exceeding
		Graduate retention rate (%) (year 1 to year 2)	93%	93%	94%	94%	95%	On Course Exceeding
	Students acquire skills necessary in an ever-changing world.	Undergraduate average credits in Cooperative Education and Field Schools per graduating student	7.77	8.17	8.38	8.29	8.70	On Course Achieving
		Undergraduate student assessment of skill development (average %) as measured by the BC Baccalaureate Graduate Survey	78%	78%	79%	78%	82%	On Course Achieving
		Graduate student assessment of skills and abilities acquired during graduate program, as measured by the SFU Graduate Exit Survey	-	-	88%	91%	92%	On Course Achieving
	Students apply knowledge in the workplace or further studies.	Undergraduate student assessment of usefulness of knowledge and skills gained in performing job, as measured by the BC Baccalaureate Graduate Survey	82%	81%	82%	81%	80%	On Course Achieving
		Graduate student assessment of graduate experience in current employment/position, as measured by the SFU Graduate Exit Survey	-	-	82%	84%	88%	On Course Achieving
		Undergraduate student assessment of academic preparation for further studies, as measured by the BC Baccalaureate Graduate Survey	84%	84%	83%	78%	79%	On Course Achieving
		Graduate student assessment of academic preparation for further studies, as measured by the SFU Graduate Exit Survey	-	-	87%	90%	90%	On Course Achieving

- The retention rates of undergraduates and graduates from year 1 to year 2 are strong. In the case of undergraduates the current rates are much improved from a decade ago.
- The indicators in support of the outcome of “students acquire the skills necessary in an ever-changing world” are strong. There is an increase in the number of credits that undergraduates are taking in Cooperative Education and Field Schools. The data from the BC Baccalaureate Graduate Survey compares favorably to other institutions in the Province.
- The indicators in support of the outcome “students apply knowledge in the workplace or further studies” are favorable. The Committee did note that there was a modest decline in undergraduate students’ assessment of academic preparation for further studies and recommended that this may benefit from further exploration. Students self-report are higher at the time of graduation than it is on the BC Baccalaureate Graduate Survey, which is two-years post graduation. It is difficult to measure this reliably beyond the two-year assessment but it would be useful to have that information. Nonetheless, the outcomes indicate high levels of knowledge application overall and this is reflected in “real time” by the steady growth in SFU Coop programs (i.e., increase in the number of students being hired).

In addition to the stated indicators the group also considered information from relevant national, provincial, and institutional surveys. All the information reported in this section is publicly available at www.sfu.ca/irp or at the BC Student Outcomes website: http://outcomes.bcstats.gov.bc.ca/BGS/BGS_Info.aspx.

Looking at the National, Provincial, and SFU’s own student surveys it is notable that SFU students report:

- CUSC 2015
 - 88% feel satisfied or very satisfied with the quality of their SFU education (slightly higher than the national average)
 - Satisfaction in terms of their communication skills (written, oral, and interpersonal cooperation) as well as their analytic and learning skills, equal to that of the national average
 - 75% agree or agree strongly that they feel they are part of the University
 - 88% indicated they would recommend the university to others (the same as the national average)
- BGS 2014
 - Over 81 percent of SFU respondents reported that their institution had helped them to develop a variety of such skills.
 - Skills associated with critical analysis and independent learning were rated the highest (91%). Communication skills—reading and comprehending material, writing clearly and concisely, and verbally expressing opinions or ideas—were also highly rated. Almost nine out of ten graduates (87 percent) gave reading comprehension the highest ratings, and eight out of ten graduates gave the highest ratings to the skills associated with clear and concise writing (84 percent) and verbal communication (83 percent). A similar proportion gave very high or high ratings to skills associated with group collaboration (working effectively with others, 79 percent) and problem resolution (79 percent).
 - Employed graduates were also asked to rate the usefulness of knowledge, skills, and abilities they acquired during their baccalaureate education in both their work and their day-to- day life. The knowledge, skills, and abilities graduates learned were deemed very useful or somewhat useful in their work by 80 percent of graduates, and determined to be very useful or somewhat useful in their day-to-day life by 76 percent of graduates.
- Fall Undergraduate Student Survey 2014 results were very similar:
 - 88% of respondents are satisfied that SFU is equipping them with critical thinking skills
 - 90% of respondents are satisfied with their general SFU experience
 - 87% are satisfied with the quality of teaching

Overall, the results from the indicators for engaging students are satisfactory. However, as an institution that strives for continuous improvement, there are two areas noted in the surveys where we would like to

strengthen our programs and services. The first is the observations that students continue to seek and request improvements to student life and campus community (e.g., events, clubs, and athletic events) as well as improved student spaces (e.g., events and study space). The second observation is students' self-rating of the acquisition of key employment skills (specific knowledge and skills for employment) and life skills (interpersonal skills, self-confidence, & leadership) is below the national average. We plan to conduct further research to improve our understanding of these issues. Both these observations inform proposed changes to our programs and services outlined in Part 3 of this document.

Suggested Improvements

A number of activities that maintain and improve performance of each theme were submitted as part of the 2104 Mid-Cycle Review. Briefly stated the following key activities are underway and some actions were proposed to improve effectiveness.

Goal: Students gain the knowledge to complete the degree requirements.

Key activities to sustain and improve:

- Recruitment of students who best fit SFU's academic profile and program choices:
- Support programs that encourage student retention, including those for specific populations (e.g., indigenous, international, first-year, scholarship students, etc.)
- Policy/Procedure/IT System features to promote/support academic success
- Use of assessment data to track performance and make improvements

New initiatives:

- Complete English as an Additional Language (EAL) project and implementation to support student success
- Enhance programming to link academic choices (e.g., program and course selection) to chosen career
- Increase the number and variety of activities recognized by SFU's Co-curricular Record (My Involvement)
- Focus on developing targeted programs to address Truth and Reconciliation Commission recommendations to better support aboriginal student success
- Increase programs and services to meet the needs of Commuter students
- Enhance student residences and related residence life programming
- Enhance policies and procedures that will improve course access for students (e.g., additional sections to meet demand, uniform use of waitlists in student information system, other system based information to enhance planning, etc.)
- Implement Customer Relations Management system to coordinate student support
- Examine recommendations from the Flexible Education Task Force (Spring 2015)
- Review of Major scholarship programs.
- Revising evaluation of teaching (Spring 2015)
- Educational goals and assessment will help inform external reviews.
- Establish a working group on student surveys

Goal: Students acquire skills necessary in an ever-changing world

Key activities to sustain and improve:

- Enhance experiential learning opportunities & develop staff and faculty community of practice
- Professional Development for graduate students (APEX program)
- Research based opportunities (e.g., tri-council research assistantships, employment by faculty on research projects)

New initiatives:

- Complete implementation of Co-curricular Record (My Involvement)
- Increase support for participation in Field Schools and International Coop
- Provide support for the development and diversification of field schools

Goal: Students apply knowledge in the workplace or further studies

Key activities to sustain and improve:

- Changed undergraduate curriculum to emphasizing writing, quantitative and breadth requirements to better address employability skills
- Improving career services (philosophy) to engage students earlier in making connection with academic choices
- Added program offerings (coop, certificates at the graduate and undergraduate level) to directly address employability.
- Implemented Bachelors-Masters concurrent programs
- Enhanced dual credit recognition Bachelors/Masters courses
- Incubation & innovation programs
- Increased partnership programs with technical and applied schools
- Draw on knowledge from business advisory boards to design and revise some programming
- Continue to offer small grants for student lead projects and initiatives

New initiatives:

- Undertake a program proposal to enhance career planning for newly admitted students to operate under a Faculty in conjunction with service units (e.g., Student Services, & Learning Commons)

Conclusion

Overall SFU is achieving satisfactory progress on its core theme of engaging students. In addition to the information collected related to SFU's indicators there is considerable evidence from institutional, provincial, and national surveys to substantiate the claim. SFU is committed to countless programs and services to maintain and improve its performance. The area of "student life" has been noted as an area for improvement and the institution is committed to undertaking the challenge in collaboration with students and the broader campus community.

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SFU Annual Strategic Review 2014

Baccalaureate Graduate Survey – Report of the findings 2014:

http://outcomes.bcstats.gov.bc.ca/Publications/BGS_Publications/BGSReportsByDiscipline.aspx

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Canadian University Survey Consortium Graduating Students Survey, Simon Fraser University Report, 2015

<http://www.sfu.ca/content/dam/sfu/irp/surveys/cusc/cusc2015reportSFU.pdf>

Simon Fraser University Fall Undergraduate Survey 2014

<http://www.sfu.ca/content/dam/sfu/irp/surveys/ugss/ugss2014report.pdf>

Simon Fraser University Year-One Self-Evaluation Report:

http://www.sfu.ca/content/dam/sfu/vpacademic/files/vp_academic_docs/pdfs/YearOneSelfEvaluationReport.pdf

Appendix A – Working Group Membership

Brady Yano	Undergraduate Students & VP University Relations, Simon Fraser Student Society
Elaine Fairey	Associate University Librarian, Learning & Research Services
Gord Myers	Associate Vice-President Academic
Jo Hinchliffe	Director, Senate & Academic Services
Nancy Johnston	Executive. Director Student Affairs
Peter Lilijedahl	Associate Professor, Faculty of Education & Assoc. Dean (Academics) Grad Studies
Rumman Khan Hemani	Sr. Director, Student Success & Strategic Support
Tim Rahilly	Associate Vice-President, Students (Committee Chair)
Yvonne Tabin	Assoc. Dean, Lifelong Learning
Zareen Naqvi	Director, Institutional Research and Planning

Simon Fraser University Strategic Review

Core Theme Report 2015 - **Engaging Research**

October 1, 2015

Introduction

SFU is Canada's leading comprehensive university, distinguished as one of the country's fastest growing and most versatile research institutions, with globally recognized strengths across a range of core and interdisciplinary fields. With eight major Faculties, carrying out world-class research from fundamental sciences to business incubation, from environmental resource management to innovations in medical technology, computational criminology to robotics, and population health to big data science, SFU is committed to becoming a world leader in knowledge mobilization, building on a strong foundation of fundamental and applied research. At the heart of SFU's research enterprise is a strategy for wide-spread collaboration and partnership building across several sectors, within public and private organizations. As a place of training, SFU's undergraduate and graduate programs provide a stimulating and supportive environment to foster experiential learning and innovation, with an emphasis on real-world solutions.

The purpose of this review is to define an analytical framework, and develop a set of outcomes and indicators that measure SFU's progress within its research enterprise, and provide recommendations on future courses of action, in alignment with the university's Vision/Mission. The research theme team has sought input from the university's Vice-Presidents and Deans, research and teaching faculty, the Library, research staff, and students, to represent a balanced view of the university's research community. SFU's ongoing commitment to managing the collection of research performance data and analysis ensures that the University will self-monitor its progress, as a component of its strategic plan for growth and engagement, and to improve its competitive advantage as a world-class research university.

1. Theme Description

GOAL – TO BE A WORLD LEADER IN KNOWLEDGE MOBILIZATION, BUILDING ON A STRONG FOUNDATION OF FUNDAMENTAL RESEARCH.

SFU will leverage its fundamental research strengths, including interdisciplinary research, close community connections, and partnerships and collaborations to become a global leader in research mobilization.

SFU will support and promote the full continuum of research, from the fundamental generation of knowledge, through the dissemination of that knowledge within the academic community and beyond, to the application of transformative ideas for the benefit of society.

SFU will promote research excellence, supporting and encouraging all researchers, including undergraduates, graduate students, faculty, staff members, and community partners who assist the research mission.

SFU will seek opportunities to transfer the results of its research to the broader society, including policy-makers, civil society leaders, and the community.

The theme team reviewed the research outcomes and indicators in the Mid-Cycle Evaluation Report (2014), and implemented a few methodological enhancements. A new outcome on innovation and commercialization of research was added, with associated indicators, to capture the role of institutional investments and engagement in the innovation ecosystem. The team identified additional indicators for existing outcomes to better reflect the performance of university research within the context of its Mission, and made a number of improvements to the management of research performance data and their analysis to capture the results of the indicators both at a finer level of detail, and with broader scope. Most significantly, the theme team subscribed to an improved system of abstract and citations database, allowing access to a number of new, meaningful publication research metrics to more accurately benchmark the research activities of the university within the Canadian and international research landscape. These metrics enable the university to identify its key strengths in the context of research trends globally, through identifying clusters of researchers producing high-impact publications, and closely-knit collaborations.

As SFU has an active innovation agenda, and is initiating a strategy to expand its transfer of technology activities, the theme team recommended the addition of an outcome that reflects the university's engagement and investment in research activities leading to innovation and commercialization of research results. The new indicators included are (1) Number of new patent applications filed each year; and (2) Number of graduate student internships with industry enabled through national academic-industry partnership and innovation program, Mitacs.

OUTCOME 1: Research is at a high quality level

Central to the core mission of the University's research enterprise is a commitment to high standards of research quality. SFU is consistently recognized in world university ranking systems as one of Canada's top research universities, to a large part due to its research impact across a broad range of fields. Although SFU is among the youngest of Canada's research-intensive universities, it has gained a reputation for the high quality of its research output, and participation in world-class research collaborations. Our researchers publish in many of the world's highest ranking journals, and consistently produce or collaborate on some of the world's most highly cited publications. In the latest QS World University Rankings (2015/16), SFU is ranked #2 in Canada and #66 in the world for its number of citations per faculty, as a metric of research impact.

Indicator 1.1: Total Number of Citations

The total number of citations per year for SFU research publications has been steadily rising. Figure 1 provides the number of citations for SFU publications for five-year publication cycles. Since research articles require several years from their date of publication to reach their fullest impact—i.e. the time it takes for the publication to reach its audience, and for the citing literature to be published—it is customary to select five-year publication cycles to study the impact of a publication.²⁸⁷



Figure 1: Total number of citations for 5-year publication periods

The number of citations were obtained through Thomson Reuters' *InCites*, a research analytics platform based on the *Web of Science* database. For each reporting period, the total number of citations for the preceding five years are counted. The citation counts are based on the number of times SFU articles, published within each five-year publication period, have been cited during the same period.

The citations data suggest that SFU research is steadily gaining greater impact each year, although the rate of growth in impact displays some fluctuations. In particular, the number of citations reported in 2013 and 2014 grew at a rate of 26% and 17% respectively, as opposed to the more modest growth of 6% and 7% for years 2012 and 2015. These peaks in citations are mainly due to the major scientific discovery of the Higgs Boson in 2012, in which several SFU researchers played a prominent role, accounting for over 7,500 citations over this period (see also Indicator 2.2 below).

It should be noted that bibliometric data for Social Sciences, Arts and Humanities are known to be problematic, as books and monographs are poorly represented in major databases of abstracts and citations, such as *Web of Science* and *Scopus*. While our citation metrics capture journal publications in Social Sciences, Arts and Humanities, these data do not represent the full spectrum of scholarly activities in certain disciplines. We are currently in discussion with several

²⁸⁷ See e.g., D Wang, Song C, Barabási AL. Quantifying Long-Term Scientific Impact, *Science* 342, 127-132 (2013).

data providers to address this gap, and will look for alternative metrics that are better suited to research fields not best represented by citation data.

As the data indicate, SFU research is gaining a steady impact each year, as SFU expands its research enterprise, and strives to promote research excellence.

The mid-cycle evaluation report for the NWCCU (2014) reported citation counts for six-year publication cycles, illustrating the same trend. However, the theme team determined that a five-year publication cycle is a more robust period for measuring citation impact. As the data show, SFU is *on course* with respect to this indicator, and is achieving its target. These citation trends are expected to continue, and accounted for in our three-year targets.

New Indicator

Indicator 1.2: Percentage of Publications in Top Journal Percentiles

In addition to citation count of publications, used as the primary indicator of research impact, quality of scientific research and scholarship can also be captured by the quality, reputation, and competitiveness of the journals in which the articles are published. Given SFU's overall high-impact research output, the theme team added a second indicator to capture the proportion of SFU research that meets the highest quality standards, as evaluated by the experts in each field of research.

While researchers within each discipline are aware the high-ranking journals in their own field, several well-accepted metrics exist within academic publishing communities that are widely used to quantitatively rank journals by their quality and impact. Among these, the Source-Normalized Impact per Paper (SNIP) metric, developed at the Centre for Science and Technology Studies (CWTS) at the University of Leiden, measures the contextual citation impact of a journal for a given discipline, and can be used to identify the top-ranking journals within a discipline with certain degree of precision. Elsevier's *SciVal* research metrics tool, which is based on *Scopus*, currently the largest database of scientific and scholarly abstracts and citations, provides a metric to determine the number of articles at an institution that are published within the top journal percentiles in each field. For this report, we provide the percentage of SFU articles published within the top 10% and top 5% of journals in fields where SFU research is active, and compare that with the Canadian, American, and European averages (Figure 2).

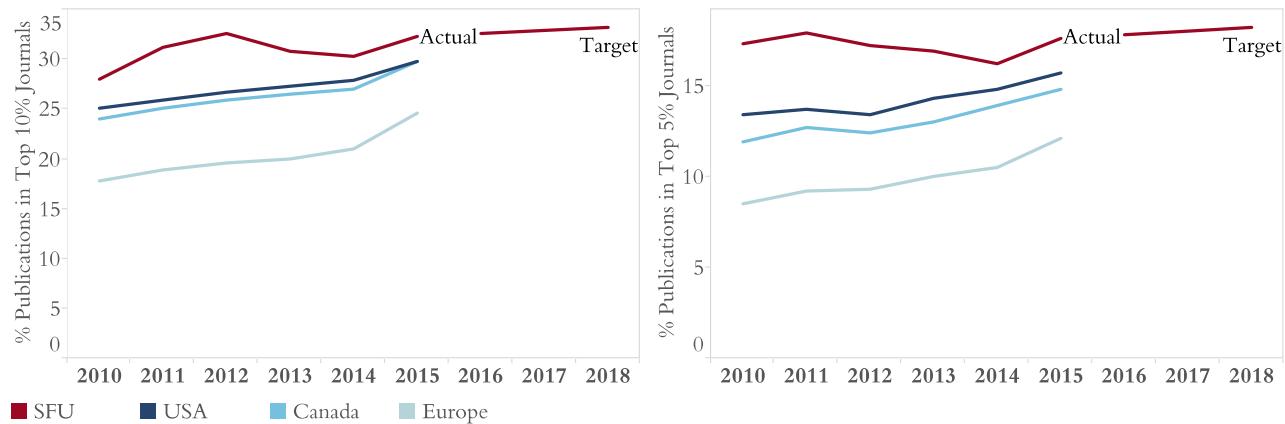


Figure 2: Percentage of publications in top 10% and top 5% journals

As indicated by Figure 2, the share of SFU's total number of publications that are considered high-quality by their inclusion in the world's top 10% and 5% Journals is consistently well above the averages for Canada, the United States, and Europe. Accordingly, over the last five years, between 28 – 33% of SFU's research publications have been considered by expert peer-reviewers to be among the top in their field, and an average of 17% of SFU's publications appeared in the very best journals.

These data suggest that SFU is *on course* with respect to the publications in top journal percentiles indicator, and is achieving its quality metric. Our three-year targets are set with the view that SFU will maintain its share of top-quality publications at comparable levels.

Rationale for Indicator 1.2

While citation data is a widely used indicator of research impact, publications in top journal percentiles provide a metric for benchmarking the quality of the university's research relative to regional averages.

Indicator 1.3: Tri-Council Research Funding

While citation metrics form the standard measure of research impact, research income is also widely recognized as a measure of research quality. Research funding data are frequently used in world university rankings, such as the well-known Times Higher Education for World University Rankings. However, total funding for research may not always be a stable indicator of research quality, as the criteria and value for different funding organizations vary widely. While research funding is ostensibly an input metric, given the right control, it is possible to monitor sponsored research income as an indicator of research quality. This is the case with major federal funding agencies, which are strictly governed by a peer-review system, ensuring that only competitive proposals of the highest scientific merit are funded. In Canada, the Tri-Council Agencies are the core source of operating federal funding for research, and account for an average of 28% of total research funding in Canada.²⁸⁸ Because quality assessment is built prominently into Tri-Council funding competitions, success in Tri-Council research funding can be used as an indicator of research quality.

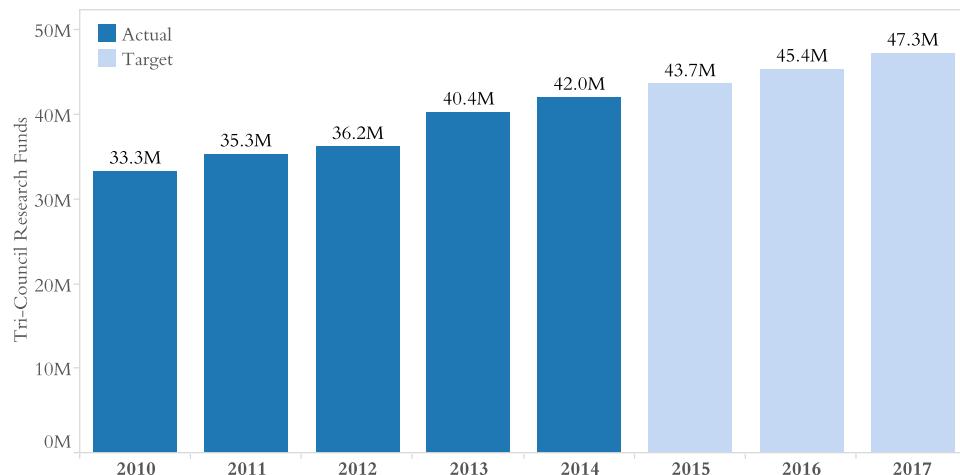


Figure 3: Tri-Council research funding

As shown in Figure 3, SFU researchers have competitively attracted larger research funds each year through the federal Tri-Council system, which attests to SFU's commitment to high standards of research, and promotion of research excellence. The university provides dedicated resources to supporting researchers in their application to the Tri-Councils through Grants Facilitation and application management, and provides cash and in-kind resources to maintain a supportive research environment for world-class research discovery and training.

In terms of the rate of growth in research income through the Tri-Councils, in 2013, SFU was successful on a number of large, national initiatives, leading to a significant \$4.2M or 10% increase in Tri-Council funding that year. Considering the relatively flat federal budget allocated to the Tri-Councils in recent years, steep increases to the

²⁸⁸ This average is calculated based on a five-year period, obtained through Financial Reports published annually by the Canadian Association of University Business Officers (CAUBO): www.caubo.ca

University's research income through the Tri-Councils are unlikely. While SFU expects to see a continued growth in Tri-Council research funding, targets for the next three years are set at a growth rate of 4%. With respect to this indicator, SFU met its \$42M Tri-Council funding target for 2014, and is *on course*.

Overall, SFU is meeting its goals for the Research Quality outcome along all three indicators, and is achieving its targets.

OUTCOME 2: Research is mobilized through partnerships/collaborations with external partners

Central to SFU's research enterprise is a commitment to engaging research with our external partners to form a seamless continuum from ideas to discovery to training and innovation. Successful collaboration is a key contributor to SFU's accomplishments in research, and it is a necessary leadership strategy for the mobilization of knowledge in the interconnected research ecosystem of 21st century.

Indicator 2.1: Number of Funded Collaborative Research Projects with External Partners

As an indicator of SFU's research engagement at the local, national, and international levels, and across multiple sectors, the number of funded collaborative research projects with external partners are tracked through SFU's internal database of grants and contracts, managed by the SFU Office of Research Services. Using improved analytics tools, the Theme Team was able to strengthen the methodology for identifying institutional research projects with external partners, and capture the statistics with greater accuracy, using a single database. As our previous calculations relied on multiple external databases, which were subsequently restructured with website upgrades, our new methodology uses a single internal database, with stricter parameters to identify all research collaborations. This change in methodology has resulted in a comparable, but more stable, trend than previously reported. These results are provided in Figure 4.

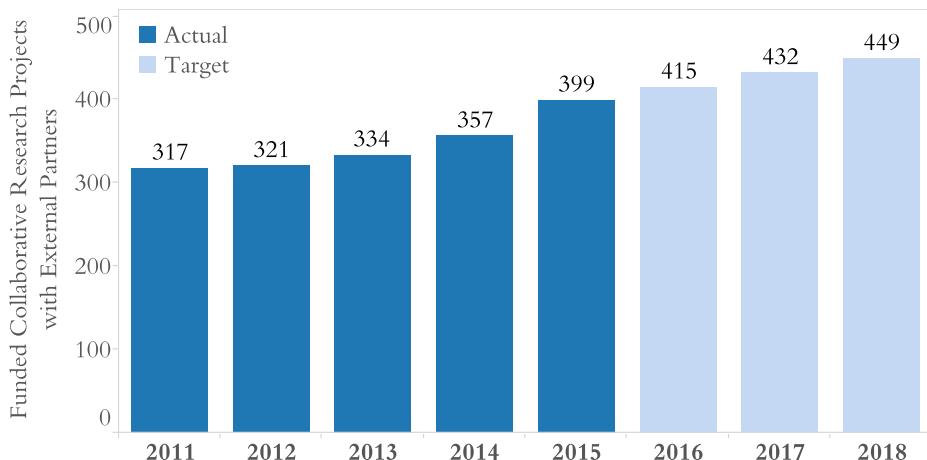


Figure 4: Number of funded collaborative research projects with external partners

Commensurate with the steady increase in its research quality, as indicated by Outcome 1, SFU is increasing its number of research partnerships, and engaging the broader community with a higher number of collaborations each year. Overall, SFU is *on course* with respect to this indicator, and essentially met its FY2015 target of 400 partnerships. It should be noted that this target was based on actuals that had been calculated at a higher number of partnerships, which were slightly reduced this year, with the stricter constraints of our new methodology. Targets for the next three years are set with the expectation that SFU will continue to steadily engage with a higher number of research partnerships each year.

New Indicator**Indicator 2.2: Number of Co-authored Publications with External Collaborators**

While indicator 2.1 captures SFU's number of external research partners, the Theme Team introduced a new indicator to monitor the outcome of research partnerships with external collaborators in terms of publications. Indicator 2.2 provides the count of publications in which an SFU researcher has collaborated with external partners along several dimensions: number of international collaborations; number of national collaborations; number of academic-corporate collaborations. These data are obtained through *SciVal*, based on the *Scopus* database. These collaborations indicate the number of publications in which an SFU researcher has at least one co-author from an external organization outside of Canada (international), in Canada (national), or a corporate organization (academic-corporate).

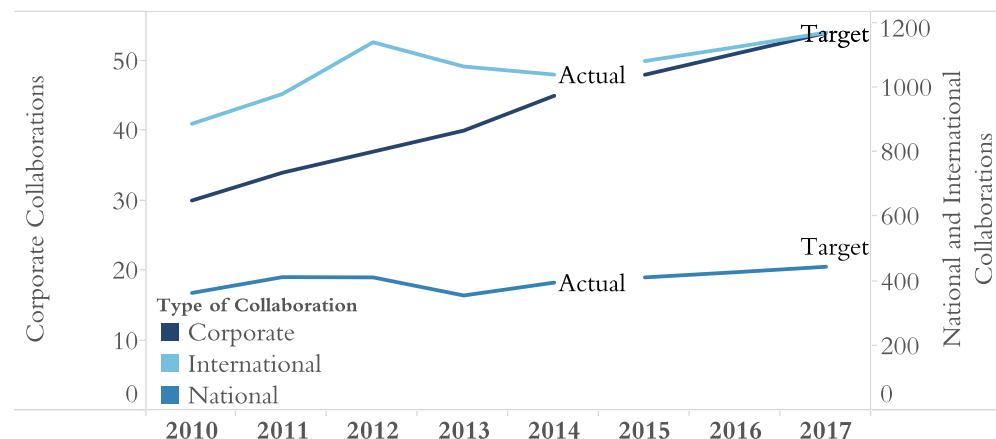


Figure 5: Number of SFU co-authored publications with collaborators by type

Figure 5 illustrates the number of SFU co-authored publications with international and national collaborators (measured on the right axis), and with corporate collaborators (measured on the left axis). Publications with international collaborators form the largest type of the three groups, and peak in 2012. This peak is mainly due to the large volume of international collaborations at the European Organization for Nuclear Research (CERN) in Geneva, leading up to, and following the discovery of the Higgs Boson, in which several SFU researchers played a prominent role. Overall, the 5-year trend shows an increase of 15% in SFU's number of publications with international co-authors. The number of SFU publications with national collaborators has also remained relatively stable, showing a growth of 8% over the five year period. Perhaps more significantly, SFU publications with corporate collaborators have steadily increased, with a 33% growth over the five years. As indicated by the targets, we expect SFU co-authored publications along all three collaboration types to continue to increase, as SFU seeks to expand its large-scale research collaborations, and leads an increasing number of world-class research initiatives.

Rationale for indicator 2.2

Number of co-authored publications with external collaborators provides a concrete measure of research productivity with partners, which showcases the degree of SFU engagement in research with collaborators across multiple levels: national, international, and corporate.

With respect to Outcome 2, SFU is *on course* and achieving its targets in mobilizing research collaborations with external partners.

OUTCOME 3: Research is integrated into learning and teaching

As one of Canada's top comprehensive universities, SFU provides a rigorous training environment for research, ranging from Arts and Social Sciences to Business Management, Education, Natural and Life Sciences, and Engineering and Technology. Our graduate and undergraduate students are immersed in cutting-edge research practices, and are trained to apply their research skills to solving real-world problems. While the vast majority of our graduate programs involve extensive research training in both laboratory and fieldwork settings, SFU undergraduate students are also exposed to faculty-led research through experiential learning, one-on-one training, and co-op placements.

Indicator 3.1: Number of Graduate Theses Submitted to the Library

As an indicator of graduate student engagement in research, the Theme Team broadened the interpretation of its previously defined indicator, the number of Ph.D. degrees awarded, to count instead, the number of graduate theses submitted to the Library, separated by Ph.D. and Master's degrees. While there is a one-to-one correspondence in the number of Ph.D. theses submitted, and the number of Ph.D. degrees awarded, the advantage of the improved indicator is that it also takes into account research engagement at the Master's level. While not all Master's degrees at SFU strictly involve research—e.g. professional graduate degree programs—every Master's Thesis involves research under the supervision of a Senior Supervisor and a Thesis Committee. These data are summarized in Figure 6.

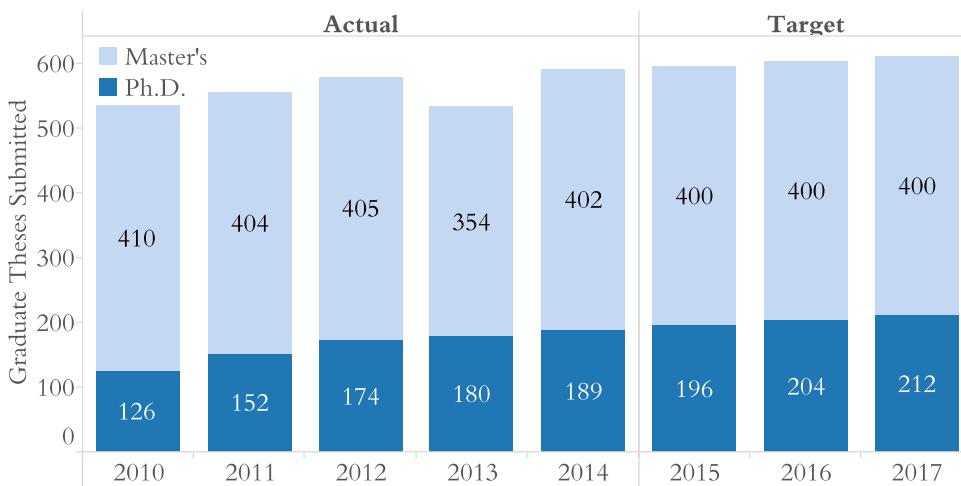


Figure 6: Number of graduate thesis submissions by degree type

As shown in Figure 6, the total number of graduate thesis submissions at SFU has grown over the last five years, with some variations in the number of Master's thesis submissions. Significantly, the number of Ph.D. thesis submissions has increased steadily, showing a 33% increase over the last five years. Taken together, the total number of graduate thesis submissions has increased by 9% in the last five years. The relatively modest increase in the total number of graduate thesis submissions is partly due to the Provincial Government scaling back the amount of support for graduate students, prompting our graduate programs to reduce their graduate admission targets. Despite these constraints, SFU has managed to increase the number of its Ph.D. students, and will maintain its total number of graduate students at a comparable level.

It should be noted, however, that there has been extensive discussion among many departments to eliminate the requirement of a thesis for a Master's degree. Accordingly, the Theme Team has set a flat target for the number of Master's thesis submissions, with an increase in Ph.D. thesis submissions. On the other hand, current efforts to create a database of graduate student publications are under way, which would enable the development of a metric of graduate student research productivity.

With respect to indicator 3.1, SFU is *on course* and on target with graduate thesis submissions, although this indicator may be revised, as data on graduate student publications become available for use.

New Indicator

Indicator 3.2: Number of Undergraduate enrolments in one-on-one supervised research

Undergraduate students at SFU are immersed in a supportive environment for research and experiential learning, and engage with faculty-directed research projects through seminars, tutorials, co-op semesters, and other volunteer activities and opportunities that stimulate their curiosity in research. Senior undergraduate students, however, have the opportunity to engage with faculty-led research, through one-on-one training, and lead their own supervised research, often involving a semester of directed readings, capstone project, an Honor's thesis, or an extended essay.²⁸⁹ In addition, through Undergraduate Student Research Awards (USRA), students receive financial support to spend a full semester dedicated to working on faculty-led research. Figure 7 summarizes the number of student enrolments in one-on-one supervised training in research.

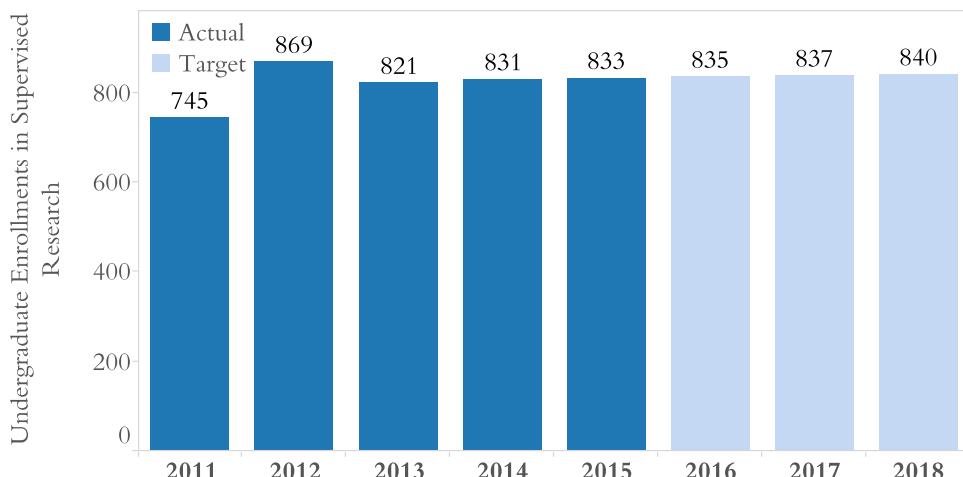


Figure 7. Number of undergraduate enrollments in one-on-one supervised research

As Figure 7 indicates, the number of undergraduate student enrollments in research activities with direct supervision has remained very stable in the last three years. As these training activities are highly resource-intensive for faculty researchers, an increase in the number of undergraduate enrollments in supervised research would require increased incentives for faculty members to enable them to supervise more undergraduate students. This issue remains a topic for further discussion, as SFU develops a strategy to increase the research engagement of senior undergraduate students. We expect to maintain the number of undergraduate enrollments in dedicated research activities at a comparable level over the next three years, as indicated by the targets.

Rationale for Indicator 3.3

SFU provides an immersive and supportive environment for undergraduate students to engage with faculty-directed research projects through various activities, including research-intensive courses and funding support for dedicated semesters in research. As such, active participation of undergraduate students indicates the university's integration of research into learning and teaching.

Overall, SFU is meeting its goals to integrate research into learning and teaching, and has trained a growing number of Ph.D. students. As the indicators suggest, research training in the number of Master's and undergraduate students

²⁸⁹ This indicator had been previously removed by the Theme Team, as the identification of a 'research course' at the undergraduate level is a challenging issue, due to the variability in program requirements. Since there is a significant level of research activity at the undergraduate level, the Theme Team proposed to include an indicator on undergraduate engagement in research, limited to activities of senior undergraduate students with one-on-one supervision by a faculty. Currently, there are efforts underway at the program level to assign a 'research' variable to each course in the student calendar, based on course requirements, which will enable monitoring research enrollments at lower division courses also.

have remained steady. While thesis requirements at the Master's level may be eliminated from several programs, a database of graduate student research publications is currently being developed, through which, graduate-student engagement in research can be more faithfully quantified. With changes to tracking research courses at the undergraduate level in the student calendar, future data on undergraduate training in research will also be improved.

New Outcome

Outcome 4: Research investment is leveraged to drive innovation and transfer of technology for the benefit of society and the economy

Innovation is a major component of the research enterprise at SFU. Our innovation strategy stems from our commitment to support the full continuum of research, from the generation of knowledge to the transfer of its results for the benefit of society and the economy. From the state-of-the-art research infrastructure on our campuses, to our business incubators and accelerators, and SFU spinoff companies, together with our business partners, SFU is part of a thriving innovation ecosystem that supports innovators, entrepreneurs, students, and industry to collectively address market needs and transform the research landscape through discovery and innovation.

In order to reflect our active innovation agenda, and training support for students to become entrepreneurs and innovators, two new indicators have been proposed by the Theme Team to support Outcome 4.

Indicator 4.1: Number of new patents filed

SFU has a flexible Intellectual Property (IP) Policy, which permits university members who create an IP to own the product of their IP, and pursue commercialization with or without the assistance of the university. Because of its flexible IP policy, not all innovations are require to be disclosed to the university, although SFU's Innovation Office provides support for transfer of technology and commercialization of research results. Indicator 4.1 provides the number of new patents filed each year through the SFU Innovation Office. While these numbers may not be reflective of all patents filed each year by SFU researchers, the data are indicative of innovation activities at SFU. These numbers are summarized in Figure 8.

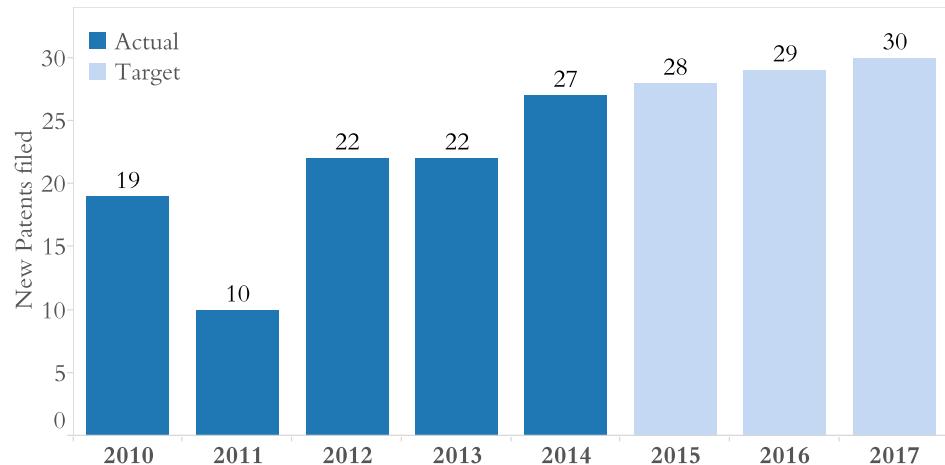


Figure 8: New patents filed through Innovation Office

As indicated by Figure 8, the number of new patents filed each year shows a positive trend, with a significant decline in 2011. As already stated, due to SFU's flexible IP policy, researchers may choose to seek assistance through the SFU Innovation Office to file a patent, but disclosure of IP is not mandatory. Nevertheless, indicator 4.1 suggests that SFU is *on course* with respect to new patents, given the overall increase in the number of new patents filed each year. It is expected that this trend will continue, as SFU seeks to formalize its innovation agenda over the course of the next few years.

Rationale for Indicator 4.1

As an indicator of the application of transformative ideas for the benefit of society and the economy, and the integration of innovation in research, the university offers support to its researchers in management of intellectual property and transfer of technology. Filing new patents encourages commercialization of research results and external investment in university-led technology.

Indicator 4.2: Number of industrial student internships through Mitacs

Mitacs is a national Canadian not-for-profit organization that supports research internships across academia and industry, with the goal of facilitating innovation. Mitacs internships are intended for graduate students and post-doctoral fellows, and are in effect a partnership between the university and industry, where graduate students gain industry experience within the research area of their graduate program. Every internship requires the approval of the graduate student's faculty supervisor. Every year, a large number of SFU graduate students receive internships within industry, enabling them to discover the potential for innovation and commercialization of their research. Accordingly, the number of Mitacs industrial internships serves as a good indicator of innovation activity within graduate students' research training.

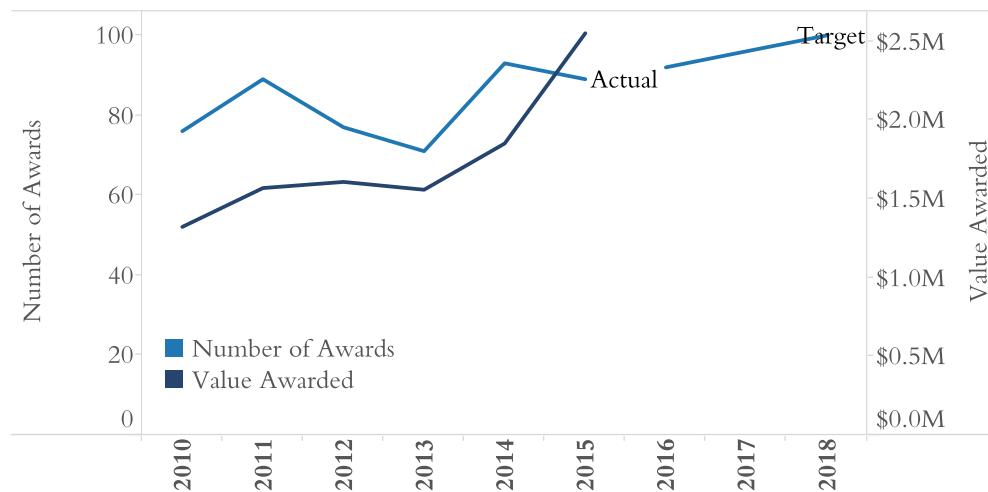


Figure 9. Number of student industrial internships through Mitacs and their total value

As indicated in figure 9, the number of Mitacs internships have overall been increasing, with a steep decline between FY2012 and FY2013, which was recovered a year later. This decline was due to internal program restructuring at Mitacs, whereby, during the same period, the value of the Mitacs awards remained steady, despite the decrease in the number of awards. Overall, the value of Mitacs awards have increased significantly, which is a sign of the success of both Mitacs and SFU graduate programs. As suggested by this indicator, SFU graduate programs are supporting innovation in research through Mitacs partnerships, and this trend is expected to continue.

Rationale for Indicator 4.2

Mitacs is a successful national program to accelerate innovation across academia and industry, through building partnerships that facilitate graduate student internships in industry. The number of Mitacs awards is indicative of the successful engagement of graduate students in pursuing innovative research, with commercial opportunities.

While indicators 4.1 and 4.2 reflect SFU's supportive environment for innovation and commercialization of research, more indicators could be developed to capture the full spectrum of activities within SFU's business incubator and accelerator programs. At the current time, these data are difficult to collect and interpret, although steps are being taken to capture and analyze such data in a reliable manner.

With respect to Outcome 4, SFU is *on course* to achieving its targets. In the future, it may be possible to complement our existing indicators to capture the full spectrum of SFU's innovation activities.

Conclusion

The outcomes and indicators laid out by the Research Theme Team in this document strongly support SFU's position as one of Canada's top research-intensive universities, set to become a global leader in knowledge mobilization. The indicators address SFU's high quality of research, its far-reaching collaborations and engagement with external partners, its integration of research into training programs for students at all degree levels, and its strategy for innovation and transfer of technology. As the data illustrate, SFU is on course and meeting the targets of its mission in research, and is set to continue the expansion of its research enterprise along all the above dimensions.

The Theme Team

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Simon Fraser University Strategic Review

Core Theme Report 2015 - Engaging Communities

October 1, 2015

1. Introduction

In 2012, Simon Fraser University (SFU) advanced a new vision and mission: “To be the leading engaged university, defined by its dynamic integration of innovative education, cutting edge research, and far-reaching community engagement.” By making community engagement core to our mission, SFU has distinguished itself in Canada and around the world.

In reporting on its evaluation, the Northwest Commission on Colleges and Universities (NWCCU) review team complimented SFU on “the breadth, depth, and quality of its community outreach efforts” and “its remarkable effort to inculcate community values and serve local, provincial and international constituencies.” SFU wished to build on this strength by preparing and implementing a community engagement strategy.

In 2013, SFU’s Board of Governors approved the University’s first community engagement strategy to maximize SFU’s contribution to the economy and society of B.C. and beyond. The three-year strategy was intended to advance the following three areas of priority:

1. Measure, Communicate and Celebrate: Improve our capacity to document existing initiatives to measure and benchmark, and to communicate success and celebrate accomplishments;
2. Improve Community Access: Improve the interfaces to our campuses for the community, both physical and virtual; and
3. Leverage and Support Signature Initiatives and Select Integrative Projects: Fully launch SFU Public Square and identify and support other key initiatives.

A final priority was to integrate community engagement in Academic and Research plans, thereby enriching the teaching and research enterprises. Many of the initiatives and measures used to demonstrate how community engagement has been integrated in teaching and research strategies are reported in the Engaging Students and Engaging Research section of this report. The outcomes include increasing experiential learning and knowledge mobilization opportunities with community.

Over the past three years, SFU has measured its progress on selected indicators and our progress in implementing the priorities from the Community Engagement Strategy action plan. Community engagement is a newer pursuit for many universities, thus we continue to learn from our efforts as well as practices and research in conducting and measuring embedded community engagement at other universities.

The purpose of this review is to consider the outcomes and indicators that measure SFU’s progress on community engagement and provide recommendations for future actions and priorities in alignment with the university’s vision and mission.

2. Theme Description, Goals and Outcomes

GOAL – TO BE CANADA’S MOST COMMUNITY-ENGAGED RESEARCH UNIVERSITY.

To achieve this goal:

- SFU will maintain and expand its community connections as an integral part of its academic mission, creating opportunities for practical and experiential learning; informing and inspiring research; and contributing to its relevance and success.
- SFU will develop partnerships and maximize the capacities of its three campuses to enhance the social, economic, environmental and cultural well-being of communities both locally and globally.
- SFU will build respectful and mutually beneficial community relationships.
- SFU will meet the lifelong learning needs of students, alumni and the community, and will respond with innovative programs and learning opportunities for academic, personal and professional development.

- SFU will be BC's public square for enlightenment and dialogue on key public issues, and will be known as the institution to which the community looks for education, discussion and solutions.

To evaluate progress, three indicators were utilized including:

- **Indicator 1: Number of participants in local SFU Outreach Programs**
- **Indicator 2: Number of active international partners**
- **Indicator 3: Alumni engagement score**

The results of tracking these indicators and an assessment of performance are provided in the next section.

3. Assessment of Community Theme Performance

Outcome from Indicator 1: SFU is Engaged Locally.

Indicator 1: Number of Participants in Local SFU Outreach Programs

	2008/09	2009/10	2010/11	2011/12	2012/13	2013/14	2014/15
Attendance at summer camps (Source: Athletics)	5,243	5,423	5,432	4,953	5,799	5,839	6,189
Philosophers Café Participation (Source: Continuing Studies)	3,337	3,793	3,496	3,036	3,549	3,158	2,811
Continuing Studies Lectures and Events (Source: Continuing Studies)	n/a	n/a	4,777	5,635	7,966	6,583	5,727
Friends of Simon Participation (Source: Friends of Simon)	200	210	200	255	463	483	415
Science Outreach Programs (Source: Faculty of Science)	n/a	n/a	n/a	n/a	n/a	28,871	34,703
Public Square Outreach Programs (Source: Public Square)	n/a	n/a	n/a	n/a	6,176	7,900	9,056
Total	8,780	9,426	13,905	13,879	23,953	52,834	58,901

Table 1: Number of Participants in Select Local SFU Outreach Programs from 2008/09 to 2014/15

Table 1 provides a measure of participation in selected SFU local outreach programs from 2008/09 to 2014/15 as opposed to recording participants in all SFU public lectures and outreach programs. SFU's signature initiative, SFU Public Square, was added during this period, as well as the Faculty of Science Outreach Programs and Continuing Studies' lectures and events series. The overall trend is one of increasing participation with substantial increases in SFU Public Square and Science Outreach participation.

These results are shown graphically in Figure 1 below.

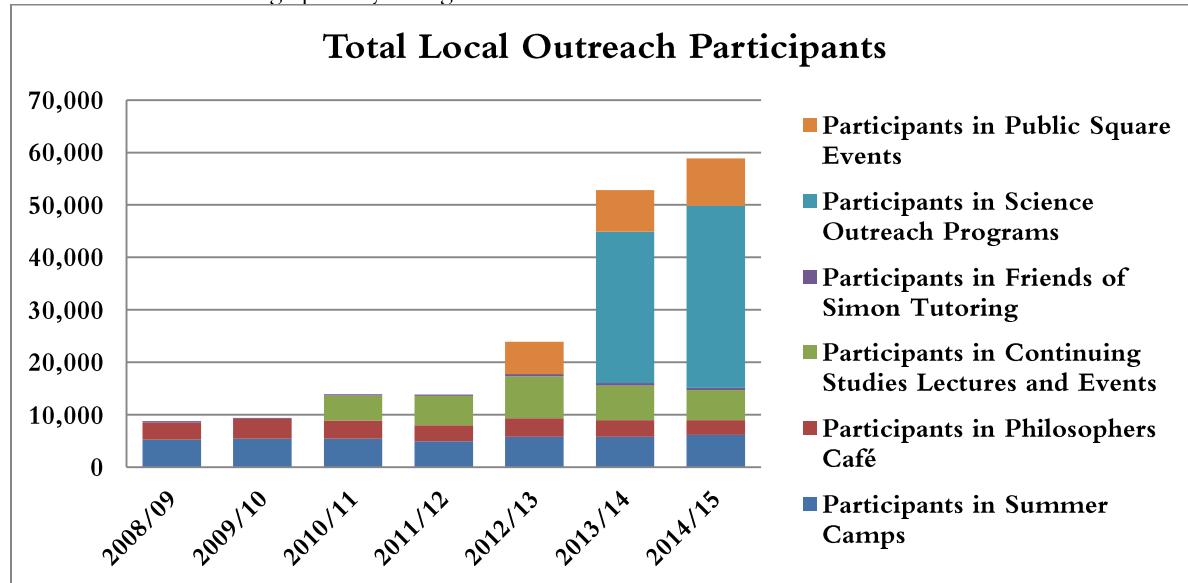


Figure 1: Total Local Outreach Participants for Select SFU Programs from 2008/09 to 2014/15

Outcome from Indicator 2: SFU is engaged globally.

Indicator 2: Number of Active International Partners

Outcome	Indicator	Year				
		2010/11	2011/12	2012/13	2013/14	2014/15
SFU is engaged globally.	Number of active international partners	177	183	215	n/a	210

Table 2: Number of Active International Partners from 2010/11 to 2014/15

Table 2 (above) shows the number of active international partner institutions from 2010/11 to 2014/15 as recorded by SFU International. The trend-line in Figure 2 shows, on average, positive growth across the period measured. Figure 2 (below) illustrates the global reach of SFU's international partnerships.

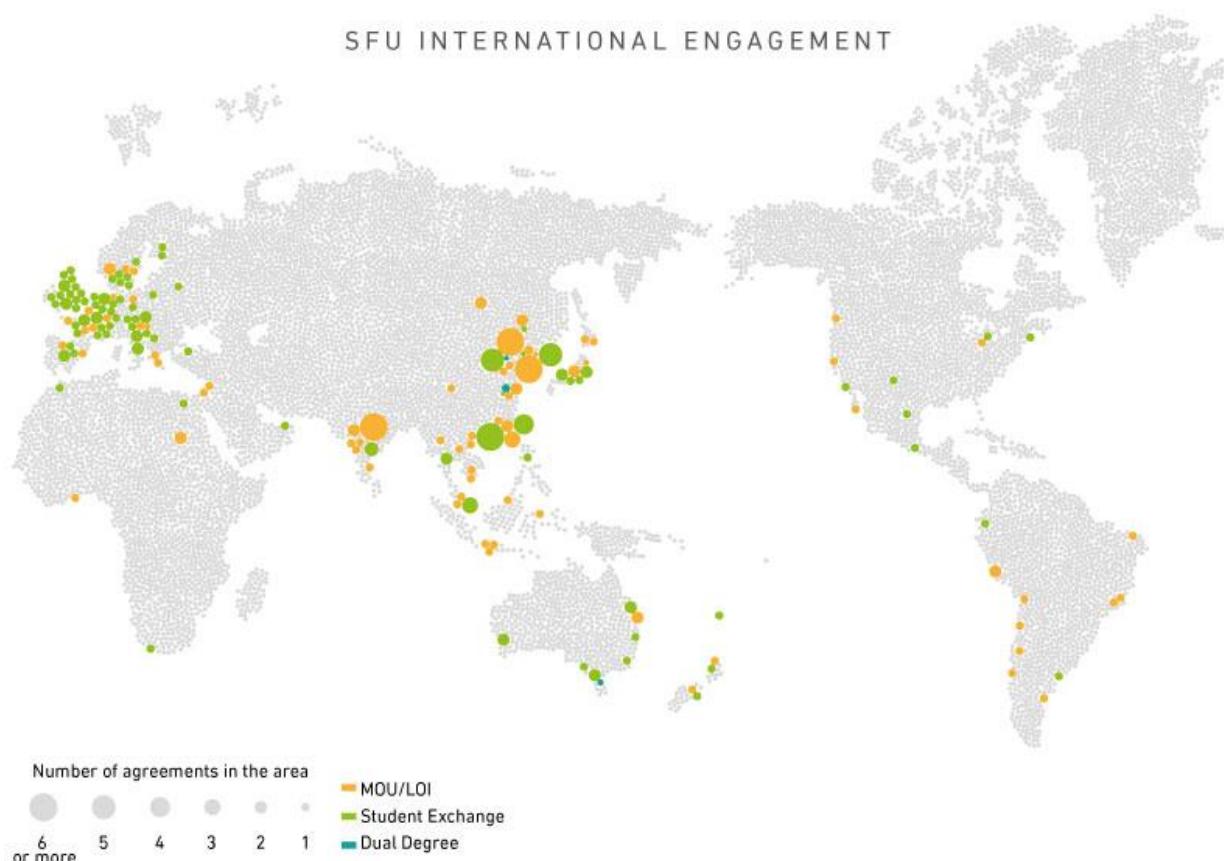


Figure 2: Map of Active International Partners 2014/15 and Level of Partnership

Outcome from Indicator 3: SFU is engaged with its alumni

Indicator 3: Alumni Engagement Score:

<u>Outcome</u>	<u>Indicator</u>	Year				
		2010/11	2011/12	2012/13	2013/14	2014/15
SFU is engaged with its alumni.	Alumni engagement score (every contactable alumnus is assigned a score based on the level of alumni engagement: informed, involved, or invested)	-	1.04	1.17	1.15	1.16

Table 3: Alumni Engagement Score from 2011/12 to 2014/15

Table 3 (above) shows the Alumni Engagement Score from 2011/12 to 2014/15. Increases from 2011/12 to 2012/13 have been held constant in 2013/14 and 2014/15.

The metrics collected over the past 7 years (2008/09 to 2014/15) have generally shown an upward trend in participation and engagement. In the case of community outreach programs, the increases in participation are the result of new initiatives such as SFU Public Square. This progress, together with advancement of new community engagement initiatives and infrastructure to support community engagement activities as outlined in our 2013 strategy, has contributed to achieving our objectives.

We continue to do more in-depth work in order to develop better measurements of community engagement and impact. The Theme Team members in their 2014 review reinforced the intent to continue with a small number of meaningful quantitative indicators but include other qualitative measures that allow us to understand the impact of our community engagement. Two activities undertaken are provided as Appendix A. In addition to these activities, in 2014, the VanCity Office of Community Engagement conducted a survey of its community partners. Areas of positive impact included the Office functioning as an access point for community partners and programming opportunities of mutual benefit. Areas for improvement were also noted, including inaccessible and intimidating physical space.

In addition to these selected indicators, another assessment was to measure the progress has been made in implementing the 2013 Community Engagement Strategy. The following are the major highlights of key priority areas:

Building the Infrastructure to Support Community Engagement

- **Establishing a core staff group:** Five continuing staff and 2 temporary professionals have been reassigned within the VP External portfolio to support community engagement coordination and lead the consultation, development and management of SFU's first university-wide website/portal for community engagement. This website/portal is the key infrastructure for measuring, communicating and celebrating progress in community engagement.

Integrating Community Engagement in Teaching and Research

- **Faculty leadership:** There are many examples of substantial and successful Faculty initiatives in community engagement. SFU's Faculty of Science continues to show leadership in engaging with youth. In 2015, the Trottier Observatory and Science Courtyard opened, as did the Trottier Studio for Innovative Science Education supported by a \$2.7 million donation. This new facility will further expand the Starry Nights program that has reached thousands of children since 2007. The additional capacity, along with the implementation of the recommendations from the review conducted by the SFU Science Outreach Evaluation Steering Committee, will further expand the impact of this activity.
- **Supporting Community Engagement Across the Faculties:** Through the University Priority Fund (UPF), External Relations was awarded \$360,000 for three years to create SFU's Community Engagement Initiative. The primary goal has been to encourage the development of innovative projects that build new or deeper mutually beneficial partnerships with SFU's communities, including non-profit organizations, industry associations, non-governmental organizations (NGOs), First Nations communities, and provincial and federal government departments. Over 90 proposals were received in the two initial calls from student and faculty researchers engaged in activity across university disciplines, departments, campuses and communities. Further details on the range of activities funded are provided in Appendix B.
- **Engagement through Lifelong Learning:** SFU's Lifelong Learning continues to show its commitment to community engagement through free lectures and subsidized learning activities. In 2014/15, 1,598 students age 55+ enrolled in 111 courses. The average age of learners is 70. One of SFU's first community engagement initiatives established 17 years ago, Philosophers Café, offered 187 cafés in 2014 with 3,158 participants in twenty-seven venues across the Lower Mainland of British Columbia. An effort has been made to attract SFU faculty and graduate students as moderators. Twenty-seven SFU faculty and eight graduate students joined a cadre of fifteen community members and six alumni as moderators.

Priority: Measure, Communicate and Celebrate

- **Engaging students in their community:** The SFU Surrey - Central City Student Community Engagement Competition was established in 2014 with a generous gift and five-year commitment from Central City as well as additional support from the City of Surrey. The gift supports the SFU Surrey - Central City Student Community Engagement Prizes, valued at \$3,000 and \$2,000 per year for five years, to recognize ideas which promote Surrey City Centre community engagement, and an additional prize, valued at \$2,000, to recognize ideas for Surrey City Centre placemaking. The purpose of this competition is to recognize and support the most innovative ideas from a student or student team which exhibits genuine passion about engaging and enhancing the Surrey City Centre neighbourhood. This prize is open to all SFU students.

Priority: Improve Community Access

- **Website improvements:** The SFU homepage now has a "Community" link with a landing page that lists the variety of ways community can engage with the University. Lifelong Learning/Continuing Studies has also been provided a direct link off of the homepage for learners seeking continuing studies programs and courses.

- **SFU Live:** SFU's online community engagement portal officially launched on October 1, 2015. *SFU Live* is an online social and academic network built to engage and support partnerships, projects and initiatives for the purpose of making a positive difference in communities. It is a user-based, community-generated web platform designed to facilitate connection, collaboration and partnership to bring greater definition to people and their ideas, resources, projects, organizations, and community circles for cooperative community impact. *SFU Live* includes a robust content sharing framework that allows tagging and filtering of content by a number of variables. As the community grows, it will provide the University with a new method of measuring community engagement activity quickly through embedded analytics.
- **Engaging with local neighbours:** A series of events were held to improve and deepen the relationship between SFU Burnaby and the residential community at UniverCity. A three-session dialogue, facilitated by SFU Public Square, resulted in a number of joint actions, including improved signage and way-finding, as well as increased communication of university events, which will also benefit all community visitors to SFU Burnaby.
- **Engaging alumni and community:** The planning for SFU's 50th year-long celebration has been conducted with a goal to connect with alumni and our community as well as engage students, staff and faculty. Over 200 charter students who began with the University in 1965/66 participated in the launch festivities. A Festival of Learning in the City of Burnaby, modeled after the City of Cork's long-running event, is one of many community-engaged initiatives being planned.

Priority: Leverage Signature Initiatives and Support Select Integrated Community Engagement Projects

- **Becoming BC's public square:** SFU Public Square, SFU's first signature initiative, is now in its third year and continues to achieve its mandate for SFU to be BC's public square for enlightenment and dialogue on key public issues. In 2014, the activities organized by SFU Public Square on the British Columbia economy engaged over 4,500 people from 27 communities in community conversations and over 20 SFU departments. The University has committed over \$300,000 per year in funding with additional sponsorships provided each year from a variety of sources.
- **Expanding community reach:** The SFU Surrey TD Community Engagement Centre was successfully launched in 2013 with funding of \$750,000 over 5 years from TD Canada Trust. The focus is on fostering connections between SFU and the growing South Fraser Region. In its first year of operation, community partnerships resulted in the creation of 20 programs and the engagement of over 1,000 community members, mostly new Canadian youth. Programs operated by the SFU Surrey CEC have since grown to more than 30 with the Centre becoming a model for community-based service learning.

4. Suggested Improvements & Conclusion

SFU has shown satisfactory performance in the three years of its first community engagement strategy and the seven years of tracking of key indicators.

There is a desire to better understand and track impact and depth in addition to measuring the numbers of local or international partnerships. Several projects were undertaken in 2014 to suggest directions and measures to achieve this.

For the next period, the Community Theme Team recommends adding several additional programs to better represent the breadth of community outreach and engagement for Indicator 1 (number of participants in SFU Outreach program). These programs include the 55+ program and the programs of SFU's two Community Engagement centres (SFU Vancity Office of Community Engagement in Vancouver and SFU Surrey TD Centre of Community Engagement in Surrey).

For Indicator 2, the Theme Team recommended that SFU International implement a measurement of partnership depth in future years in addition to the total number of partnerships. This would involve a tally of the number of agreements with one point for an Memorandum of Understanding (MOU), one for a Mobility Agreement, one for an agreement for a dual degree or other category of joint initiatives. For a university with a dual-degree partnership, the tally will be higher, indicating a greater depth of relationship (e.g., a total score of 6). For a university where we only have an Undergraduate Student Mobility Agreement, the tally will be lower (e.g., a total score of 1). Keeping the measure to this calculation will also allow us to later add in research activity with an international partner without needing to redevelop the methodology. The Community Theme Team also recommends a periodic survey of international partners to provide feedback and suggestions for approaches to utilize qualitative data.

For Indicator 3, the Theme Team recommended that SFU continue with the current indicator as tracked and calculated through Alumni Relations and Advancement for the next four years with the addition of adding participation of Alumni of the Beedie School of Business who are currently tracked in a separate database. Once a university-wide calendar and registration system is implemented or formal mentor program established, the measurement could consider calculating involvement by multiple event participation or mentorship program involvement.

At this time, given the changing methodology in calculating the indicators, the rapid growth of activities, and the uncertainty of continued external funding for a number of community engagement initiatives, the Theme Team does not recommend aspirational targets be established. The implementation of targets could be reviewed at the next mid-term review. In future years, if a university-wide event registration system being implemented in SFU's 50th year is continued and if there is the opportunity to include questions as part of an online faculty curriculum vitae system, the current indicators could be modified. We are particularly interested in better capturing the many faculty (and Faculty) engagement activities.

In 2016, there will be a process to renew the Community Engagement Strategy, especially in light of integrative initiatives in Engaging Students and Engaging Research (see Appendix C for the proposed process and timeline). Current investigations by the Vice-President Research will result in an understanding of the needed infrastructure to support community-based research and innovation. Possible institutional investments in an experiential learning credential and other avenues to increase student engagement will also result in SFU advancing its vision of embedding community engagement in the academic mission.

5. Acknowledgements

The following theme team members are thanked for their contributions to review of this theme over the past years:

Joanne Curry, Dean *pro-tem*, Lifelong Learning (Chair)
Sean Markey, Associate Dean, Faculty of Environment
Stephen Smith, Associate Professor, Faculty of Education
Am Johal, Director, SFU's Vancity Office of Community Engagement
John Grant, Director, Alumni Relations
Matthew Grant, Director of Community Engagement

Past member: Erica Branda, Director, Marketing & Communications, Advancement

Past member: Helen Wussow, Dean, Lifelong Learning

Past member: David Zandvliet, Associate Professor, Faculty of Education

Support provided by: Trina Isakson and Milan Singh

APPENDIX A: Additional Research to Improve Measurement and Inventory

Science Outreach Review and Evaluation

The SFU Science Outreach Evaluation Steering Committee launched a formal project to develop a framework for documenting, evaluating, and supporting Faculty of Science K-12 Science Outreach Program. The primary outcome of the project was the development of an evaluation toolbox for use in determining the short, medium and long-term impact of the outreach programs. The overall purpose of this toolbox is to document the existing, successful programs; identify possible directions for growth; ensure that the programs address the needs to the community in the best possible way; and to support instructors and simplify coordination between science departments.

The project generated a refreshed set of goals and recommendations for Science Outreach programs:

Goals

1. Impact science education in B.C. by advancing science literacy among K-12 students and fostering teachers', parents', and administrators' capacity to develop, deliver, and support innovative science and math education.
2. Impact youth engagement with sciences by inspiring enthusiasm, curiosity and wonder for science; by sharing faculty expertise and passion; and by encouraging all students, including those who may not be exposed to science activities and science learning, to pursue further education and careers in science.
3. Impact community relations by expanding and deepening relations with community members of all ages and by showcasing university laboratories, facilities, research and SFU faculty and student expertise.
4. Impact SFU recruitment by supporting SFU student recruitment efforts to attract talented science students
5. Impact SFU fundraising and advancement by supporting SFU fundraising and donor relations.

Recommendations

1. Ratify and disseminate the proposed logic model for Science Outreach
2. Further integrate the components in the logic model with updates to the Faculty's academic plan
3. Establish a broad-based committee of program stakeholders to oversee the ongoing evaluation of the Science Outreach initiatives, potentially extending the Dean's Outreach Advisory Committee
4. Reach out to external stakeholders routinely as part of the annual evaluation process
5. Expand the online enquiry system to meet evaluation information needs
6. Implement individual registration systems for two different groups: first, for teachers' professional development and any other activity which charges fees or requires student transcripts, and second, for free activity involving youth of an educational nature.
7. Identify lead responsibility for each of the key questions posed in the first phase of the logic model
8. Adopt the overall evaluation approach currently being reviewed by the university, following the model developed by the University of Toronto
9. Adopt four proposed sets of core questions in four separate surveys proposed for use with students (grades 7-12), accompanying K-12 teachers, teachers taking professional development, and public events
10. Collaborate with university officials, professionals in the faculty, or researchers to answer key research questions in the logic model as part of annual reporting processes.

Between March and May 2015, the Centre for Dialogue's Civic Engage team carried out an inventory of engagement between municipal governments and SFU units, faculty, and staff. The inventory was designed to identify successful collaboration with municipal governments, to be leveraged in SFU communications as well as determine issues and challenges.

The resulting inventory identified a range of collaborations that are ongoing or have been carried out over the last 3 years by a variety of SFU units. Municipalities have limited resources to fund research, which means collaboration often doesn't take the form of typical research projects or fee-for-service contracts. Nevertheless, SFU faculty and staff are finding creative and innovative ways to collaborate with municipal governments including collaborations for practice-oriented teaching, public lectures and event series, knowledge exchange projects, and partnership initiatives to address specific urban issues, and to facilitate policy, economic, and social innovation.

SFU's strengths in engaging municipal governments included:

- Its reputation for community engagement and its vision to become Canada's leading engaged university
- Its ability to convene, support capacity building, and provide expertise on urban issues
- Its ability to provide space at its campuses in Vancouver and Surrey and its capacity to engage communities through its extensive networks

Identified challenges included:

- Uncertainty regarding the availability of long-term resources
- The ability to cover travel and rental costs
- Opportunities for additional long-term funding support and incentives to encourage municipal collaborations
- A need for better coordination and integration of existing collaborations
- Additional support for faculty to carry out collaborative projects
- Differing timelines and resource priorities and expectations
- Risk-aversion
- Conflicting and shifting agendas
- Administrative challenges
- Event costs
- Competition

Identified opportunities included:

- Municipal government's need for research that enables evidence-based policy design, especially with respect to affordable housing, transportation, health and civic engagement
- Better use of SFU's decentralized locations and organizational structure allow for a great degree of nimbleness
- Interest in establishing channels for regular exchange between SFU and municipal governments
- Providing professional development opportunities for university faculty and staff

APPENDIX B: Results of SFU's Inaugural Community Engagement Seed Fund

The following pages list the 33 successful proposals that were funded in 2013/14 and 2014/15. Project applicants were required to support SFU's community engagement strategy and expand SFU's capabilities to engage with its communities through student experiential learning and knowledge mobilization. The maximum funding available per proposal was \$10,000. Proposals from the first two years were approved in November 2013 and November 2014. The third wave of applications will be considered in Fall 2015.

In 2013, SFU's Community Engagement Initiative received 41 proposals totaling \$351,945 from across the University. Sixteen of these proposals were approved for funding totaling \$100,000. A number of applications received partial funding for a specific component or activity. In addition, 3 student-led projects totaling \$20,000 were selected from a process administered with the assistance of Student Services. In 2014, SFU's Community Engagement Initiative received 52 proposals with total requests in excess of \$433,000, and funded 14 projects for a total distribution of \$120,000. Initiative activities include:

- Public engagement with research.
- Engaged teaching and experiential learning.
- Knowledge exchange and mobilization.
- Community access and outreach.
- Infrastructure support.

All faculties and campuses had funded projects. A range of departments, units, and research centres, including the Bill Reid Centre, the Centre for Dialogue, and the SFU Library participated. Almost all of the projects engaged in cross-faculty/cross-discipline research, and with community organizations, charities, First Nations communities, and NGOs. The initiatives strengthened research collaborations that enhanced knowledge production and exchange, and advanced engaged teaching strategies at SFU and beyond.

The initiatives include deliverables aimed to reach small to large audiences. Research was shared with community in several ways, including workshops, conferences and symposiums, shared reports, exhibits, discussion panels, web and mobile applications, and websites. Information dissemination and access to projects is occurring in two ways: (1) for the faculty research to produce the appropriate deliverable for their project(s), and (2) for SFU's Community Engagement Strategy to share the details of the projects online on *SFU Live*.

2014 SFU's Community Engagement Initiative Funded Proposals				
FACULTY OR DEPARTMENT	APPLICANT	PROJECT	COMMUNITY PARTNERS / COLLABORATORS	FUNDED AMOUNT
Department of Sociology and Anthropology	Dossa, P.	Palliative Care for Canadian Immigrant Communities	BC Hospice Palliative Care Association; SFU Health Science and Gerontology Department.	\$10,000
Outcomes: Public engagement through research; knowledge exchange and mobilization; community access and outreach.				
<ul style="list-style-type: none"> • Roundtable and facilitation with immigrant communities (focus on Muslim groups), including Public engagement through research forums and digitized materials. • Active engagement with medical professionals, immigrant communities, families and patients, and academics. 				
Centre for Restorative Justice, School of Criminology	Morrison, B.	Shaking the Movers Forum in B.C.	Child Rights and Academic Network (CRAN); Equitas; the Landon Pearson Centre for the Study of Children's Rights; the Society for Children and Youth BC (SCY); and, British Columbia's Representative for Children and Youth.	\$5,000
Outcomes: Knowledge exchange and mobilization; community access and outreach; experiential learning.				
<ul style="list-style-type: none"> • Focus of the initiative is on youth leadership and civic engagement. • Produced a workshop for youth to speak with key decision makers about public policy. • Community outreach includes youth participants engaging their communities, a follow-up workshop, and a public event at SFU. 				
School of Interactive Arts and Technology (SIAT)	Hennessy, K.	Past is Present at Scowlitz: Bridging Times, Places and Communities along the Lower Fraser River	Members of the Stó:lō Nation; members of the Scowlitz community.	\$10,000
Outcomes: Public engagement through research; knowledge exchange and mobilization; community access and outreach; infrastructure.				
<ul style="list-style-type: none"> • Collaboration with Indigenous and First Nations communities, researchers across universities, and students to develop a virtual museum website and two physical exhibits. • Focus is to expand connections among SFU (students, staff, faculty, faculties, and campuses), Scowlitz (youth, elders, knowledge holders, and leaders), Stó:lō Nation (researchers, resource managers, educators), and non-Natives in local and regional history, culture, and changing social and environmental landscape. 				

Faculty of Education and Imaginative Education Research Group (IER G)	Blenkinsop, S.; Green; Havens; et al.	Global Learning Forum on Renewable Cities	SFU's Centre for Dialogue; Renewable Cities project.	\$5,000
Outcomes: Knowledge exchange and mobilization; experiential learning.				
		<ul style="list-style-type: none"> • Semester in Dialogue program worked in partnership with <i>Renewable Cities</i> to organize a student-led public dialogue on issues related to sustainable energy and cities. • The event used art and dialogue-based learning, and incorporated film, theatre, arts practices, and a live mural in their programming. 		
Outcomes: Knowledge exchange and mobilization; community access and outreach; infrastructure.				
Faculty of Science	Lavieri, S.; Henson, C.; Ahrensmeier, D.	Developing a Framework for Documenting, Evaluating and Supporting Faculty of Science Outreach Programs	30 Faculty of Science outreach programs (elementary and high schools, community centres, youth groups, and homeschoolers).	\$10,000
<p>Outcomes: Knowledge exchange and mobilization; experiential learning; community access and outreach.</p> <ul style="list-style-type: none"> • Developed an evaluation toolbox to help determine the short, medium and long-term impact of the science outreach programs. • The project generated new goals for the programs, following 15 formal interviews with key stakeholders. 				
Faculty of Communication, Art and Technology, School of Communication	Mahoney, T.	Creative Publics Community Engagement Project	Simon Fraser University, Art for Social Change research project (Education Department at SFU), Tin Can Studio, Civic Renewal Lab, SFU Graduate Student Society, SFU Student Society, Gen Why Media, Apathy is Boring, Woodshop Worker's Cooperative, SFU School of Communications, SFU Institute for the Humanities, Woodward's Community Choir, CiTR Campus Radio, CJSF Campus Radio	\$5,000
Outcomes: Knowledge exchange and mobilization; experiential learning; community access and outreach.				
<ul style="list-style-type: none"> • This initiative facilitates public art-making workshops inspired by the federal election to open up new spaces for citizenship where ideas and perspectives can be explored through creative “doing”. • Engagement of 20,000-25,000 people through social media co-promotion with partnering organizations. 				
Faculty of Science; Centre for Coastal Science and Management	Kermode, A.; Wood, L.	Protect What You Love: A Unique Knowledge Mobilization and Experiential Learning Program For	Filmmakers; high school educators and students; SFU faculty and students.	\$5,000

		High Schools Involving Engagement of the Upcoming Generation		
Outcomes: Knowledge exchange and mobilization; community access and outreach; experiential learning.				
		<ul style="list-style-type: none"> Focuses on experiential learning and knowledge mobilization through art, film, and youth-driven actions for high school students. This interdisciplinary program involves filmmakers, SFU scientists and graduate students, high school educators and students and aims to educate youth about protecting the environment. 		
The Institute for Diaspora Research & Engagement (IDRE)	Busumtwi-Sam, J.; Alphonso, M.	Meeting the Challenges of Diaspora-based Community Centre	Members of various diaspora-based community centres.	\$10,000
Outcomes: Public engagement through research; knowledge exchange and mobilization; community access and outreach.				
		<ul style="list-style-type: none"> The project entails a series of workshops organized and hosted by SFU's Institute for Diaspora Research & Engagement (IDRE) for representatives from various diaspora-based community centres in the Greater Vancouver Area (GVA) and other interested parties. The outcomes include enhanced knowledge of best practices for meeting challenges and opportunities for diaspora communities. 		
SFU Gerontology Research Centre	Morrow, M.; Battersby, L.; Davies	Building Bridges: Creating a Community of Practice in Mental Health	Collaboration with SFU and York University faculty.	\$10,000
Outcomes: Public engagement through research; knowledge exchange and mobilization.				
		<ul style="list-style-type: none"> The project fosters important new relationships between community-based workers and researchers across the country to help bridge the between researchers and community-based mental health services/organizations. 		

Faculty of Communication, Art and Technology, School of Communication	Chow-White, P.	Social Media, Big Data, and Knowledge Management Solutions for the Non-Profit Charity	The Terry Fox Foundation	\$10,000
Outcomes: Community access and outreach; infrastructure.				
			• This cooperative research project between GeNA Lab, Terry Fox Humanitarian Award Program (TFHAP), and the Simon Fraser University (SFU) Community Engagement Initiative works to bridge gaps by identifying key metrics that underlie a strong digital communication strategy.	
Outcomes: Public engagement through research; knowledge exchange and mobilization; community access and outreach.				
Faculty of Education	Hill, C; Spiliotopoulos, V.	Field Programs in the Faculty of Education - Dialogue Series	K-12 education providers	\$5,000
<ul style="list-style-type: none"> Panel discussion and dialogue session focused on philosophical insights and pedagogical strategies for creating social spaces within formal educational settings. Aim is to enhance educational endeavours, and generate new possibilities for teachers and students. 				
The Bill Reid Centre	Myles, B.; MacDonald, G.	Pacific Northwest Canoe	The Bill Reid Centre	\$2,500
Outcomes: Public engagement through research; knowledge exchange and mobilization; community access and outreach; infrastructure.				
<ul style="list-style-type: none"> I:mex is the Coast Salish word for walking and the name of the mobile app created as a response to SFUs Community Engagement Initiative and to the OAPs updated Aboriginal Strategic Plan (2013-2018). The app makes available the visual, cultural, and symbolic meanings embedded in the Indigenous art on campus, and those which exist in the unceded territories of the Coast Salish people upon which the campus is located. 				
Simon Fraser University and the Beedie School of Business	Dooley, S.; Burke, K.	Community Leaders Igniting Change	Surrey Poverty Reduction Coalition	\$5,000
Outcomes: Knowledge exchange and mobilization; community access and outreach.				
<ul style="list-style-type: none"> Community Leaders Igniting Change (CLIC) is a cohort based pilot program developed to foster the leadership capacity of local individuals to help them network and take action to increase the social well being of Surrey residents. Outcomes of the project include: enhanced community leadership and engagement; increased community connectedness through strong social networks; capacity to engage more citizens. 				

SFU's Centre for Dialogue	Sylvester, S.; Prest, R.	Civic Engage	--	\$10,000
Outcomes: Public engagement through research; knowledge exchange and mobilization; community access and outreach.				
		<ul style="list-style-type: none"> • The Civic Engage initiative strengthens the democratic process by helping governments and citizens to work collaboratively on policy decisions. • Outreach includes designing and co-hosting two "Discovery Days" for BC government, facilitating four provincial forums on education innovation, and planning a consultation for the Ministry of Education. 		
Simon Fraser University and the Faculty of Education	Dooley, S.; Nilson, M.	Community Based Research at SFU Surrey	SFU Surrey - TD Community Engagement Centre	\$2,500
Outcomes: Public engagement through research; infrastructure.				
		<ul style="list-style-type: none"> • This project aims to examine the nature and extent of Collaborative Community Based Research (CCBR) activities that can be used to inform the development of a plan for a CCBR Centre at SFU Surrey; 		
The FREDA Centre for Research on Violence Against Women and Children	Jackson, M.; Rossiter, K.	Building Supports Workshop on Promising Practices	Several community and women's organizations. Co-led by BC Non-Profit Housing Association, BC Society of Transition Houses, and The FREDA Centre for Research on Violence Against Women and Children (School of Criminology, Simon Fraser University).	\$3,000
Outcomes: Public engagement through research; knowledge exchange and mobilization; community access and outreach.				
		<ul style="list-style-type: none"> • The purpose of the Building Supports project is to understand the barriers in accessing short- and long-term housing for immigrant and refugee women leaving violent relationships, and to identify practices and policies that can facilitate the removal of barriers to safe, secure and affordable housing. 		

2013 SFU's Community Engagement Initiative Funded Proposals				
FACULTY OR DEPARTMENT	APPLICANT	PROJECT TITLE	COMMUNITY PARTNERS / COLLABORATORS	FUNDED AMOUNT
Health Sciences	Lanphear, B.	Canadian Environmental Health (ATLAS) - Children's Environmental Health	Canadian Partnership for Children's Health and Env.; First Call: BC Child and Youth Advocacy Coalition	\$10,000
Outcomes: Knowledge exchange and mobilization; community access and outreach; infrastructure.				
<ul style="list-style-type: none"> Working in collaboration with key community members and groups on two new Atlas pages on children's environmental health. 				
Biological Science	Mooers, A. and Sharp, J.	Deep Time, Global Change and You	Smithsonian, UCSC, UC Berkeley	\$2,500
Outcomes: Public engagement through research; knowledge exchange and mobilization; community access and outreach.				
<ul style="list-style-type: none"> Broadening engagement for a funded novel public lecture series on global change through video productions and dissemination. The teaching tool targets BC high school students. 				
IRMACS and Faculty of Science	Jungic, V. and Weinberg, H.	The IRMACS Centre: Controversy, Ideas and Debate (UniverCity community)	To engage City of Burnaby, UniverCity residents association	\$3,600 (partial)
Outcomes: Public engagement through research; knowledge exchange and mobilization; community access and outreach.				
<ul style="list-style-type: none"> Three interactive dialogues were designed for the Burnaby Mountain Community members to discuss topics related to where they work and live, and to explore opportunities for future collaborations. The initiative was designed to create a forum to engage residents and businesses of UniverCity with the SFU community. 				

Arts and Social Sciences; Archeology	Lepofsky, D.	Nuts'amaat Shqualuwun, Dept of Archaeology	Hul'umi'num and WSANEC Nations communities, Parks Canada	\$10,000
<p>Outcomes: Public engagement through research; knowledge exchange and mobilization; community access and outreach.</p> <ul style="list-style-type: none"> Hosted two large community meetings with the Hul'umi'num and WSANEC community members on clam gardens and upcoming clam garden research. Partnership with Coast Salish communities to reestablish type of ancient mariculture. 				
Applied Sciences	Rajapakse, N.; Morantz, E.; Lee, K.	Blast Off Program	Surrey School District, HR MacMillan Space Centre	\$9,600
<p>Outcomes: Community access and outreach.</p> <ul style="list-style-type: none"> Developed and offered a program on space science to reach 80 K-12 students plus 24 classes of students in Grades 3,6 and 7 at four participating schools). 				
Lifelong Learning	Smith, J. and Besso, S.	Community Capacity Building Workshops	Carnegie Community Centre	\$10,000
<p>Outcomes: Knowledge exchange and mobilization; community access and outreach; experiential learning.</p> <ul style="list-style-type: none"> Workshops for low-income community members in Vancouver's Downtown Eastside designed to support participants to identify, design and implement a community project that supports positive community change in an area about which they feel passionately. Participants created a digital photo essay that they launched at an event in April 2015 at SFU Vancouver. 				
Faculty of Education	Smith, S.; Stoddard, C.; et al.	Education's Research Connections to its CE Initiatives	--	\$10,000
<p>Outcomes: Knowledge exchange and mobilization; infrastructure.</p> <ul style="list-style-type: none"> Created a centralized depot for the collection and dissemination of CE initiatives and allied research opportunities. Goal is to create a record of previous work, including communities engaged and research results achieved. 				

School of Communication	Kline, S.	Community Engaged Learning Project: Public Health Campaigns	Fraser Health	\$10,000
Outcomes: Public engagement through research; knowledge exchange and mobilization; community access and outreach; experiential learning.				
		<ul style="list-style-type: none"> Research designed in collaboration with the School of Communication at SFU to make a contribution to Fraser Health's communication and social marketing efforts. Undergraduate students participated in a community engaged learning initiative focused on the design and evaluation of public health communication. The initiative was launched with a series of briefing workshops. 		
Outcomes: Community access and outreach.				
SFU Library	Owen, B. and Hong, V.	Komagata Maru Commemorative VIP Event	Khalsa Diwan Society, PICS, Surrey Art Gallery, Museum of Vancouver, etc.	\$2,500 (partial funding)
<ul style="list-style-type: none"> Produced an event commemorating the 100th anniversary of the Komagata Maru's arrival in Vancouver. Collaborated with seven community partners throughout the Metro Vancouver, providing SFU with the opportunity to engage the South Asian community through the recognition of an historical episode of great significance to the community. 				
Centre for Sustainable Community Development	Markey, S.; Ashworth, J.	Charting the Legacy and Imaging the Future	--	\$10,000
Outcomes: Public engagement through research.				
		<ul style="list-style-type: none"> The CSCD 25th Anniversary Celebration provided a metaphoric container to capture the diverse experiences and knowledge of alumni, faculty, students, associates and friends of the Centre and an entry-point for community sustainability practitioners to participate and intersect with the CSCD. 		
Faculty of Communication, Art and Technology	Geisler, C.	Creative Entrepreneurship Program	BC TIA, BC Creative, City of Surrey and others	\$2,500 (partial funding)
Outcomes: Public engagement through research; knowledge exchange and mobilization.				
		<ul style="list-style-type: none"> Creative Entrepreneurship community workshop to help shape the certificate program offered at SFU. Funds were used to support the initial research and surveys, the Charrette, meetings and materials to support the workshop group 		
Beedie School of Business and Environment	Smith, S. and McRae, J.	Scaling the Change Lab	--	\$5,000 (partial funding)

<p>Outcomes: Knowledge exchange and mobilization; experiential learning.</p> <ul style="list-style-type: none"> Developed a sustainable curriculum model for a 2-term pilot course for students to ideate and implement sustainability projects. Funds supported education innovations and entrepreneurship opportunities for students at SFU. 				
Faculty of Education	Smythe, S.	Supporting Digital Literacy Skills (Burnaby)	South Burnaby Neighbourhood House, City of Burnaby, Burnaby Public Library	\$5,000 (partial funding)
<p>Outcomes: Knowledge exchange and mobilization; infrastructure.</p> <ul style="list-style-type: none"> The groundwork laid with the support of the community engagement grant has allowed the BNH 'Digital Cafe' to expand to two sites (Metrotown and Hastings & Willingdon) and to 6 hours a week. 				
Faculty of Communication, Art and Technology, School of Communication	Cross, K.; Poyntz, S.; Hackett, R.	Media Democracy Project – Enhanced Engagement Initiative	BC Civil Liberties Assoc, David Suzuki Foundation, Vancity CU, others	\$5,000 (partial funding)
<p>Outcomes: Public engagement through research; knowledge exchange and mobilization.</p> <ul style="list-style-type: none"> Enhanced community and NGO input into activities and priorities of Media Democracy Project, and introduced community supported educational components and expanding project research in BC and Canada. 				
Faculty of Education	Hoskyn, M. and Moore	Budding Scientist Research Program	Strathcona Community Centre	\$2,340 (partial)
<p>Outcomes: Knowledge exchange and mobilization; experiential learning.</p> <p>Contribution to support Budding Scientist program where SFU pre-service teachers are trained to provide intervention to struggling readers.</p>				

Faculty of Communication, Art and Technology, School of Communication	McAllister, K.	Workshop on methodologies for CE research	Internal partners	\$900 (partial)
Outcomes: Knowledge exchange and mobilization; experiential learning. <ul style="list-style-type: none"> • This workshop invited both established and new scholars to discuss their approaches to activist research. • The researchers at the workshop shared both the working relations and process of designing research that articulated the concerns of communities. 				
School of Criminology and First Nations Studies	Palys, T. and ross, a.	Circles to develop research questions and partnerships on questionable deaths	Vancouver Aboriginal Transformative Justice Services Society, Union of BC Chiefs	\$3,000 (partial)
Outcomes: Outcomes: Public engagement through research; knowledge exchange and mobilization. <p>Funds supported a symposium that would bring together researchers and individuals who were involved in a case study of Prince Rupert, BC and its justice system's consideration of the deaths of three Aboriginal youth.</p>				
Residence Life (Student Led)	Viktorn, M. and Bourke, P.	Service Learning Program	Habitat for Humanity, Scotiabank	\$5,000
Outcomes: Knowledge exchange and mobilization; experiential learning. <p>11 SFU residence students and 2 Residence Life staff took part in an international service-learning trip to Lusaka, Zambia and built two homes for disadvantaged children.</p>				
UNYA (Student Led)	Gray, C.	Engaging Native Urban Youth	UNYA and SFU	\$2,000
Outcomes: Knowledge exchange and mobilization; experiential learning. <p>Pilot program between SFU and UNYA to develop community lacrosse program for First Nations youth, including training and facilitation with SFU's varsity team.</p>				
Work Integrated Learning (Student Led)	WIL	Expanding Public Policy Assistance	Burnaby Board of Trade	\$10,000
Outcomes: Knowledge exchange and mobilization; experiential learning.				

APPENDIX C: Developing SFU's Strategic Community Engagement Action Plan 2015 – 2020

August 10, 2015

Background and Scope

Simon Fraser University's vision is to be the leading engaged university defined by its dynamic integration of innovative education, cutting-edge research, and far-reaching community engagement. Intrinsic to this vision are SFU's three essential goals of engaging students, engaging research and engaging communities.

With aspiration to be Canada's most community-engaged research university, SFU's first, three-year Community Engagement Strategy was approved by the University's Board of Governors in 2013. It identified several areas of institutional priority and focus with the purpose of increasing community access to SFU people, knowledge and resources. These included:

- Expanding community connections as an integral part of the University's academic mission to create opportunities for practical and experiential learning and to inspire research;
- Developing partnerships to maximize the capacities of SFU's three campuses to enhance the social, economic, environmental and cultural well-being of communities locally and globally;
- Cultivating respectful and mutually beneficial community relationships;
- Meeting the lifelong learning needs of students, alumni and the community; and
- Establishing SFU as BC's public square for enlightenment and dialogue on key public issues.

As we approach the end of the initial term of SFU's 2013 – 2015 Community Engagement Strategy, the University has seen significant growth in student, research and community engaged planning and activity across university disciplines, departments, campuses and communities. Concurrent advancements in SFU's Academic Plan and SFU's Strategic Research Plan have resulted in increasingly robust elements of engagement planning that contribute to the "Engaged University" vision. Collectively, this growth in engagement across and between SFU and its communities presents the University with an opportunity to build upon its initial Community Engagement Strategy priorities and principles in the form of an institution-wide Strategic Community Engagement Action Plan (SCEAP). The SCEAP will be action-oriented and seek to define and include the networks and mechanisms through which community engagement could be best supported and strengthened at SFU.

As a highly decentralized organization with community engagement initiatives mobilized throughout the University's three distinctive campuses; across its 30,000 students, 6,500 faculty and staff, and 120,000 alumni; and between SFU and the communities it serves; the planning process will embody an appropriate level of attention and consideration to ensure that the emerging plan is reflective of the values of SFU's departments, campuses, communities and organizational culture(s). The ultimate success of the SCEAP depends upon the extent to which the plan embodies and supports community engagement interests and initiatives across this vast group of stakeholders and its ability to strengthen, support and inspire community engagement for the next five years (2015 – 2020).

The SCEAP Planning Process

Phase One (September 2015 – December 2015)

Identification of Stakeholders and Initial Situation Analysis

- Identify key SFU stakeholders
- Identify key community member / group stakeholders
- Situation Analysis – Macro-environmental scan including initial measurement and benchmarking

Phase Two (January 2016 – April 2016)

Consultation and Identification of Opportunities and Issues

- Identify SFU department and campus CE needs, strengths and weaknesses
- Identify community CE needs, strengths and weaknesses
- Identify CE opportunities and challenges in the region(s) that SFU serves
- Identify CE critical success factors
- Identify possible new CE strategies to leverage strengths and minimize weaknesses
- Determine the objectives vital to successful CE at SFU and within the community

Phase Three (May 2016 – August 2016)

Synthesis of Inputs and Sharing

- Prepare written SCEAP including strategy, priorities and action plan/programs
- Share results with stakeholders, SFU President's Office, SFU Board of Governors

Phase Four (September 2016 – December 2020)

Approval, Collective Implementation, Plan Monitoring and Review, Iterative Plan Revisions

Simon Fraser University Strategic Review

Fundamental Theme Report 2015 – Leveraging Institutional Strength

October 1, 2015

Introduction

The purpose of this review is to assess SFU's performance with respect to the University's fundamental theme of "Leveraging Institutional Strength". In the Mid-Cycle Evaluation Report (2014), the theme team reviewed and revised the outcomes and indicators to more effectively measure the University's performance with respect to financial sustainability, reliability of IT services, attracting and retaining the best people, and providing a physical infrastructure that is fit for purpose.

The theme team has since undertaken a subsequent review of all outcomes and indicators and concluded they remain relevant and appropriate measures of performance in support of the University's Vision / Mission.

Theme Description

Fundamental Theme: LEVERAGING INSTITUTIONAL STRENGTH

Goal – To become financially flexible through continuous improvement of administrative systems, strengthening of infrastructure, and recruitment and retention of the best people.

For SFU to be successful in achieving its strategic goals around the three Core Themes, it must leverage the institutional strength found in its human, financial, and capital infrastructure. This fundamental principle underpins SFU's three core strategic themes and contributes both directly and indirectly to fulfilment of the Vision / Mission.

SFU seeks continuous improvement of administrative systems in order to provide access to transparent and efficient administrative systems for students; long-term growth and viability of endowments; greater alignment of resources to strategic priorities; increased revenue-generating activities; and efficient administrative units.

The University's efforts around recruitment and retention of the best faculty and staff are focused on four key areas: competitive compensation, opportunities for training and development, recognition of excellent performance, and promotion of a respectful workplace.

To support the core strategic themes, SFU seeks to provide students, faculty and staff with appropriate teaching, research and administrative space; effective and reliable IT systems; and a safe and sustainable physical infrastructure.

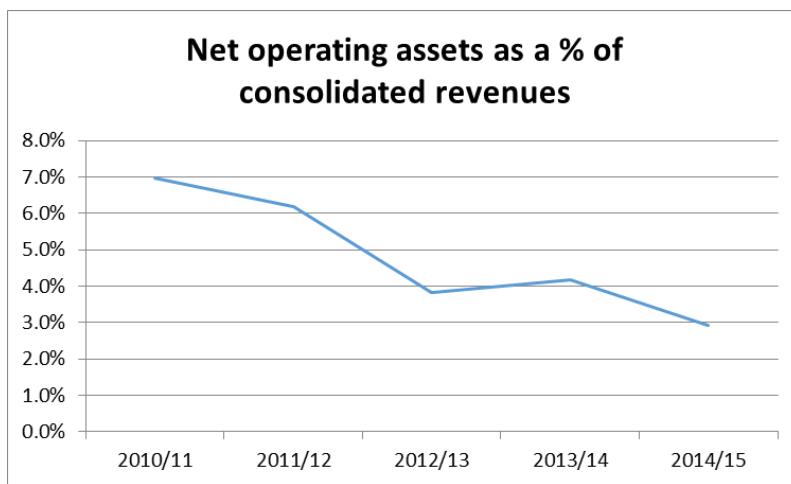
Assessment of Theme Performance

Outcome 1: SFU IS FINANCIALLY SOUND

Indicator 1.1: Net operating assets as a % of consolidated revenues

Net operating assets reflect the cumulative surpluses (losses) generated from the operating fund and are one indicator of the overall financial health of the University. A healthy balance sheet position provides the University with the ability to handle future unplanned liabilities and funding requirements. Operating assets include various components such as departmental carry forwards, investment surplus (loss) carryovers, and unfunded future costs (liabilities).

SFU's carry forward guidelines limit the level of cumulative carry forward in units to 9% of total operating budget. Consistent with this guideline, and based on comparatives with other Canadian universities, a positive net operating asset balance of up to 10% of consolidated revenues represents a reasonable and appropriate balance of net operating assets.



As can be seen above, this indicator has remained at an appropriate level over the previous five years. The introduction of new public sector accounting standards has led to a reduction in the indicator, as has the prudent and measured release of reserves. For the fiscal year ended 2014/15, net operating assets have been reduced to \$18.9 million. The University has prompted departments to tap into their carry forward funds to source strategic projects and initiatives, which has impacted the measure. In addition, cash reserves have been leveraged for strategically significant capital renewal projects, reducing the total net asset reserve level to approximately 3%.

The previous self-evaluation report indicated a target range for net operating assets of between 4% and 9% of consolidated revenue. The theme team has reviewed this range and found that 3% is an acceptable level considering the reduction is due to a combination of internal and external factors. Externally, the introduction of new accounting standards in fiscal 2012/13 led to one time drop in the metric, while internally, the explicit decision to address growing carry forwards by encouraging their strategic release also had an impact. Therefore, net assets in the revised range of 2% to 9% represent a reasonable level of operational reserves, given that other factors, such as the University's operating contingency, also contribute to the overall financial health of the University.

SFU remains within its target range and is **on course** with respect to this indicator.

Outcome 2: SFU HAS IT SERVICES THAT SUPPORT ITS PRIORITIES**Indicator 2.1: Joint availability of core services**

For the purposes of this indicator, SFU defines its core IT services to include four representative but critical systems:

- SFU Connect (enterprise collaboration based on Zimbra Collaboration Suite)
- Canvas (locally hosted learning and management system)
- SIMS (Student Information Management System)
- Off-Campus Internet Connectivity (ability for users to access the internet through and from the SFU campus network)

As there is no “industry standard” single metric for the performance of IT Services, the theme team proposed that a measure which reflects the joint availability of core services is a reasonable and appropriate performance metric. The availability of these core services is easily measured and each is expressed as a percentage of time the system is performing as designed for all users. The actual composite metric is the product of the four percentages

Indicator 2.1: Joint availability of core services		Availability as Percentage (%)	
	Service/System	2014	2015
Joint Availability of Core Services: SFU Connect, Canvas, SIMS & Off-Campus Internet Connectivity	Connect	99.88	99.97
	Canvas	99.72	99.97
	SIMS	99.88	99.97
	Off-Campus Internet	99.88	99.95
	Metric (Product of 4)	99.36	99.86
	<i>Average of 4</i>	<i>99.84</i>	<i>99.97</i>

These measures provide a reasonable indication of how well the priority core services are working (i.e. availability). As measured against a 24x7 ideal of 100% availability, SFU’s priority IT systems have performed extremely well since 2014, when SFU first began to measure this metric.

SFU is *achieving* its targets with respect to this indicator.

Outcome 3: SFU ATTRACTS AND RETAINS THE BEST PEOPLE**Indicator 3.1: Canada's Top 100 Employers**

SFU is one of the largest employers within the City of Burnaby and has a substantial employment presence in downtown Vancouver and the City of Surrey. The University is consistently recognized as one of the best employers, both in the province and in the country.

The Leveraging Institutional Strength theme team previously determined that having SFU included in a prominent list of Canada’s Top 100 Employers is an effective measure of the University’s ability to attract and retain quality staff and faculty. The measurement is taken from the country’s leading employment periodicals publisher, Mediacorp Canada, which assesses employers using eight criteria:

- Physical workspace
- Work atmosphere and social atmosphere
- Health, financial and family benefits
- Vacation and time off
- Employee communications
- Performance management
- Training and skills development
- Community involvement



Employers are compared to other organizations in their field to determine which offers the most progressive and forward-thinking programs. SFU has been included in Mediacorp's list of Canada's Top 100 Employers every year since 2008, which reflects the University's ongoing commitment to its employees and its ability to provide them with a positive work environment and culture.

SFU was also named by Mediacorp as one of Canada's Top Family-Friendly Employers and British Columbia's Top Employers for 2015.

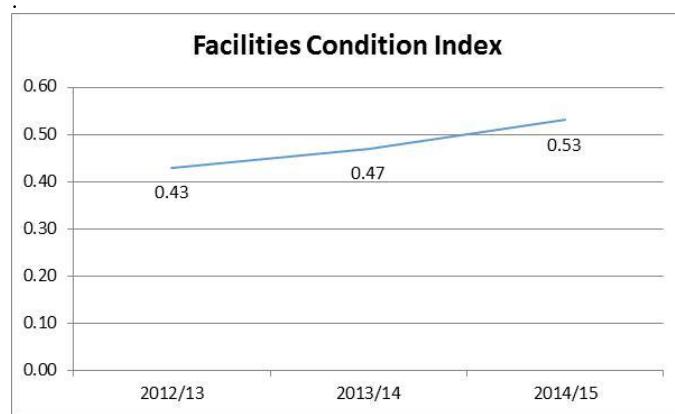
SFU is **achieving** its targets with respect to this indicator.

Outcome 4: SFU HAS FACILITIES THAT MEET ITS NEEDS

Indicator 4.1: Facilities Condition Index (FCI)

The SFU Burnaby campus is now 50 years old and suffers from ongoing deferred maintenance issues. The rehabilitation and renewal of aging facilities and infrastructure at the Burnaby campus is required to extend the useful life of facilities and to improve the sustainability and functionality of these facilities.

Using the Facilities Condition Index (FCI), an accepted industry metric for determining the relative condition of a group of facilities at a specific point in time, SFU is able to assess the condition of its buildings and facilities. The theme team confirmed that FCI is an effective indicator in determining the functionality and safety of SFU's physical infrastructure.



A new building has an FCI of zero and a building with an FCI of 1.00 has no useful life left. SFU's FCI of 0.53 for 2014/15 falls in the range of "poor" condition (FCI > 0.50). However, it should be noted that this is a measure of the University's entire building portfolio, with many buildings having an FCI far in excess of 0.53 and some buildings being in better condition.

Addressing issues of deferred maintenance and building renewal at the Burnaby campus was a key priority in 2014/15. Projects were undertaken to improve student study spaces, classrooms, building envelopes and building systems infrastructure. In addition, SFU's Deferred Maintenance Advance Initiative established a \$30 million line of credit to address deferred maintenance requirements. In 2014/15, \$15 million of work was completed, in addition to other targeted projects. Major new capital projects are also being developed, including the approval of a new 100,000 square foot, \$55 million student union building scheduled for completion in late 2018. A \$10 million stadium project is also under design, which will be matched with an additional \$10 million to address deferred maintenance in the adjacent infrastructure. A \$15 million Field House is also under consideration and will complement the new stadium and improved athletics facilities. Collectively, these initiatives will positively impact building lifespan, have a positive impact on the FCI over time, and will slow the advance of this aggregated metric.

SFU remains **on course** with respect to this indicator.

Suggested Updates to the Theme

Indicator 1.1: Net operating assets as a % of consolidated revenues

This indicator was updated in June 2014 and was previously expressed as the dollar value of net unrestricted assets. The new indicator is considered more representative of the financial health of the University as it is now directly linked with consolidated revenue and provides for a better year-over-year comparison. Although other important metrics, such as the level of its operating contingency and its access to cash reserves, are indicative of SFU's financial flexibility, the chosen metric is deemed to be the most informative and remains the most relevant.

The University has made informed decisions regarding the specific use of its operating assets and the decrease in the indicator was wholly anticipated. The reduction resulted from the strategic leveraging of operating assets, such as addressing pension deficiencies and targeting discrete deferred maintenance issues. The University has the flexibility to prioritize funding when required and has shown historically that it can grow net operating assets when it is strategically important.

Indicator 2.1: Joint availability of core services

This indicator has been updated from the ratio of operating and project resources to total operating resources. The former metric was deemed to be too cost oriented and did not reflect the benefit that information technology has in an organization. Upon the suggestion of Senate, a review of alternative metrics utilized in the private sector was undertaken. From that review, joint availability of core services was deemed to be an improved measure of IT success.

SFU's IT group is currently undergoing a period of transformation. Focusing on core services is considered an important "back to basics" step during this interim phase. However, it is acknowledged that this tactical metric is broad based, unweighted, and susceptible to diminishing returns. The University has recently hired a new Chief Information Officer (CIO) who will evolve a suite of new metrics to gauge IT impact along multiple dimensions and measure progress against strategy. Therefore, it is anticipated that this metric will be reviewed and potentially replaced with one that is more aligned to the new strategic vision for information systems.

Indicator 3.1: Canada's Top 100 Employers

This continues to be an effective measure in determining whether or not SFU attracts and retains the best people. Mediabase's Canada's Top 100 Employers list is a nationally recognized source for those desiring to work within the country's best organizations. Its evaluation criteria are multi-dimensional and its analytical techniques are comprehensive and systematic. At this time, there is no requirement to consider changing this indicator.

This University may consider developing a support metric to supplement the Canada's Top 100 Employers indicator due to its binary nature, as any given organization is either "on the list" or "off the list". Should the University attain the latter, it cannot be deemed to have completely failed in its attempt to attract or retain the best people. SFU is in the process of piloting a Performance Development Program (PDP). Should the pilot be successful, a university-wide introduction of PDP may be a methodology to analyze retention rates, employee satisfaction levels and career progression, and could act as an important supplement to the current indicator. Similarly, exploring the possibility of implementing an employee engagement survey would provide valuable information for understanding SFU's employee satisfaction levels.

Indicator 4.1: Facilities Condition Index (FCI)

The current indicator represents the average for all the buildings' FCI ratings and does not take into account individual building FCIs. This provides a reasonable, consolidated view of University infrastructure but is less effective in making discrete capital decisions. However, such an industry-wide, global indicator is politically valuable as its continued deterioration demonstrates to government bodies, such as BC's Ministry of Advanced Education, that University infrastructure is crumbling and requires substantial and immediate investment. Over the last few years, SFU has diverted significant operating funds to address deferred maintenance, but it is having limited impact due to the scale of the problem, as represented by the 0.53 metric.

It is recommended that, as information matures, the University consider a more detailed review of FCI values for the entire building portfolio, and update the indicator accordingly. For example, SFU Burnaby, where the majority of the deferred maintenance is located, has 35 academic related buildings. Six are in “good” condition ($FCI < 0.20$), nine are in “fair” condition ($0.20 > FCI > 0.50$), and twenty are in “poor” condition ($FCI > 0.50$). A more detailed approach to indicator tracking, at the level noted above, would provide important information to guide overall University infrastructure planning and enhance government lobbying efforts.

Conclusion

The fundamental theme of “Leveraging Institutional Strength” underpins the success of the University’s three Core Themes related to Students, Research and Communities. The results of the indicators show that the University is undertaking many initiatives to advance this theme. Directionally, it is shown that strategic decisions are having an impact on the indicators, whether it be through the movement of the FCI by targeting specific deferred maintenance projects or the impact on the Net Operating Assets metric by utilizing dormant funds.

Even with the positive results, there remains work to do. Although the IT indicator movement is positive, the group is in a transition period and will require further review as it moves beyond its initial learning phase. Similarly, the success of the Top Employer metric may require supplemental data to augment human resource efforts in the medium to long term. Implementing such changes will continue to enhance the “Leveraging Institutional Strength” theme in the University Planning Framework.

Appendices

Documents referred to in the self-evaluation of the fundamental theme of Leveraging Institutional Strength include the following:

- Five-Year Capital Plan 2016/17 to 2020/21
- Budget and Financial Plan 2015/16
- University Planning Framework (May 2015)

Theme Team Content Contributors:

- Alison Blair – Associate Vice-President, Finance
- Larry Waddell – Chief Facilities Officer
- Mark Roman – Chief Information Officer
- Scott Penney – Director, Planning and Analysis
- Michael Strang – Planning Analyst

Appendix B

2015 University Planning Framework

University Planning Framework

Prepared By: University Planning Committee

Date Prepared: December 2015

Contact: Scott Penney, Director, Planning & Analysis
scott_penney@sfu.ca | 778-782-7513

Contents

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Introduction

The University Planning Framework shows how SFU's vision and mission is to be achieved and supported through the contributions of other institutional plans and planning processes, and their alignment with the vision. The membership of the authoring University Planning Committee is provided in the Appendix.

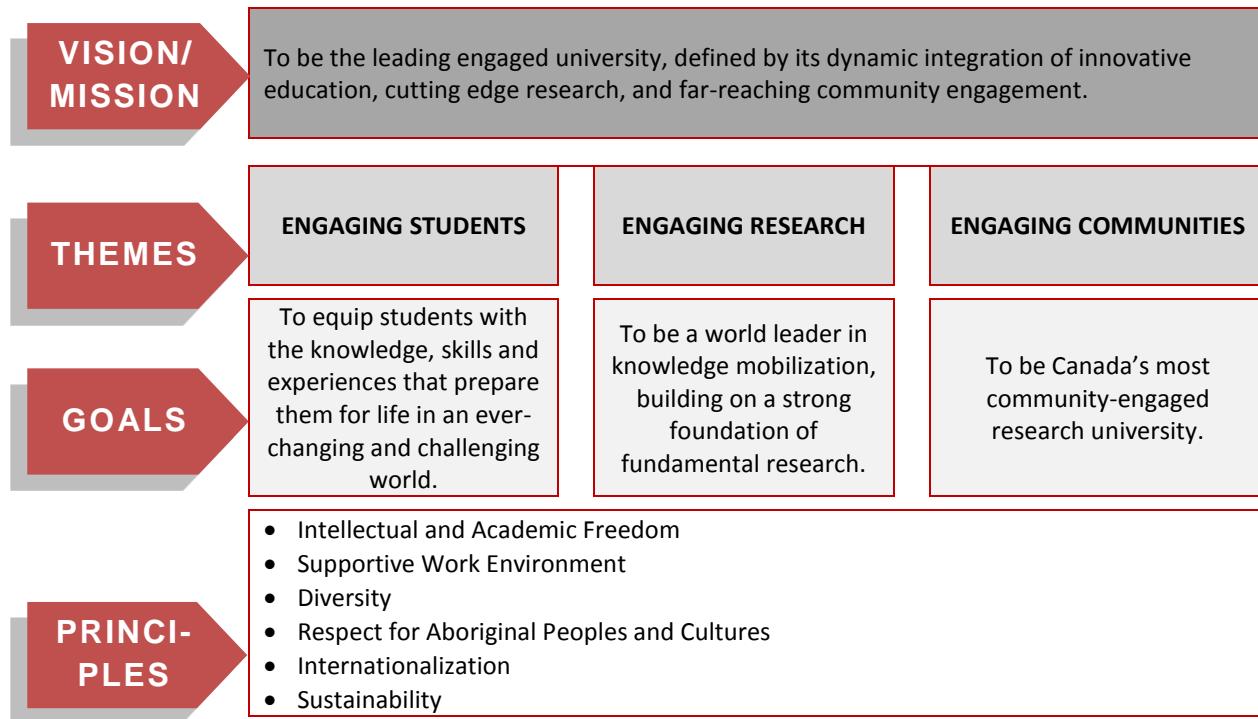
SFU's vision/mission has three Core Themes: Engaging Students, Engaging Research and Engaging Communities. Each of these core themes has a strategic goal associated with it and each of the goals has a number of identified supporting activities which are intended to lead to the attainment of that goal. These strategic goals and supporting activities will help direct all institutional-level planning activities at SFU. In addition, for SFU to be successful in achieving its strategic goals, it must leverage the strength found in its infrastructure: human, financial, and capital. The importance of this supporting goal and associated activities, which underpin SFU's three core themes, is described subsequently.

To assess the efficacy of our efforts to achieve the strategic goals, a number of observable and/or measurable results, termed outcomes, have been identified. These outcomes are expected to be attained by the end of the planning horizon. Also, for each outcome, one or more qualitative and/or quantitative indicators of achievement have been identified. These are meant to assess performance at the institutional level, not the unit level. The indicators are general in nature and, as such, cannot be used to capture the performance of individual units. They are primarily used to demonstrate the direction of trends at the institutional level and not the performance of specific units within SFU. However, Vice-Presidents' portfolios and the units comprising them, including the faculties, are expected to develop relevant metrics to assess their performance and set specific achievement levels with respect to their own plans.

The indicators in this planning framework may be used as a foundation for decision-making, but only at the institutional level. It is acknowledged that any resource allocation decisions within SFU's hierarchy will require data collection and careful analysis at the appropriate level, with sensitivity to the varying characteristics of the disciplines and administrative areas of the University.

envision>SFU

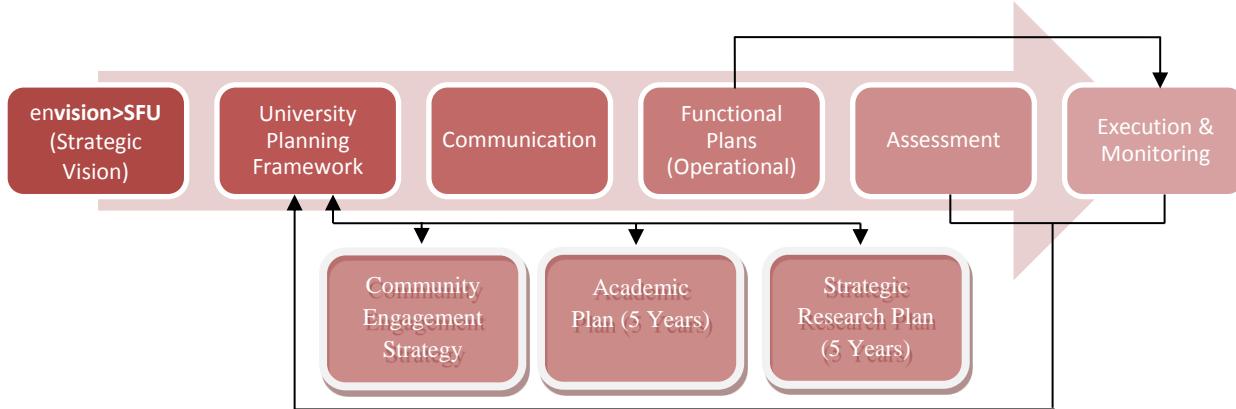
The following table displays SFU's vision/mission, themes, goals, and principles resulting from the **envision>SFU** process.



Planning Process

The Figure 1 describes SFU's strategic planning process, beginning with **envision>SFU**, leading to the Planning Framework, followed by the supporting plans.

Figure 10 – High Level Planning Process

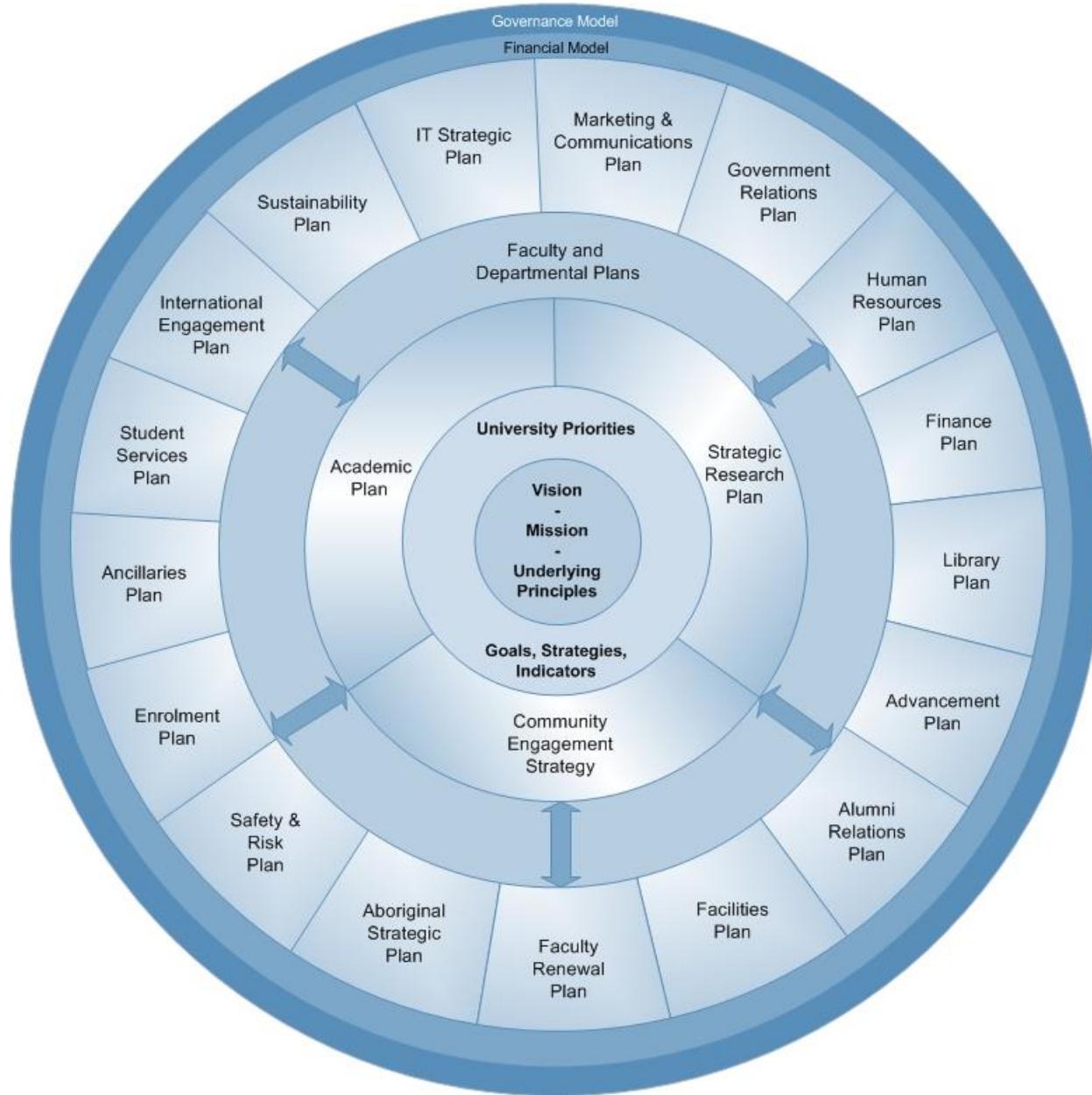


1. Long-term strategic vision is reviewed every 5 to 10 years; paints the future of SFU.
2. University Planning Framework is reviewed every year; the Framework is updated based on SFU's priorities and previous year's performance assessment.
3. Supporting plans:
 - a. Academic Plan is updated every 5 years;
 - b. Strategic Research Plan is updated every 5 years;
 - c. Community Engagement Strategy was recently completed after a multi-year consultation process;
 - d. Other plans are reviewed and updated as required to inform the annual budgeting and resourcing exercise.
4. Assessment: SFU mission fulfillment will be assessed against the goals, outcomes and indicators identified in this document.
5. Execution and monitoring: the President and Vice-Presidents as a group are accountable for the execution of the planning process.

Integrated Planning Framework

The Figure 2 illustrates how various operational plans are integrated and aligned with SFU's long-term strategic vision and planning framework. All plans are updated as required to align with institutional priorities for subsequent planning periods.

Figure 11 – Integrated Planning Framework



Indicator Principles

Indicators will be used to assess the state of a core theme and whether a particular strategic goal has been achieved. Where possible, they should satisfy the following three principles:

	Principle	Description
1	Relevant	An indicator should help assess SFU's goals as described in the University Planning Framework.
2	Practical	An indicator should be simple to measure and not require a heavy investment of time and money in data collection.
3	Intuitive	An indicator should be easy to understand.

Core Themes, Goals, Supporting Activities, Outcomes and Indicators

This section identifies the supporting activities, outcomes, and indicators derived for each core theme and goal.

Core Theme	Goal
Engaging Students	To equip students with the knowledge, skills, and experiences that prepare them for life in an ever-changing and challenging world.
Supporting Activities	
	<ul style="list-style-type: none"> Supportive learning environment and diverse learning opportunities that enable students to gain the knowledge, critical capacities, research skills and civic understanding required to become engaged global citizens and to thrive and adapt in demanding and dynamic environments. Opportunities for students to participate in advanced research, thereby sharing in the labour and joy of creating and applying knowledge, while acquiring the skills for lifelong learning. Access for students to an unparalleled selection of experiential learning opportunities that allow them to apply knowledge, to grow as individuals, to engage with diverse communities, to deliver entrepreneurial skills and to refine their sense of civic literacy.
Outcome	Indicator
Students gain the knowledge to complete degree requirements.	<ul style="list-style-type: none"> Undergraduate composite graduation rate (%) (6-year graduation rate) for degree programs Graduate composite graduation rate (%) (6-year rate for Masters programs and 8-year rate for Doctoral programs) Undergraduate retention rate (%) (year 1 to year 2) Graduate retention rate (%) (year 1 to year 2)
Students acquire skills necessary in an ever-changing world.	<ul style="list-style-type: none"> Undergraduate average credits in Cooperative Education and Field Schools per graduating student Undergraduate student assessment of skill development (average %) as measured by the BC Baccalaureate Graduate Survey Graduate student assessment of skills and abilities acquired during graduate program, as measured by the SFU Graduate Exit Survey
Students apply knowledge in the workplace or further studies.	<ul style="list-style-type: none"> Undergraduate student assessment of usefulness of knowledge and skills gained in performing job, as measured by the BC Baccalaureate Graduate Survey Graduate student assessment of graduate experience in current employment / position, as measured by the SFU Graduate Exit Survey Undergraduate student assessment of academic preparation for further studies, as measured by the BC Baccalaureate Graduate Survey Graduate student assessment of academic preparation for further studies, as measured by the SFU Graduate Exit Survey

Core Theme	Goal
Engaging Research	To be a world leader in knowledge mobilization, building on a strong foundation of fundamental research.
Supporting Activities	
	<ul style="list-style-type: none"> • A global leader in research mobilization by leveraging our fundamental research strengths, including interdisciplinary research, close community connections, and partnerships and collaborations. • Promotion of research excellence, supporting and encouraging all researchers, including undergraduates, graduate students, faculty, staff members and community partners who assist the research mission. • Support and promotion of the full continuum of research, from the fundamental generation of knowledge, through the dissemination of that knowledge within the academic community and beyond, to the application of transformative ideas for the benefit of society.
Outcome	Indicator
Research is at a high quality level.	<ul style="list-style-type: none"> • Total number of citations • Percentage of publications in top journal percentiles • Tri-Council research funding (SSHRC, NSERC, CIHR)
Knowledge is mobilized through partnerships / collaborations with external partners.	<ul style="list-style-type: none"> • Number of funded collaborative research projects with external partners • Number of co-authored publications with external collaborators
Research is integrated into learning and teaching.	<ul style="list-style-type: none"> • Number of graduate theses submitted to the Library • Number of undergraduate enrolments in one-on-one supervised research
Research investment is leveraged to drive innovation and transfer of technology for the benefit of society and the economy.	<ul style="list-style-type: none"> • Number of new patents filed • Number of industrial student internships through Mitacs

Core Theme	Goal
Engaging Communities	To be Canada's most community-engaged research university.
Supporting Activities	
	<ul style="list-style-type: none"> Establishing community connections as an integral part of the academic mission, creating opportunities for practical and experiential learning; informing and inspiring our research; and contributing to its relevance and success. Maximizing institutional capacities to enhance the societal, economic, environmental and cultural well-being of communities, both locally and globally, and respectful and mutually beneficial community relationships. Satisfying lifelong learning needs of students, alumni and the community with innovative programs and learning opportunities. BC's public square for education and dialogue on key public issues and reputation as the institution to which the community looks for education, discussion and solutions.
Outcome	Indicator
SFU is engaged locally.	<ul style="list-style-type: none"> Number of participants in SFU local outreach programs (e.g. SFU Public Square, Philosopher's Café, Friends of Simon, Summer Camps)
SFU is engaged globally.	<ul style="list-style-type: none"> Number of active international partners (discrete active partner institutions for any type of agreement SFU International has on file)
SFU is engaged with its alumni.	<ul style="list-style-type: none"> Alumni engagement score (every contactable alumnus is assigned a score based on the level of alumni engagement: informed, involved, or invested)

For SFU to be successful in achieving its strategic goals, it must leverage the strength found in its infrastructure: human, financial, and capital. SFU's commitment to this principle is reflected in the following supporting goal and associated activities which underpin SFU's three core themes.

Fundamental Theme	Goal										
Leveraging Institutional Strength	To become financially flexible by continuously improving our administrative systems and strengthening our infrastructure, and to engage the best people.										
Supporting Activities											
<p>1) Improved administrative systems:</p> <ul style="list-style-type: none"> • Access to transparent and efficient administrative systems for students. • Long term growth and viability of endowments. • Resource alignment for our priorities. • Increased revenue generating activities and cost effective and efficient administration units. <p>2) Recruitment and retention of best people:</p> <ul style="list-style-type: none"> • Competitive compensation package for staff and faculty to attract and retain well respected researchers and teachers. • Career enhancement through educational opportunities, professional development, and leadership training for staff and faculty. • Recognition of performance excellence through an effective performance management framework. • Promotion of diversity, inclusion, collaboration and a respectful workplace for staff and faculty. <p>3) Strengthened infrastructure:</p> <ul style="list-style-type: none"> • Information Technology strategic plan that supports our priorities. • Management and reduction of the facilities deferred maintenance cost. • Teaching and research space that meets the needs of students and faculty. 											
<table border="1"> <thead> <tr> <th>Outcome</th><th>Indicator</th></tr> </thead> <tbody> <tr> <td>SFU is financially sound.</td><td> <ul style="list-style-type: none"> • Net operating assets as a % of consolidated revenues (Finance indicator) </td></tr> <tr> <td>SFU has IT services that support its priorities.</td><td> <ul style="list-style-type: none"> • Joint availability of core services (SFU Connect, Canvas, SIMS, and off-campus internet connectivity) (IT indicator) </td></tr> <tr> <td>SFU attracts and retains the best people.</td><td> <ul style="list-style-type: none"> • Canada's Top 100 Employers (Human Resources indicator) </td></tr> <tr> <td>SFU has facilities that meet its needs.</td><td> <ul style="list-style-type: none"> • Facilities Condition Index (Facilities indicator) </td></tr> </tbody> </table>		Outcome	Indicator	SFU is financially sound.	<ul style="list-style-type: none"> • Net operating assets as a % of consolidated revenues (Finance indicator) 	SFU has IT services that support its priorities.	<ul style="list-style-type: none"> • Joint availability of core services (SFU Connect, Canvas, SIMS, and off-campus internet connectivity) (IT indicator) 	SFU attracts and retains the best people.	<ul style="list-style-type: none"> • Canada's Top 100 Employers (Human Resources indicator) 	SFU has facilities that meet its needs.	<ul style="list-style-type: none"> • Facilities Condition Index (Facilities indicator)
Outcome	Indicator										
SFU is financially sound.	<ul style="list-style-type: none"> • Net operating assets as a % of consolidated revenues (Finance indicator) 										
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Appendix 1 – 2015 University Planning Framework Indicators and Data

This document supplements the University Planning Framework and presents the indicators used to measure the outcomes that assess the efficacy of SFU's efforts to achieve the strategic goals associated with the core themes of Engaging Students, Engaging Research, and Engaging Communities, as well as the supporting goal of Leveraging Institutional Strength.

The indicators (listed on pages 12-13) assess performance at the institutional level, not the unit level. The indicators are general in nature and, as such, cannot be used to capture the performance of individual units. They are primarily used to demonstrate the direction of trends at the institutional level and not the performance of specific units within SFU.

Data for fiscal years 2010/11 to 2014/15 can be found on page 14-16. Please note that 2014/15 data for certain indicators may not be available yet. Indicator definitions, source and their rationale can be found on pages 17-24.

Prepared by: University Planning Committee
Date Prepared: October 8, 2015
Contact: Wayne Sun, Analyst, Institutional Research and Planning

Goal, Outcome and Indicator Summary

The following table lists the indicators according to their themes, goals, and outcomes.

Goal	Outcome	Indicator
ENGAGING STUDENTS	To equip students with the knowledge, skills and experiences that prepare them for life in an ever-changing and challenging world.	Undergraduate composite graduation rate (%) (6-year graduation rate) for degree programs
		Graduate composite graduation rate (%) (6-year rate for Masters programs and 8-year rate for Doctoral programs)
		Undergraduate retention rate (%) (year 1 to year 2)
		Graduate retention rate (%) (year 1 to year 2)
	Students gain the knowledge to complete degree requirements.	Undergraduate average credits in Cooperative Education and Field Schools per graduating student
		Undergraduate student assessment of skill development (average %) as measured by the BC Baccalaureate Graduate Survey
		Graduate student assessment of skills and abilities acquired during graduate program, as measured by the SFU Graduate Exit Survey
	Students acquire skills necessary in an ever-changing world.	Undergraduate student assessment of usefulness of knowledge and skills gained in performing job, as measured by the BC Baccalaureate Graduate Survey
		Graduate student assessment of graduate experience in current employment/position, as measured by the SFU Graduate Exit Survey
		Undergraduate student assessment of academic preparation for further studies, as measured by the BC Baccalaureate Graduate Survey
		Graduate student assessment of academic preparation for further studies, as measured by the SFU Graduate Exit Survey

	Goal	Outcome	Indicator
ENGAGING RESEARCH	To be a world leader in knowledge mobilization, building on a strong foundation of fundamental research.	Research is high quality.	Total number of citations
			Percentage of publications in top journal percentiles
			Research income: Tri-Council funding (\$) (SSHRC, NSERC, CIHR)
		Knowledge is mobilized through partnerships/ collaborations with external partners.	Number funded collaborative research projects with external partners
			Number of co-authored publications with external collaborators
		Research is integrated into learning and teaching.	Number of graduate theses submitted to the Library
			Number of undergraduate enrolments in one-on-one supervised research
		Research investment is leveraged to drive innovation and transfer of technology for the benefit of society and the economy	Number of new patents filed
			Number of industrial student internships through Mitacs
ENGAGING COMMUNITIES	To be Canada's most community-engaged research university.	SFU is engaged locally.	# participants in SFU local outreach programs (e.g. SFU Public Square, Philosopher's Café, Friends of Simon, Summer Camps)
		SFU is engaged globally.	# active international partners (discrete active partner institutions for any type of agreement SFU International has on file)
		SFU is engaged with its alumni.	Alumni engagement score (every contactable alumnus is assigned a score based on the level of alumni engagement: informed, involved, or invested)
LEVERAGING INSTITUTIONAL STRENGTH	To become financially flexible by continuously improving our administrative systems and strengthening our infrastructure and to engage the best people.	SFU is financially sound.	Net operating assets as a % of consolidated revenues (Finance indicator)
		SFU has IT services that support our priorities.	Joint availability of core services (SFU Connect, Canvas, SIMS, and off-campus internet connectivity) (IT indicator)
		SFU attracts and retains the best people.	Canada's Top 100 Employers (Human Resources indicator)
		SFU has facilities that meet its needs.	Facilities Condition Index (Facilities indicator)

Indicators and Data

	Goal	Outcome	Indicator (Maintain or Increase)	Target Direction *	FY 2010/11	FY 2011/12	FY 2012/13	FY 2013/14	FY 2014/15
ENGAGING STUDENTS	To equip students with the knowledge, skills, and experiences that prepare them for life in an ever-changing and challenging world.	Students gain the knowledge to complete degree requirements.	Undergraduate composite graduation rate (%) (6-year graduation rate)	↑	63%	63%	60%	57%	60%
			Graduate composite graduation rate (%) (6-year for Masters programs and 8-year for Doctoral programs)	↑	79%	79%	77%	80%	79%
			Undergraduate retention rate (%) (year 1 to year 2)	↑	85%	86%	86%	87%	87%
			Graduate retention rate (%) (year 1 to year 2)	↑	93%	93%	94%	94%	95%
		Students acquire skills necessary in an ever-changing world.	Undergraduate average credits in Co-operative Education and Field Schools per graduating student	↑	7.77	8.17	8.38	8.29	8.70
			Undergraduate student assessment of skill development (average %) as measured by the BC Baccalaureate Graduate Survey	↑	78%	78%	79%	78%	82%
			Graduate student assessment of skills and abilities acquired during graduate program, as measured by the SFU Graduate Exit Survey	↑	n/a	n/a	88%	91%	92%
		Students apply knowledge in the workplace or further studies.	Undergraduate student assessment of usefulness of knowledge and skills gained in performing job, as measured by the BC Baccalaureate Graduate Survey	↑	82%	81%	82%	81%	80%
			Graduate student assessment of graduate experience in current employment/position, as measured by the SFU Graduate Exit Survey	↑	n/a	n/a	82%	84%	88%
			Undergraduate student assessment of academic preparation for further studies, as measured by the BC Baccalaureate Graduate Survey	↑	80%	83%	77%	74%	75%
			Graduate student assessment of academic preparation for further studies, as measured by the SFU Graduate Exit Survey	↑	n/a	n/a	87%	90%	90%

Goal	Outcome	Indicator (Maintain or Increase)	Target Direction *	FY 2010/11	FY 2011/12	FY 2012/13	FY 2013/14	FY 2014/15
ENGAGING RESEARCH	Research is at a high quality level.	Total number of citations	↑	39,036	41,286	51,990	60,832	65,210
		Percentage of publications in top journal percentiles	↑	31.2%	32.6%	30.8%	30.3%	32.3%
		Tri-Council research funding (\$M)	↑	\$35.3M	\$36.2M	\$40.4M	\$42.M	n/a
	Research is mobilized through partnerships/ collaborations with external partners.	Number funded collaborative research projects with external partners	↑	317	321	334	357	399
		Number of co-authored publications with external collaborators	↑	1,962	2,100	1,934	1,940	n/a
	Research is integrated into learning and teaching.	Number of graduate theses submitted to the Library	↑	556	579	534	591	n/a
		Number of undergraduate enrolments in one-on-one supervised research	↑	745	869	821	831	833
	Research investment is leveraged to drive innovation and transfer of technology for the benefit of society and the economy	Number of new patents filed	↑	10	22	22	27	n/a
		Number of industrial student internships through Mitacs	↑	89	77	71	93	89

	Goal	Outcome	Indicator (Maintain or Increase)	Target Direction *	FY 2010/11	FY 2011/12	FY 2012/13	FY 2013/14	FY 2014/15
ENGAGING COMMUNITIES	To be Canada's most community-engaged research university.	SFU is engaged locally.	# participants in SFU local outreach programs (e.g. SFU Public Square, Philosopher's Café, Friends of Simon, Summer Camps)	↑	13,905	13,879	23,953	52,834	58,901
		SFU is engaged globally.	# active international partners (discrete active partner institutions for any type of agreement SFU International has on file)	↑	177	183	215	n/a	210
		SFU is engaged with its alumni.	Alumni engagement score (every contactable alumnus is assigned a score based on the level of alumni engagement: informed, involved, or invested)	↑	n/a	1.04	1.17	1.15	1.16
LEVERAGING INSTITUTIONAL STRENGTH	To become financially flexible by continuously improving our administrative systems and strengthening our infrastructure and to engage the best people.	SFU is financially sound.	Net operating assets as a % of consolidated revenues (Finance indicator)	-	7%	6%	4%	4%	3%
		SFU has IT services that support its priorities.	Joint availability of core services (SFU Connect, Canvas, SIMS, and off-campus internet connectivity) (IT indicator)	↑	n/a	n/a	n/a	99.84	99.97
		SFU attracts and retains the best people.	Canada's Top 100 Employers (Human Resources indicator)	-	YES	YES	YES	YES	YES
		SFU has facilities that meet its needs.	Facilities Condition Index (Facilities indicator)	↓	n/a	n/a	0.43	0.47	0.53

* Target direction indicates the desired direction of the data, where applicable. For example, a "↑" indicates that increasing data is desirable.

Definitions and Rationale

Indicator	Definition and Source	Rationale for Indicator
ENGAGING STUDENTS	<p>Undergraduate graduation rate (%) (6-year graduation rate) for degree programs</p> <p>The graduation rate is the percentage of SFU degree students who are graduating within the expected timeframes set by the University Planning Framework committee. The measure is based on undergraduate who were in degree programs in their first term at SFU. Exchange, study abroad, irregular, special entry, English Bridge Program, visiting, visiting research, postdoctoral and Great Northern Way students are excluded from the measure.</p> <p>The graduation rate for each year is based on the entry cohort who started in a degree program 6 years before and the cohort is only followed for 6 years. For example, the 2014/15 graduation rate is the percentage of students from the 2008/09 fiscal year admission cohort (admitted in 1084, 1087, or 1091) who completed their SFU degree within the expected timeframe. Each SFU degree student is followed for the specified amount of time to determine whether they graduated. Graduation is based on the completion term in the Student Information Management System, not convocation date. Graduation is defined as completion of an undergraduate degree from SFU.</p> <p>Source: Institutional Research and Planning</p>	<p>These indicators enable SFU to measure graduation rates of the various types of degrees the University offers as composite indicators for undergraduate and graduate studies, respectively. The selected timeframes are based on the average completion time for the respective types of degrees.</p>
	<p>Graduate composite graduation rate (%) (6-year rate for Masters programs and 8-year rate for Doctoral programs)</p> <p>The graduation rate is the percentage of SFU degree students who are graduating within the expected timeframes set by the University Planning Framework committee (i.e. 6 years for Masters students and 8 years for Doctoral students). The measure is based on graduate students who were in degree programs in their first term at SFU. Exchange, study abroad, irregular, special entry, English Bridge Program, visiting, visiting research, postdoctoral and Great Northern Way students are excluded from the measure.</p> <p>The graduation rate for each year is based on the entry cohort who started in a degree program 8 years before, but each degree level cohort is only followed for their respective expected timeframes. For example, the 2014/15 graduation rate is the percentage of students from the 2006/07 fiscal year admission cohort (admitted in 1064, 1067, or 1071) who completed their SFU degree within the expected timeframe. Each SFU degree student is followed for the specified amount of time, depending on what type of student they are - Masters, Doctoral - to determine whether they graduated. Graduation is based on the completion term in the Student Information Management System, not convocation date. Graduation is defined as completion of a Master degree or Doctoral degree from SFU for Master students, and completion of a Doctoral degree from SFU for Doctoral students.</p> <p>Source: Institutional Research and Planning</p>	

Indicator	Definition and Source	Rationale for Indicator
ENGAGING STUDENTS	<p>Undergraduate retention rate (%) (year 1 to year 2)</p> <p>Year 1 to Year 2 Retention Rate: The retention rate of students transitioning from 1st year to 2nd year. The methodology is the same for each year, but using 2014/15 as an example, the following applies: the cohort under consideration consists of all new undergraduate students admitted in the 2012/13 fiscal year (term 1124, 1127, or 1131), who were in a degree program in their first term. (Exchange and irregular students are excluded.) The retention rate is then the percentage of these students who either registered at SFU during their second year (in terms 4, 5, or 6 following admission), or else graduated with an SFU undergraduate degree by the end of their second year. So for example, undergraduate degree students who were admitted in Fall of 2012 (1127) will count as “retained in 2nd year” if they registered again in Fall 2013 (1137), Spring 2014 (1141) or Summer 2014 (1144), OR if they graduated with an SFU undergraduate degree by Summer 2014 (completion term).</p> <p>Source: Institutional Research and Planning</p>	<p>Retention of students in the critical first two years of study is a good indicator of future degree completion.</p>
	<p>Graduate retention rate (%) (year 1 to year 2)</p> <p>Year 1 to Year 2 Retention Rate: The retention rate of students transitioning from 1st year to 2nd year. The methodology is the same for each year, but using 2014/15 as an example, the following applies: the cohort under consideration consists of all new graduate students admitted in the 2012/13 fiscal year (term 1124, 1127, or 1131), who were in a degree program in their first term. (Exchange and irregular students are excluded.) The retention rate is then the percentage of these students who either registered at SFU during their second year (in terms 4, 5, or 6 following admission), or else graduated with an SFU graduate degree by the end of their second year. So for example, graduate degree students who were admitted in Fall of 2012 (1127) will count as “retained in 2nd year” if they registered again in Fall 2013 (1137), Spring 2014 (1141) or Summer 2014 (1144), OR if they graduated with an SFU graduate degree by Summer 2014 (completion term).</p> <p>Source: Institutional Research and Planning</p>	
	<p>Undergraduate average credits in Cooperative Education and Field Schools per graduating student</p> <p>This measure is the average number of credits completed in Cooperative Education and Field Schools prior to graduation completed by graduating undergraduate students by year. For undergraduate students, completion is defined as a passing grade in ANY of the following courses: coop and field schools.</p> <p>Source: Institutional Research and Planning</p>	<p>Co-operative education and field schools are direct on-the-job and practical training experiences where students acquire “real world” working skills.</p>

Indicator	Definition and Source	Rationale for Indicator
ENGAGING STUDENTS	<p>Undergraduate student assessment of skill development (average %) as measured by the BC Baccalaureate Graduate Survey</p> <p>Average percentage of survey respondents who felt that SFU was “Very helpful” or “Helpful” in developing their skills to: write clearly and concisely, verbally express opinions or ideas clearly or concisely, read and comprehend material, work effectively with others, analyze and think critically, resolve issues or problems, use mathematics appropriate to their area of study, conduct research appropriate to their area of study, and learn on their own.</p> <p>Source: Baccalaureate Graduates Survey (BGS) – 2-year out results</p>	<p>Student self-assessments help SFU to determine if students are acquiring the necessary skills from their studies.</p>
	<p>Graduate student assessment of skills and abilities acquired during graduate program, as measured by the SFU Graduate Exit Survey</p> <p>Percentage of respondents who were “Very Satisfied” or “Satisfied” with the skills and abilities acquired in their graduate program.</p> <p>Source: Graduate Exit Survey</p>	
	<p>Undergraduate student assessment of usefulness of knowledge and skills gained in performing job, as measured by the BC Baccalaureate Graduate Survey</p> <p>Percentage of respondents who felt that the knowledge, skills and abilities acquired during their program were “Very Useful” or “Somewhat Useful” in their work.</p> <p>Source: Baccalaureate Graduates Survey (BGS) – 2-year out results</p>	<p>SFU alumni most likely apply the knowledge gained at SFU in their employment after graduation.</p>
	<p>Graduate student assessment of graduate experience in current employment/position, as measured by the SFU Graduate Exit Survey</p> <p>Percentage of respondents who felt that their SFU graduate experience was “Very Useful” or “Somewhat Useful” in their current work.</p> <p>Source: Graduate Exit Survey</p>	

Indicator	Definition and Source	Rationale for Indicator
ENGAGING STUDENTS	<p>Undergraduate student assessment of academic preparation for further studies, as measured by the BC Baccalaureate Graduate Survey</p> <p>Percentage of respondents who felt that their degree at SFU academically prepared them "Very Well" or "Well" for the degree that they took since graduation or are currently enrolled in.</p> <p>Percentages are based on respondents who undertook or are currently enrolled, full-time or part-time, in formal post-secondary education or training. Formal post-secondary education or training includes: an Undergraduate Degree (including Doctor of Medicine, Doctor of Dental Medicine, Education/Teacher Training, or Law), Masters Degree, Doctoral Degree, Applied program certification, Professional Association Certification, Diploma, or Other formal post-secondary education or training.</p> <p>Source: Baccalaureate Graduates Survey (BGS) - 2-year out results</p>	<p>SFU alumni most likely apply the knowledge gained at SFU in their further studies after graduation.</p>
	<p>Graduate student assessment of academic preparation for further studies, as measured by the SFU Graduate Exit Survey</p> <p>Percentage of respondents who felt that their SFU graduate experience prepared them "Very Well" or "Somewhat Well" for the current degree or post-doctoral fellowship that they are currently pursuing.</p> <p>Percentages are based on respondents who are currently pursuing a further academic degree or a post-doctoral fellowship.</p> <p>Source: Graduate Exit Survey</p>	

	Indicator	Definition and Source		Rationale for Indicator
ENGAGING RESEARCH	Total number of citations	<p>For each reporting year, the total number of citations for the preceding five years are counted. The citation counts are based on the number of times SFU articles, published within each five-year publication period, have been cited during the same period.</p> <p>Source: <i>InCites</i></p>		Citation analysis serves as an output and outcome measure. The actual number of citations reflects research productivity, while the frequency of citations reflects the impact of the publications. As it takes several years for the research to be incorporated into work from other researchers, a 5 year time window was chosen. The selected performance indicator incorporates both, changes in output and impact.
	Percentage of publications in top journal percentiles	<p>Percentage of SFU articles published within the top 10% and top 5% of journals in fields where SFU research is active, using the Source-Normalized Impact per Paper (SNIP) metric in <i>SciVal</i>.</p> <p>Source: <i>SciVal</i></p>		While citation data is a widely used indicator of research impact, publications in top journal percentiles provide a metric for benchmarking the quality of the university's research relative to regional averages.
	Tri-Council research funding	<p>Total dollars (in millions) of research funding per fiscal year. Research funding includes consolidated and non-consolidated entities.</p> <p>Source: CAUBO</p>		Total research funding is a generally accepted KPI for university research. It is collected annually by CAUBO and is commonly used in university rankings (Research Infosource, Times Higher Education Index, MacLean's etc.). It is an input measure that serves as a good surrogate for research reputation and capacity.
	Number of funded collaborative research projects with external partners	<p>Number of collaborative research projects: all grants and contracts excluding CFI, BCKDF, CIHR, MSFHR, Genome BC, Genome Canada, SFU Internal, Canada Research Chairs. For SSHRC, include only CURA, Major Collaborative Research Initiatives, Partnership Development Grants, and Partnership Grants. For NSERC, include only collaborative and partnership programs, networks, and strategic and partnership projects.</p> <p>Source: <i>Grant Track</i></p>		Almost all research carried out in the University requires some funding. Collaborative research is funded by contracts or grants from partner organizations (business, foundations, government branches) or through special programs by the Tri-Council set up to support partnership grants.

Indicator	Definition and Source	Rationale for Indicator
ENGAGING RESEARCH	<p>Number of co-authored publications with external collaborators</p> <p>Number of publications in which an SFU researcher has at least one co-author from an external organization outside of Canada (international), in Canada (national), or a corporate organization (academic-corporate). The total number of co-authored collaborations is equivalent to the total number of publications, minus all single-author publications.</p> <p>Source: <i>SciVal</i></p>	<p>Number of co-authored publications with external collaborators provides a concrete measure of research productivity with partners, which showcases the degree of SFU engagement in research with collaborators across multiple levels: national, international, and corporate.</p>
	<p>Number of graduate theses submitted to the Library</p> <p>Number of PhD and Master's theses submitted to the library within a calendar year, separated by degree type.</p> <p>Source: SFU Library</p>	<p>Writing a graduate thesis involves extensive research under the supervision of a Senior Supervisor and a Thesis Committee. The number of theses submitted to the library is indicative of the degree of graduate student engagement in research.</p>
	<p>Number of undergraduate enrolments in one-on-one supervised research</p> <p>Number of undergraduate enrollments in a capstone, directed readings/studies, and thesis and extended/honours essay/thesis within a fiscal year, plus the number of Undergraduate Student Research Awards (USRA).</p> <p>Source: <i>Undergraduate Enrollment data (IRP)</i></p>	<p>SFU provides an immersive and supportive environment for undergraduate students to engage with faculty-directed research projects through various activities, including research-intensive courses and funding support for dedicated semesters in research. As such, active participation of undergraduate students indicate the university's integration of research into learning and teaching.</p>
	<p>Number of new patents filed</p> <p>Total number of new patents filed each year through the SFU Innovation Office.</p> <p>Source: <i>AUTM</i></p>	<p>As an indicator of the application of transformative ideas for the benefit of society and the economy, and the integration of innovation in research, the university offers support to its researchers in management of intellectual property and transfer of technology. Filing new patents encourages commercialization of research results and external investment in university-led technology.</p>
	<p>Number of industrial student internships through Mitacs</p> <p>Total number of Mitacs awards by fiscal year.</p> <p>Source: <i>Grant Track</i></p>	<p>Mitacs is a successful national program to accelerate innovation across academia and industry, through building partnerships that facilitate graduate student internships in industry. The number of Mitacs awards is indicative of the successful engagement of graduate students in pursuing innovative research, with commercial opportunities.</p>

Indicator	Definition and Source	Rationale for Indicator
ENGAGING COMMUNITIES	<p>Number of participants in SFU local outreach programs including SFU summer camps, Friends of Simon, and Philosopher's Café.</p> <p>Source: External Relations</p>	<p>The number of members of the community that participate in SFU outreach offerings is one measure of SFU's community engagement. SFU offers a spectrum of outreach programs that provide meaningful engagement with a range of BC communities and age groups. SFU's youth outreach programs support not only the academic development of children but their aspirations. Community lectures and events provide opportunities to not only share University expertise but also to learn from the community. New programs such as SFU's Public Square will provide further opportunities to engage all levels of government and communities in topics that are important to the community and where SFU can add value.</p>
	<p>Number of active international partners such as exchange, inbound study abroad, Memorandum of Understanding, Letter of Intent, Dual Degree/Certificate, Field School, and similar. Please note that the number of agreements is currently under review by SFU International.</p> <p>Source: External Relations</p>	<p>The number of agreements with international organizations is an important indicator of SFU's global engagement. SFU enters into formal agreements with universities and other organizations around the world. These agreements cover a range of opportunities for SFU students, faculty and staff including student exchange programs, field schools, faculty exchanges and research projects. Agreements are time limited and are not renewed if meaningful activity has not taken place. SFU's international strategy, currently under development, will ensure that new agreements are strategic and resources are in place to support and deepen SFU's relationships with international partners.</p>
	<p>Alumni engagement score</p> <p>Every contactable alumnus is assigned a score based on their level of alumni engagement as follows: Informed (1), Involved (2) and Invested (3). Informed alumni are defined as those who have provided SFU an active contact (email, address or telephone number). Involved alumni are those who are involved with SFU in some way, e.g., attend SFU events, volunteer, participate online or in the Alumni Directory or on the Board or Senate, etc. Invested alumni are those who make an annual donation or pledge or gift during the fiscal year. Contactable alumni exclude deceased and those who indicated they do not want any contact. The alumni engagement score is the sum of all points divided by the total number of contactable alumni (tentative). Data for 2011/12 is as of March 23, 2012 and data for 2012/13 is as of April 7, 2013. Starting in 2013/14, the data will be as of January 31 of each fiscal year.</p> <p>Source: University Advancement</p>	<p>This multi-level approach is based on research on best practices at several other universities. It allows us to evaluate the multi-faceted nature of alumni engagement.</p>

	Indicator	Definition and Source	Rationale for Indicator
LEVERAGING INSTITUTIONAL STRENGTH	Net operating assets as a % of consolidated revenues (Finance indicator)	Source: Financial Services	Net operating assets are a measure of flexibility and liquidity that indicates the degree to which the University is effectively managing its revenue sources, its operating expenses, and its investment portfolio. It is important to build and maintain a healthy surplus as it provides the University reserves that can be utilized to absorb short-term, unanticipated cost fluctuations not included in the operating budget.
	Joint availability of core services (SFU Connect, Canvas, SIMS, and off-campus internet connectivity) (IT indicator)	Source: Financial Services and Information Technology Services	Indicator is under review.
	Canada's Top 100 Employers (HR indicator)	Recognition as one of the top 100 employers nationally and top 55 employers in BC as evaluated by the editors of Canada's Top 100 Employers. Source: Canada's Top 100 Employers	To attract and retain top quality employees, it is important for the University to be viewed as a highly desirable place to work. The Top 100 list is generated through a rigorous examination of employers and is an influential ranking that is utilized by prospective employees when making career choices. Being included on this list indicates the University has maintained high employment standards and is creating a very favourable environment in which to work.
	Facilities Condition Index (Facilities indicator)	Facilities Condition Index (FCI) is an accepted industry metric for determining the relative condition of constructed assets at a specific point in time. FCI is the ratio of the cost of deferred maintenance and capital renewal to current replacement value. Beginning in fiscal year 2012/13 and going forward, an unweighted FCI is provided which includes all campus buildings. Source: Facilities	The FCI metric indicates the condition of the University's buildings and related infrastructure and provides a formal basis for analyzing and prioritizing the maintenance needs of the campus. In order for the University to provide a safe, suitable environment for students, faculty and staff, it has to maintain its assets to an acceptable level. The FCI is an important planning mechanism to ensure this occurs.

Appendix 2 – Committee Members

Academic & Students	Jon Driver, VP Academic <i>Executive Sponsor</i> Gordon Myers, AVP Academic <i>Co-Chair</i> Tim Rahilly, AVP Students Zareen Naqvi, Director, Institutional Research and Planning Glynn Nicholls, Director, Academic Planning Anita Stepan, Director, Financial & Budget Administration
Finance & Administration	Alison Blair, AVP Finance <i>Co-Chair</i> Janis Kennedy, Director, Budget Scott Penney, Director, Planning & Analysis
Research	Norbert Haunerland, AVP Research
Advancement & Alumni Engagement	Erin Geary, Director, Advancement Services and Donor Relations
External Relations	Joanne Curry, AVP External Relations

Appendix C

Assurance of Learning: Beedie School of Business

ASSURANCE OF LEARNING: BEEDIE SCHOOL OF BUSINESS

This report outlines the student learning assessment process at the Beedie School of Business, and is submitted as part of the Mid Cycle Report for the NWCCU. This learning assessment process supports SFU's vision and development of educational goals across all programs at SFU. An overview, of the process to date and the program-level education goals, is provided with specific examples of closing the loop on assessments made in relation to the School's written communication education goal. This serves as one instance of the activities that have taken place.

Educational goals and SFU's vision to support student learning

As one of eight Faculties at SFU, the Beedie School of Business fulfills the University's Vision/Mission to Engage Students and Engage Communities through curriculum and co-curricular activities. The Beedie School's educational goals relate to aspects of the University's vision of "innovative teaching" while meeting the specific learning needs of business students across core curriculum and disciplinary-specific abilities. The SFU Vision within the core theme of Engaging Students includes the following statement regarding the learning opportunities provided by the institution and its constituent units:

Combining the best traditions of academic and teaching excellence, SFU will provide students with diverse and transformative learning opportunities that enable them to gain the knowledge, **critical capacities**, research skills and civic understanding required to become engaged global citizens and to thrive and adapt in demanding and dynamic environments.

The ability to communicate effectively in writing represents a **critical capacity** necessary for students to function in business and the world more generally. This is articulated at the Bachelor of Business Administration (BBA) program level through the Communication Skills educational goal (Goal 4 in Table 1 below). The critical capacity of **written communication** within the BBA program is measured at the course level in BUS 360W Business Communication. The course rubric is consistent with the intention of the overall Communication Skills educational goal in the BBA that students "communicate in a business context in a clear, concise, coherent and professional manner."

Assurance of Learning background at the Beedie School of Business

In 2006, the Beedie School of Business received accreditation from the Association to Advance Collegiate Schools of Business (AACSB). As part of the AACSB accreditation under the 2003 Business Accreditation Standards, all business schools are expected to prepare and undertake a process of assessing student learning outcomes (SLOs), described by AACSB as Assurance of Learning (AoL). The attention to SLOs continues to be an important part of the recently adopted 2013 Business Accreditation Standards, which apply to all degree programs offered by any AACSB-accredited business school and directly support the SFU objective to establish educational goals across all SFU programs.

2009 – 2011: From task force to committee

In September 2009, the Beedie School formed an Assurance of Learning Task Force (ALTF) to undertake the finalization of learning outcomes, curriculum mapping, and preliminary measurements. The ALTF had the responsibility to ensure that all Business degree programs specified and adopted learning outcomes, objectives, and rubrics that would allow for the measurement of student learning. The ATLF

liaised with the responsible Associate Deans, Program Directors, Executive Directors, and Area Coordinators to provide support and guidance throughout the implementation of the AoL process. The primary work of the ATLF was process and project management, with decision-making for specific learning outcomes, objectives, and rubrics falling to academic personnel within programs and disciplines. The ATLF did, however, offer comment and guidance on the learning outcomes, objectives and rubrics as needed.

In September 2011, the ATLF became a formal Beedie School committee as the Assurance of Learning Committee. There are now two AoL Committees, undergraduate and graduate.

AoL Committee – Undergraduate Programs

The AoL Committee for Undergraduate Programs consists of the Chair, the Associate Dean Undergraduate Programs, Academic Director Undergraduate Programs, and at least two faculty members, with other faculty members invited at the discretion of the Chair.

AoL Committee – Graduate Programs

The AoL Committee for Graduate Programs consists of the Chair, the Associate Dean Graduate Programs, and the Academic Chairs for each graduate program.

Developing undergraduate business program learning outcomes

Over the course of the 2009-2010 academic year, the ATLF drafted core program-level SLOs for the BBA degree. These SLOs are applicable to all BBA students regardless of disciplinary concentration and are mapped to required core courses in the BBA curriculum. The assessment of SLOs is undertaken each term using course-embedded assignments that demonstrate individual student work. Because BBA students begin their programs in their third year, SLO assessment is carried out in courses at the 300 and 400 levels. The first set of SLOs was established in December 2009 with refinements made in 2011 and 2012. In February 2013, Legal Knowledge was added as a formal program-level learning outcome in the BBA, which had been regularly assessed since the Summer 2011 term.

Now referred to as educational goals, consistent with the SFU nomenclature, the Beedie School has formalized seven articulated goals for the BBA. Goal 6, Disciplinary Business Knowledge, reflects broad disciplinary knowledge proficiency and is articulated across the BBA's eight concentrations.

Table 1: BBA Program Educational Goals (as of February 2013)

	Educational Goal	Course Measurement
Goal 1	Global Perspective - Recognize the need to adapt business practices to the opportunities and challenges of an evolving global environment.	Measured in BUS 478, Strategy, capstone course
Goal 2	Ethical Perspective - Demonstrate ability to apply ethical reasoning to address issues in corporate governance, corporate social responsibility and sustainability in a business context.	Measured in BUS 303, Business Ethics
Goal 3	Critical Thinking - Identify, evaluate, analyze, interpret and apply information to address problems and make reasoned decisions in a business context.	Measured in BUS 336, Data and Decision Making II and Business 478, Strategy, capstone course

Goal 4	Communication Skills - Communicate in a business context in a clear, concise, coherent and professional manner.	Measured in BUS 360W, Business Communications
Goal 5	Core Business Knowledge - Apply business discipline knowledge in an integrative manner to business problems.	Measured in BUS 478, Strategy, capstone course
Goal 6	Disciplinary Business Knowledge - Demonstrate the understanding and ability to apply professional standards, theory, and research to address business problems within specific concentrations.	Articulated and measured in concentration educational goals and concentration courses.
Goal 7	Legal Knowledge - Demonstrate an understanding of the law and its application to business.	Measured in BUS 393, Commercial Law

General assessment processes

Presently, all business degree programs have educational goals and objectives articulated with the exception of the undergraduate Business Minor and the graduate Executive MBA in Aboriginal Business Leadership, which are currently being established. Educational goals and objectives have been mapped to courses in each degree program or concentration and rubrics developed to aid in outcomes assessment. Educational goals and objectives are re-examined and reviewed as programs or disciplines evolve. This is conducted at different periods for each degree program and business concentration depending on the type and timing of assessments taken.

At the undergraduate level, educational goals are measured in BBA core courses and in each of the eight concentrations. At the graduate level, depending on program structure and curriculum, educational goals are measured at both formative and summative stages or at summative stages only. All assessments use individual assignments or exams that students complete as part of their coursework and are conducted by course instructors. Course Coordinators, Area Coordinators, the AoL Committee Chair and Accreditation officer are available to provide guidance or support. Since assessments examine work that all students are expected to complete as part of their business program coursework, assessment is considered part of the normal marking workflow.

Assurance of Learning findings are collected for all course sections and aggregated for interpretation. The relevant AoL Committee, Course Coordinator, Area Coordinator or Program Chair reviews this information. Any general recommendations or observations made with regard to AoL are communicated between these groups. Any recommendations that involve structural or programmatic changes are passed on to the relevant program committee for discussion and feedback.

Measuring written communication and student learning expectations

The BBA program-level educational goal of Communication and its written component was mapped to BUS 360W Business Communication. This course focuses specifically on business writing skills and is a required core course for all BBA students. BUS 360W requires students to complete several writing assignments. As required by the Beedie School's AACSB accreditation, an assessed assignment must represent a significant (at least 15%) component of the overall course mark or grade and be discernable as individual (not group) work. Each assignment is assessed using the course rubric on a four-point scale

used to express levels of aptitude expectations. Using this four-point scale, instructors assess student abilities on a given assignment and indicate whether a student has exceeded, met, approached or failed based on the described expectation on a specified demonstrable trait or indicator. An example of a trait expressed on a rubric scale is given below.

Trait	Fails Expectations (1)	Approaches Expectations (2)	Meets Expectations (3)	Exceeds Expectations (4)
Achieves Writing Objectives	Letter achieves few or none of the writing objectives.	Letter achieves some of the writing objectives.	Letter achieves most of the writing objectives.	Letter achieves all of the writing objectives.

At the outset, the AoL Committees set a preliminary benchmark of 65% of students meeting expectations in any trait to facilitate the implementation of the assessment process. This benchmark has been applied to assessments in both the undergraduate and graduate programs with the intention to review once the AoL process was well established. In April 2014, the AoL Undergraduate Committee decided to raise the benchmark to 75% for all undergraduate courses effective the Fall 2014 term. The revised benchmark brings baseline expectations in line with general expectations of student achievement outside of the assessment paradigm.

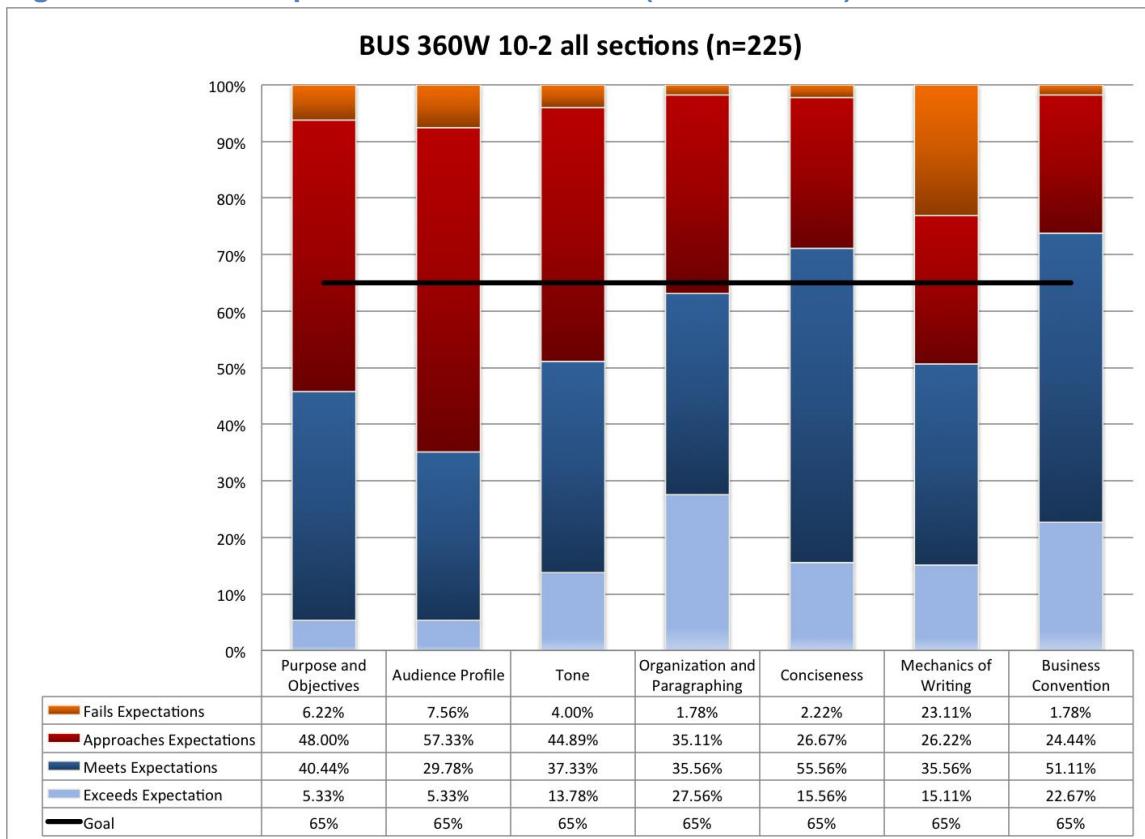
Piloting written communication assessment in BUS 360W

BUS 360W Business Communications is a core course in the BBA program with the primary purpose of developing students' written business communication skills and aptitude. The curriculum design and assessment plan for BUS 360W is founded on the principle of an ongoing cycle of drafting, feedback, and revision. This approach is consistent with the university's requirements for "W" (writing-intensive) courses.

In the Summer 2010 term, the Beedie School developed a draft rubric in order to pilot the assessment of the Communication educational goal. The School gathered AoL data from a business letter assignment across four class sections of BUS 360W taught by three different instructors. Students worked individually on the assignment and were graded on both their *product* (the draft of the business letter) and their *process* (their planning notes). The draft and notes were the first of a two-part submission process. After receiving comprehensive written feedback on both the planning notes and draft from the first submission, students resubmitted a revised version of the assignment to be graded a second time.

The AoL data gathering focused on seven key traits associated with clear business writing. As is shown in Figure 1 below, the assessed students met or exceeded the 65% benchmark in two of the seven traits measured – conveying a concise message and following accepted business conventions. Students failed to meet or exceed expectations across the remaining five traits, exhibiting particular difficulties with achieving writing objectives and addressing audience knowledge deficits. Only half of the students assessed were able to set and maintain tone and use clear writing mechanics. As a pilot assessment of written communication skills, preliminary findings echoed anecdotal evidence with regard to student abilities.

Figure 1: BUS 360W pilot assessment results (Summer 2010)



In a program where communication skills are essential and exist as a key program-level educational goal, identifying that a large group of students are failing or merely approaching expectations in written communication is a cause for concern. The assessment of student learning in BUS 360W takes place each term to establish consistent assessment process norms among the course instructors and to provide continued monitoring of an issue that influences student work in other areas of the business program curriculum.

The Beedie School continues to improve its assessment process through not only rubric refinement but also through other actions and changes involving assignment selection, further student learning support, and classroom adjustments.

“Closing the loop” on BUS 360W assessments

Assessment of learning forms an important part of the overall assessment process and the Beedie School demonstrates its attention to improving student learning through continuous improvement activities in process or program and by “closing the loop.” The term “closing the loop” refers to a completed assessment cycle where measurements are taken, those results inform changes and/or refinements to implement, and measurements are re-taken to evaluate whether changes have made an impact on the areas of student learning that required improvement (see Table 2 below).

Table 2: Closing the Loop Activity on BUS 360W

Semester	Event	Change	Outcome
Summer 2010	Development of BUS 360W rubric for first letter assignment assessment.	ALTF ²⁹⁰ reviews rubric.	ALTF ²⁹¹ amends rubric and approves for use.
Summer – Fall 2010	AoL ²⁹² assessments completed for first letter assignments.	Student results fall below 65% benchmark for five of seven traits.	Results trigger review of BUS 360W course, rubrics and assignment.
Fall 2010	BUS 360W instructors suggest assessment move to the second letter assignment.	Change supported by ALTF. Feedback received on first assignment should help students to improve performance on second assignment.	Loop closed with respect to better-aligned assignment.
Spring 2011	All rubric traits refined post-pilot assessments. See Appendix Table A2.	Measurements taken in Spring 2011.	Loop closed with Spring 2011 measurements
Spring – Summer 2011	AoL assessments taken on second letter assignment.	Results indicate student-learning issues remain.	Further assessment of BUS 360W and process.
Fall 2011	AoL UC ²⁹³ recommends to UCC ²⁹⁴ that students who fail BUS 360W take an online writing support course through CODE ²⁹⁵ .	UCC accepts recommendation.	Course development initiated.
Spring – Summer 2012	Online course developed with CODE.	Plans for implementation made.	Online course to be beta-tested in Fall 2012.
Spring – Summer 2012	Disappointing student learning outcomes continue despite the move to second letter assignments for assessment.	Review of results by AoL UC and proposed recommendations taken to UCC.	Actions taken: recommended class-size reduction accepted by UCC ; instructors make course and process changes.
Summer 2012	Three rubric expectation definitions revised. See Appendix Table A3.	Measurements taken using revised rubric.	Loop closed with Summer 2012 measurements.

²⁹⁰ ALTF: Assurance of Learning Task Force²⁹¹ ALTF: Assurance of Learning Task Force²⁹² AoL: Assurance of Learning²⁹³ AoL UC: Assurance of Learning Undergraduate Committee²⁹⁴ UCC: Undergraduate Curriculum Committee²⁹⁵ CODE: Centre for Online and Distance Education

Fall 2012 –Fall 2013	Class size reduction (n=45) and course process changes implemented.	Student learning outcomes improve. Monitoring of BUS 360W continues.	Loop closed with these actions/results.
Summer 2013	Online course fully implemented by CODE.	Monitoring of BUS 360W continues.	Loop closed for this stage.
Fall 2013	One trait revised on rubric; expectation definition revised for one other trait. See Appendix Table A4.	Measurements take using revised rubric.	Loop closed with the Fall 2013 measurements.
Fall 2014	Measurement benchmark increased from 65% to 75% across all undergraduate program and disciplinary knowledge educational goals.	Measurements taken beginning in Fall 2014 using the new benchmark.	The AoL UC to meet in November 2015 to review results for Fall 2014 through Summer 2015. Recommendations may result from this meeting.

Since initiating AoL assessment in BUS 360W for written communication, the Beedie School has closed the loop in four ways across different dimensions of assessment: rubric refinement, assignment alignment, online writing support, and class size reduction. Each of these changes has been made with the intent of improving student ability to meet the business program's critical capacity of Communication.

1. Rubric refinement

The rubric for BUS 360W has undergone several revisions to improve the clarity of language used to define and describe student learning traits and expectations. These improvements also reflect the practical implications of applying rubrics to student work and identifying what may or may not be measurable. These revisions stabilize the rubrics used and align them more closely with the assignment/exam used.

Table 3, shown below, outlines the iterative process of rubric writing and design and the modifications made as the process of assessment and measurement progresses and matures. This summary provides an overview of the closing-the-loop process, where the end of one loop (cycle) becomes the beginning of the next loop (cycle). Tables A1 to A4 in the Appendices show the relevant changes to traits or expectation descriptions made to each rubric table.

Table 3: Summary of BUS 360W rubric changes

Rubric Date	Deleted or Revised Traits or Expectations	Revised or Additional Traits or Expectations
2010-12-03	Frist Draft	First Draft
2011-02-14	Traits and Expectation Definitions were revised for: Trait 1: Purpose and Objectives Trait 2: Audience Profile Trait 3: Tone Trait 4: Organization and Paragraphing Trait 5: Conciseness	Traits and Expectation Definitions revised as: Trait 1: Achieves Writing Objectives Trait 2: Addresses Audience Knowledge Deficits Trait 3: Sets and Maintains Tone Trait 4: Organizes Message Effectively Trait 5: Conveys Message Concisely

	Trait 6: Mechanics of Writing Trait 7: Business Convention	Trait 6: Uses Clear Writing Mechanics Trait 7: Follows Accepted Business Conventions
2012-08-28	Expectation Definitions were revised for: Trait 2: Sets and Maintains Tone Trait 3: Organizes Message Effectively Trait 4: Conveys Message Concisely	
2013-09-09	Traits and Expectation Definitions were revised for: Trait 3: Sets and Maintains Tone Expectation Definitions were revised for: Trait 4: Conveys Message Concisely	Traits and Expectation Definitions revised as: Trait 3: Sets and Maintains Baseline Tone

2. Assignment alignment

After two terms of data collection in Summer and Fall 2010, the assignment used for learning assessment was changed from the first business letter assignment to the second, on the recommendation of the course instructors and course coordinator. This allowed for the implementation of an in-class exercise designed to practice context analysis. Assessing the second letter assignment rather than the first recognized that students would receive and potentially learn from feedback on their first assignment. This change in assessment artefacts represents the second closing-the loop process in BUS 360W.

3. Online writing support

In Fall 2011, the AoL Undergraduate Committee recommended to the Beedie School Undergraduate Curriculum Committee and Associate Dean, Undergraduate Programs, that students who failed BUS 360W on their first attempt be required to take an online business writing mechanics (BWM) course prior to retaking the course. The intent was to reduce the number of students repeating BUS 360W without addressing the issues that impeded their progress and success in the course. The BWM course content was designed by the BUS 360W course coordinator for the Beedie School, and is delivered by SFU's Centre for Online and Distance Education. The online course "closed the loop" on the first round of BUS 360W assessment and improvement.

4. Class size reduction

The BUS 360W instructors and the AoL Undergraduate Committee remained dissatisfied with student assessment results after the Spring 2012 term (see results graphs for 2011 and 2012-1 in Appendices). Two actions for improvement were recommended and implemented. First, the class size for BUS 360W was reduced from 60 to 40 students per section to allow more time for individual student feedback. The reduction in class size resulted in a doubling of course sections offered to accommodate student demand from, 15 to 29 sections. Second, the BUS 360W instructors held a workshop at SFU's Teaching and Learning Centre to identify and explore ways to improve instructional processes and make changes.

Results from assurance of learning assessment processes

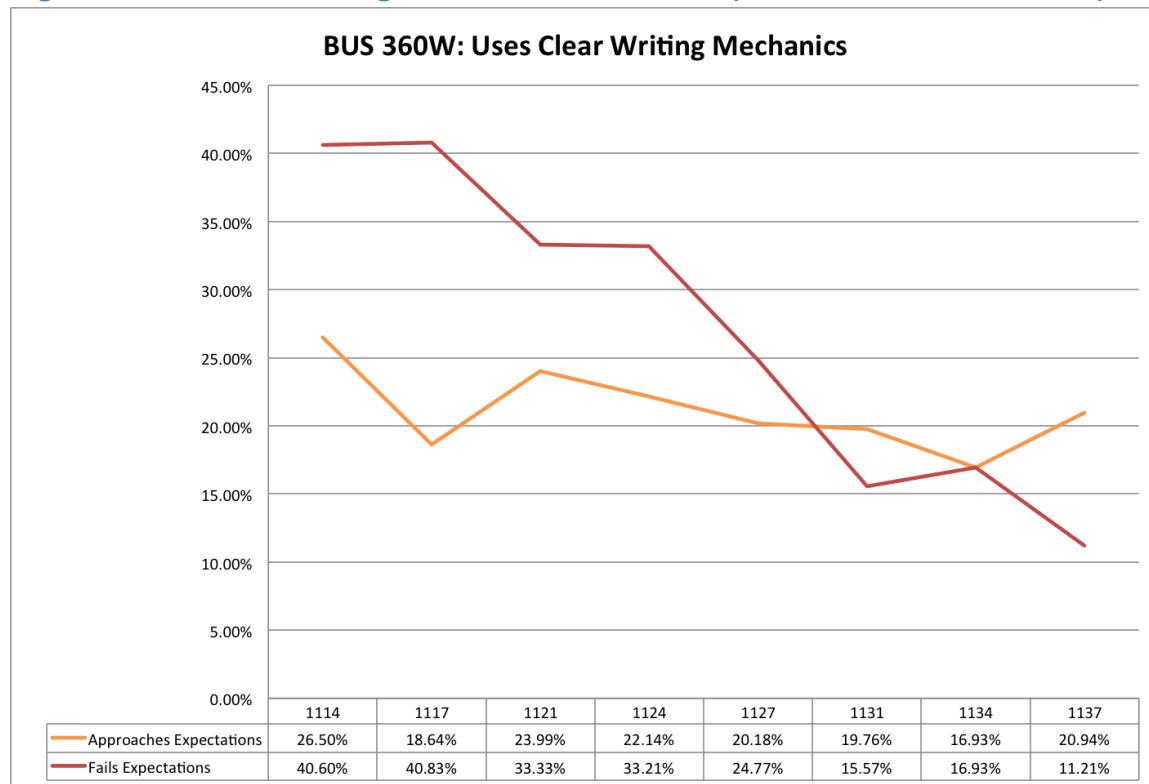
The Beedie School's experiences with formalized student learning assessment in the BBA program and more specifically with BUS 360W provide evidence of educational goals and objectives that provide student learning opportunities and involve faculty members in the learning process that ultimately leads to teaching excellence. In addressing the critical capacity of Communication and written communication

specifically at the Beedie School, structured assessment activities support the cycle of continuous improvement and provide evidence of one type of learning opportunity.

Over the course of data collection on written communication skills in BUS 360W the Beedie School has made changes in relation to observations made through assessment. Based on the refinements made to rubrics, aligning the assessed assignment to allow for more time for instructional feedback, providing online writing support and decreasing the class sizes for the course, the Beedie School has seen improvements to student learning over eight terms (Summer 2011 to Fall 2013).

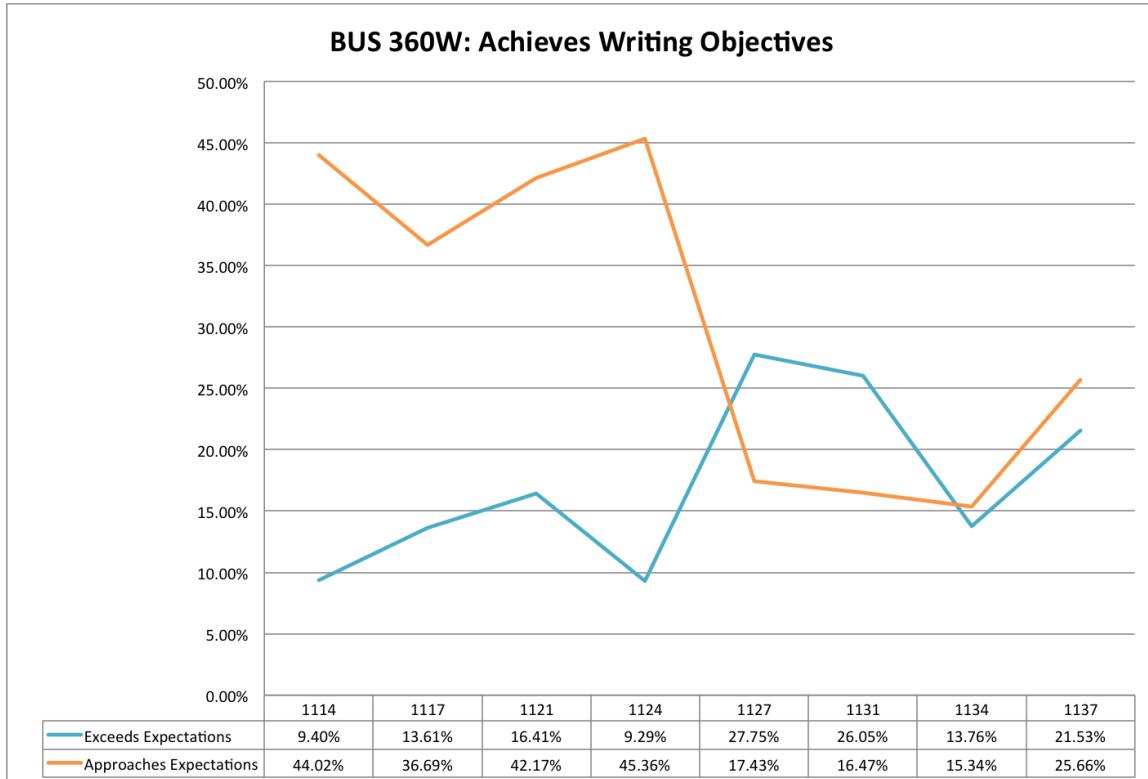
As evidence of success of the AoL full-cycle process, the number of students failing or merely approaching expectations in one of the most challenging traits measured in BUS 360W, “uses clear writing mechanics”, declined markedly. In the Summer 2011 term, more than 40% of students failed expectations; this fell to slightly more than 11% in the Fall 2013 term (see Figure 2 below). The changes made to process, pedagogy and class size can be seen as having a positive effect on the improvements in student performance for this trait.

Figure 2: BUS 360W writing mechanics trait results (Summer 2011 to Fall 2013)



Over the same period of time, the Beedie School noted a similar trend with the trait “achieves writing objectives”, where the percentage of students who exceeded expectations increased from 9% to more than 21% and the percentage of students merely approaching expectations decreased from 44% to about 25% (see Figure 3 below).

Figure 3: BUS 360W writing objectives trait results (Summer 2011 to Fall 2013)

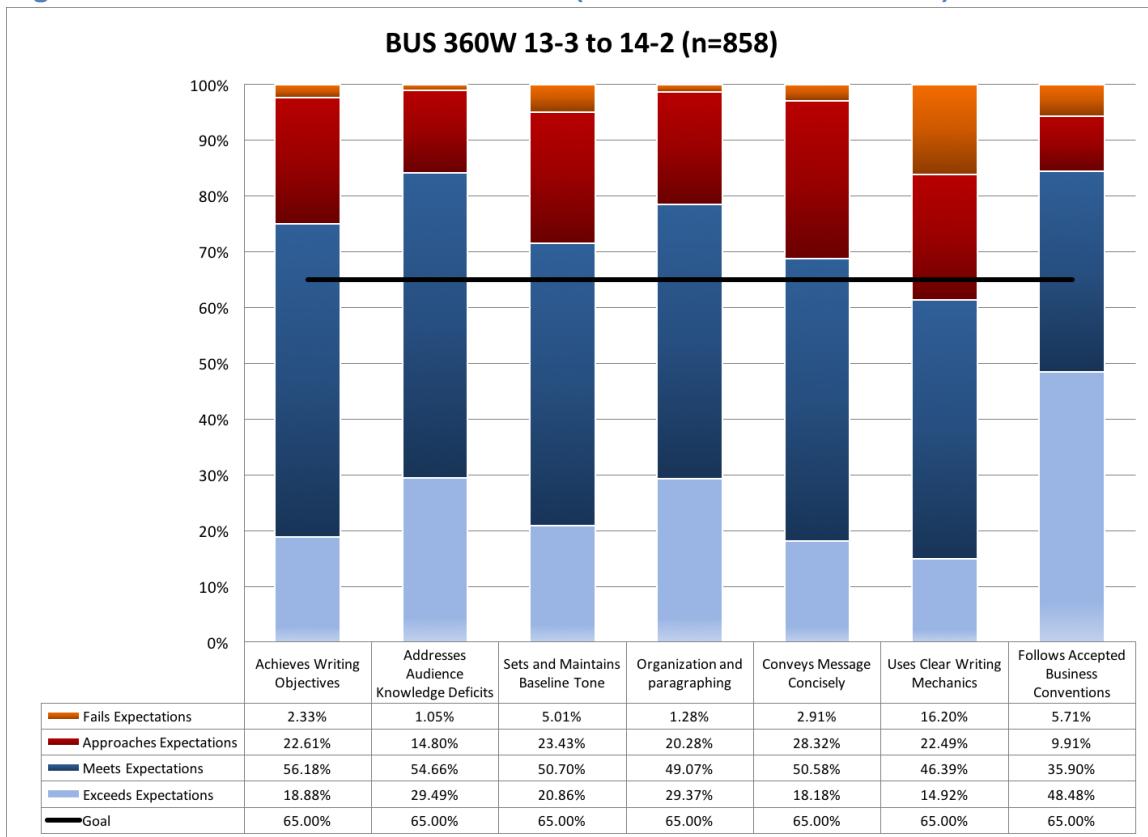


Fall 2015 update

Data collected from BUS 360W over the academic years 2013-14 and 2014-15 builds on the trend lines shown for the two individually analyzed traits, writing mechanics and writing objectives. The written communication rubric introduced in the Fall 2013 term has not changed.

Over the course of the 2013-14 academic year (Fall 2013 to Summer 2014), performance on the second business letter assignment was measured for 858 students. Student learning was in line with what was measured in previous terms. The benefits of the class size reduction continued to have a positive impact, pushing student performance above the 65% benchmark, while the writing mechanics trait remaining an on-going focus for student instruction and feedback on assignments and in-class work (see Figure 4 below).

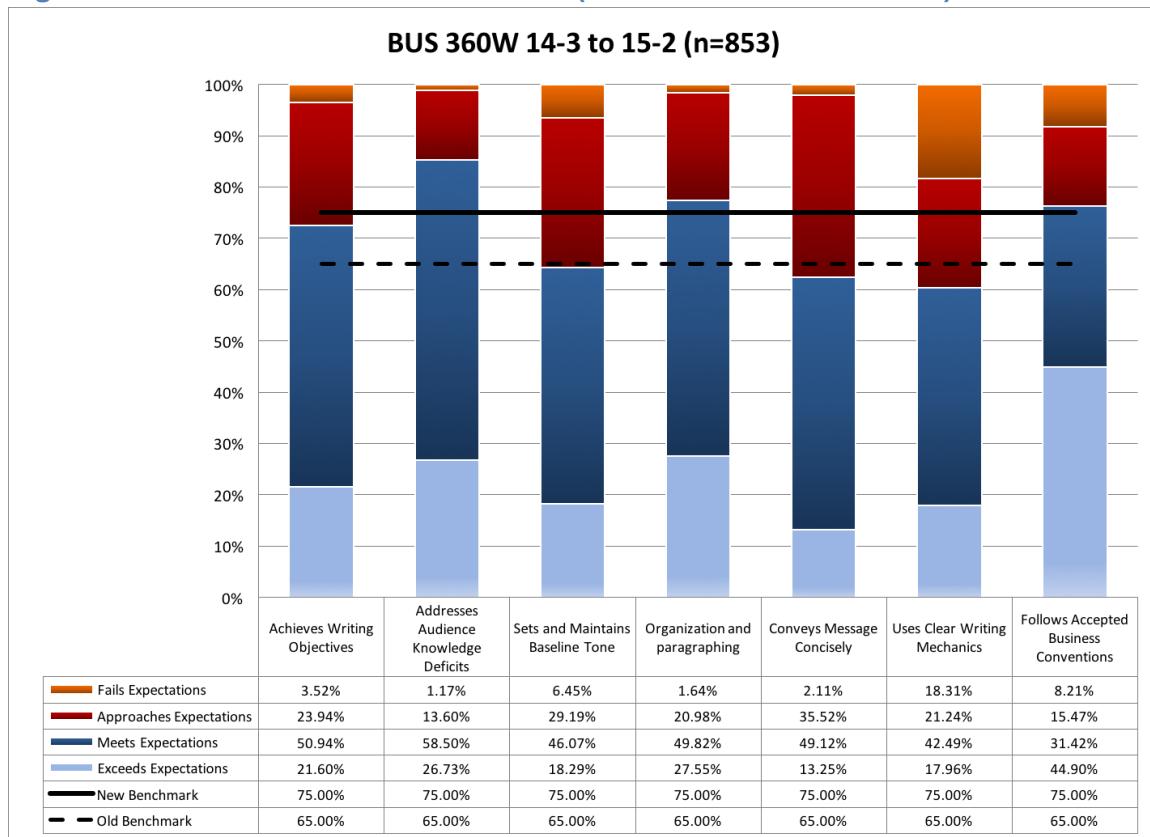
Figure 4: BUS 360W assessment results (Fall 2013 to Summer 2014)



Starting in the Fall 2014 term, the benchmark for student performance was increased from 65% to 75%. The increase in the benchmark more closely reflects student performance expectations and provides the Beedie School with other opportunities to examine where student learning requires additional curricular support and whether any co-curricular or extra-curricular activities may assist students in improving their abilities.

Over the course of the 2014-15 academic year (Fall 2014 to Summer 2015), the assessment results indicated students were not meeting the new benchmark in four traits: writing objectives, maintaining tone, message conciseness, and writing mechanics (see Figure 5 below). The AoL Undergraduate Committee is currently reviewing the data gathered and will work with the BUS 360W course coordinator and instructors to examine where and how students can be supported in these areas.

Figure 5: BUS 360W assessment results (Fall 2014 to Summer 2015)



Data points have been added to the two trait graphs (writing mechanics and writing objectives) examined in earlier reporting, incorporating new data from Spring 2014 to Summer 2015 (see Figures 6 and 7 below). Trend lines provide some clarity on data that can vary term to term, depending on students and measurements taken. Changes observed in student performance continue with fewer students failing expectations in writing mechanics and an increasing number of students exceeding expectations in writing objectives. Work towards continuous improvement in process, curriculum, content, and student-learning support remains ongoing.

Figure 6: BUS 360W writing mechanics trait results (Summer 2011 to Summer 2015)

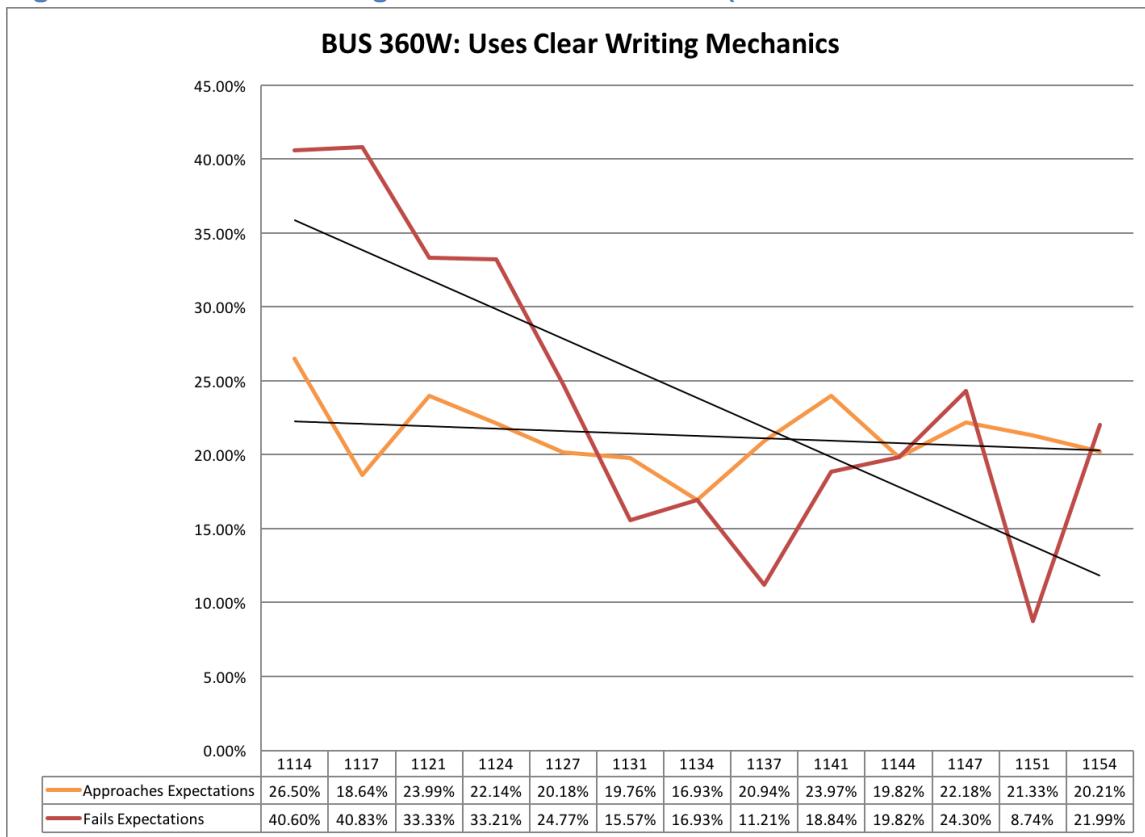
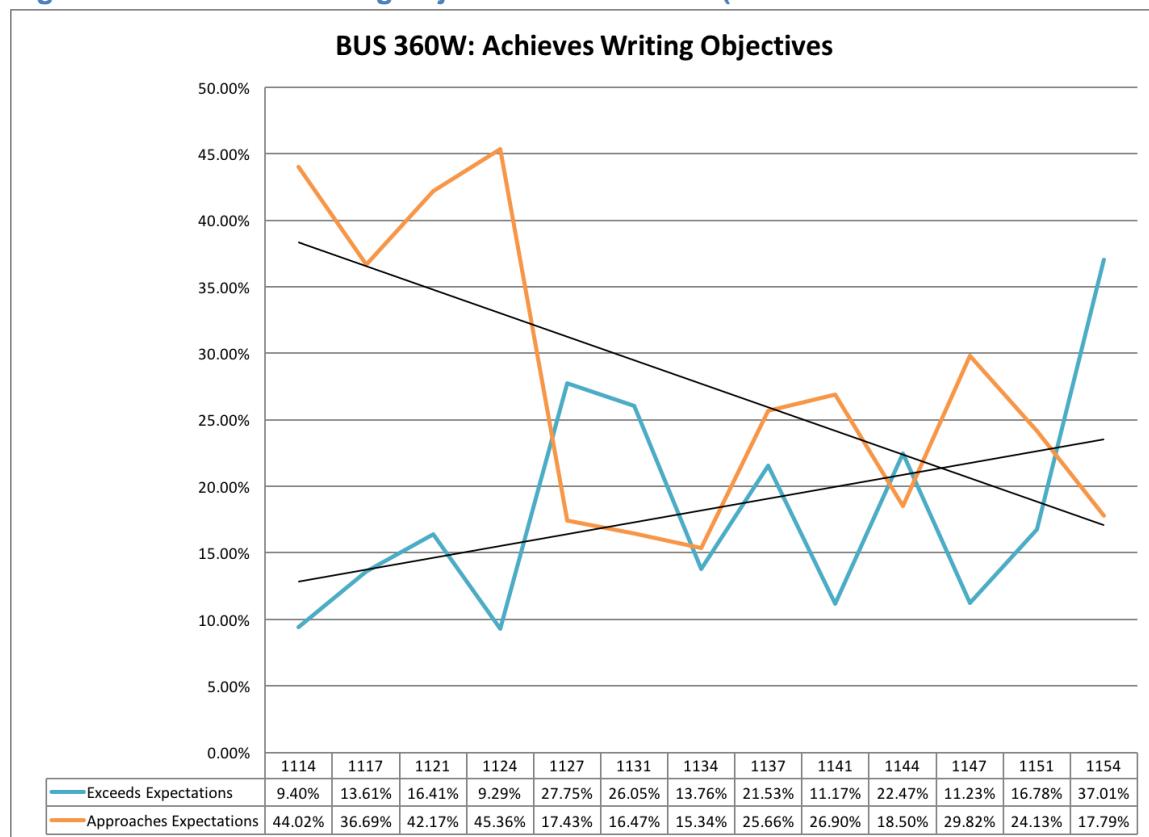


Figure 7: BUS 360W writing objectives trait results (Summer 2011 to Summer 2015)



Future assessment of educational goals at the Beedie School

The future for the assessment of education goals in the Beedie School is an ongoing process. For BUS 360W this means monitoring results from the most recent revision of the rubric to ensure that it is meaningful and captures the intended goals for written business communication as understood by the course coordinator and instructors. As students undertake the online business writing mechanics course, the Beedie School will evaluate any improvements in student learning in their written communication. The long-term implications of reduced class sizes will be examined through the AoL data collected each term.

The revised benchmark will be maintained at 75% for the foreseeable future. This benchmark revision aligns the AoL expectations with those generally held by the Beedie School across programs and identifies other areas where a closer examination of teaching and learning can better the student learning experience.

The assessment of written communication in BUS 360W represents one of seven BBA program educational goals. Measurement continues for each of the other six educational goals as well as the assessment of disciplinary business knowledge in each of the eight concentrations offered to students. The Beedie School also continues to look at other aspects of communication across the business curriculum, beyond BUS 360W, in an effort to improve student learning.

The ongoing process of continuous improvement to support student learning and success will continue at the Beedie School as AoL measurements are introduced for all degree programs and undergraduate program concentrations.

Beedie School of Business Assessment Contacts

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APPENDICES

BUS 360W rubrics

Each version of the rubric for BUS 360W is included in this appendix. Changes made to particular rubric traits or expectation definitions appear in blue text. The 2013-09-09 version is current and remains in use for the embedded assessments in BUS 360W.

Table A1: BUS 360W Business Communication (First Draft 2010-12-03)

TRAIT	Fails Expectations (1)	Approaches Expectations (2)	Meets Expectations (3)	Exceeds Expectations (4)
Purpose and Objectives	Purpose unclear and/or inappropriate; few (or no) objectives achieved.	Purpose somewhat unclear and/or inappropriate; few objectives achieved.	Purpose clear and appropriate; most objectives achieved.	Purpose clear and appropriate; all objectives achieved.
Audience Profile	Profile largely incomplete; draft addresses few (or no) audience needs.	Profile missing key elements or is inaccurate; draft has some difficulty addressing audience needs.	Profile detailed and accurate; draft addresses most audience needs.	Profile comprehensive and accurate; draft addresses all audience needs.
Tone	Inappropriate tone used. Tone creates major resistance.	Appropriate tone neither established nor maintained consistently. Tone creates minor resistance.	Appropriate tone established in draft but not maintained consistently. Tone creates minor resistance.	Appropriate tone established and maintained throughout draft. Tone does not create resistance.
Organization and Paragraphing	Organization inappropriate; several problems with paragraph unity and/or coherence.	Organization inappropriate; a few problems with paragraph unity and/or coherence.	Organization appropriate; a few problems with paragraph unity and/or coherence.	Organization appropriate; paragraphs unified and coherent.
Conciseness	Draft is not concise.	Draft contains some wordiness and/or includes unnecessary detail.	Draft concise, but some key detail missing.	Draft concise without losing key detail.
Mechanics of Writing (vocabulary, grammar, and spelling, and punctuation)	Draft has 6 or more errors and clarity of meaning is undermined.	Draft has 1-5 errors; some or all of these errors undermine clarity of meaning.	Draft has 1-3 errors; errors do not undermine clarity of meaning.	Draft is error free.
Business Convention	Draft has 5 or more errors.	Draft has 3-4 errors.	Draft has 1-2 errors.	Draft is error free.

Table A2: BUS 360W Business Communication (Revised 2011-02-14)

TRAIT	Fails Expectations (1)	Approaches Expectations (2)	Meets Expectations (3)	Exceeds Expectations (4)
Achieves Writing Objectives	Letter achieves few or none of the writing objectives.	Letter achieves some of the writing objectives.	Letter achieves most of the writing objectives.	Letter achieves all of the writing objectives.
Addresses Audience Knowledge Deficits	Letter addresses few or none of the audience knowledge deficits.	Letter addresses some of the audience knowledge deficits.	Letter addresses most of the audience knowledge deficits.	Letter addresses all of the audience knowledge deficits.
Sets and Maintains Tone	Inappropriate tone used in the introduction; tone is inconsistent in the rest of the letter.	Inappropriate tone used in the introduction; tone is consistent in the rest of the letter.	Appropriate tone used in the introduction; tone is inconsistent in the rest of the letter.	Appropriate tone used throughout the entire letter.
Organizes Message Effectively	Inappropriate choice of direct or indirect approach in the introductory paragraph; the rest of the letter is not logically arranged.	Inappropriate choice of direct or indirect approach in the introductory paragraph; the rest of the letter is organized logically.	Appropriate choice of direct or indirect approach in the introductory paragraph; the rest of the letter is not organized logically.	Appropriate choice of direct or indirect approach in the introductory paragraph; the rest of the letter is organized logically.
Conveys Message Concisely	Letter is not concise, and most or all key details are missing.	Letter is not concise, and some key details are missing.	Letter is concise, but some key details are missing.	Letter is concise and all key details are included.
Uses Clear Writing Mechanics (grammar, sentence structure, paragraphing, vocabulary, spelling, and punctuation)	Letter has 6 or more errors.	Letter has 4-5 errors.	Letter has 1-3 errors.	Letter is error-free.
Follows Accepted Business Conventions	Letter has 3 or more errors.	Letter has 2 errors.	Letter has 1 error.	Letter is error-free.

Table A3: BUS 360W Business Communication (Revised 2012-08-28)

Trait	Fails Expectations (1)	Approaches Expectations (2)	Meets Expectations (3)	Exceeds Expectations (4)
Achieves Writing Objectives	Letter achieves few or none of the writing objectives.	Letter achieves some of the writing objectives.	Letter achieves most of the writing objectives.	Letter achieves all of the writing objectives.
Addresses Audience Knowledge Deficits	Letter addresses few or none of the audience knowledge deficits.	Letter addresses some of the audience knowledge deficits.	Letter addresses most of the audience knowledge deficits.	Letter addresses all of the audience knowledge deficits.
Sets and Maintains Tone	Inappropriate tone is used in both the introductory paragraph and in the rest of the letter.	Inappropriate tone is used <i>either</i> in the introductory paragraph <i>or</i> in the rest of the letter.	Tone is appropriate throughout the letter and does not create resistance.	Tone is exceptionally attuned to the reader and the context, helping to create a receptive audience.
Organizes Message Effectively	Organization is flawed in <i>both</i> the introductory paragraph <i>and</i> in the rest of the letter. Transitions <i>may</i> be flawed.	Organization is flawed in <i>either</i> the introductory paragraph <i>or</i> in the rest of the letter. Transitions <i>may</i> be flawed.	Organization is appropriate throughout the letter. Some transitions are flawed.	Organization is appropriate throughout the letter. Transitions are flawless.
Conveys Message Concisely	Letter is not concise.	Letter is concise. Several key details are missing.	Letter is concise. Most key details are included.	Letter is concise. All key details are included.
Uses Clear Writing Mechanics (grammar, sentence structure, paragraphing, vocabulary, spelling, and punctuation)	Letter has 6 or more errors.	Letter has 4-5 errors.	Letter has 1-3 errors.	Letter is error-free.
Follows Accepted Business Conventions	Letter has 3 or more errors.	Letter has 2 errors.	Letter has 1 error.	Letter is error-free.

Table A4: BUS 360W Business Communication (Revised 2013-09-09)

Trait	Fails Expectations (1)	Approaches Expectations (2)	Meets Expectations (3)	Exceeds Expectations (4)
Achieves Writing Objectives	Letter achieves few or none of the writing objectives.	Letter achieves some of the writing objectives.	Letter achieves most of the writing objectives.	Letter achieves all of the writing objectives.
Addresses Audience Knowledge Deficits	Letter addresses few or none of the audience knowledge deficits.	Letter addresses some of the audience knowledge deficits.	Letter addresses most of the audience knowledge deficits.	Letter addresses all of the audience knowledge deficits.
Sets and Maintains Baseline Tone (<i>positive, courteous, and respectful</i>)	Writer has difficulty using baseline tone in <i>both</i> the introductory paragraph <i>and</i> elsewhere in the letter.	Writer has difficulty using baseline tone in <i>either</i> the introductory paragraph <i>or</i> elsewhere in the letter.	Baseline tone is used effectively throughout the letter. Tone does not create resistance.	Tone is <i>exceptional</i> , moving beyond the baseline tone as needed. Tone does not create resistance.
Organizes Message Effectively	Organization is flawed in <i>both</i> the introductory paragraph <i>and</i> in the rest of the letter. Transitions <i>may</i> be flawed.	Organization is flawed in <i>either</i> the introductory paragraph <i>or</i> in the rest of the letter. Transitions <i>may</i> be flawed.	Organization is appropriate throughout the letter. Some transitions are flawed.	Organization is appropriate throughout the letter. Transitions are flawless.
Conveys Message Concisely	Letter is not concise, characterized by <i>both</i> wordy phrasing and excessive detail.	Letter is concise, but missing some primary details. OR letter is not concise, characterized <i>either</i> by wordy phrasing <i>or</i> excessive detail.	Letter is concise. All primary details are included, but some secondary / supporting details are missing.	Letter is concise. All primary details and secondary / supporting details are included.
Uses Clear Writing Mechanics (grammar, sentence structure, paragraphing, vocabulary, spelling, and punctuation)	Letter has 6 or more errors.	Letter has 4-5 errors.	Letter has 1-3 errors.	Letter is error-free.
Follows Accepted Business Conventions	Letter has 3 or more errors.	Letter has 2 errors.	Letter has 1 error.	Letter is error-free.

Appendix D

External Review – Terms of Reference

EXTERNAL REVIEW - TERMS OF REFERENCE

Academic Unit

The Review Committee will assess the Unit and comment on its strengths and weaknesses, and on opportunities for improvement. The Review Committee should make essential, formal, prioritized recommendations that address the Unit's major concerns, with reference to the resources available to the Unit and the objectives described in the Unit's five-year plan.

The review process is intended to ensure that:

1. The **quality of the Unit's programs** (graduate and undergraduate) is high and there are measures in place to ensure the evaluation and revision of the teaching programs. Some issues to consider include:
 - degree requirements, structure, breadth, orientation and integration of the programs including the cooperative education program and the course offering schedule of the graduate programs;
 - enrolment management issues, student progress and completion, and support for graduate students;
 - educational goals²⁹⁶ that are clearly aligned with the curriculum and are assessable.
2. The **quality of faculty research** is high, and faculty collaboration and interaction provides a stimulating academic environment.
3. Unit **members participate in the administration** of the Unit. Some issues to consider include size, adequacy and effectiveness of the administrative complement and facilities.
4. The **Unit's environment is conducive to the attainment of the objectives** of the Unit, including working relationships within the Unit, between other University units, the community and the Unit's alumni.
5. Future plans of the Unit are appropriate and manageable.
6. Issues of specific interest to the University and/or the Unit that the Review Committee should consider during the review are:
 - 6.1.
 - 6.2.
 - 6.3.
 - 6.4.
 - 6.5.

²⁹⁶ In May 2013 Senate agreed that all academic units will develop and subsequently assess educational goals at the academic program level (majors, minors, masters and doctorates), as a part of the external review process. The educational goals will be included in the self-study report.

Appendix E

External Review Samples

- E.1 Department of Psychology: Educational Goals and Assessment Action Plan
- E.2 Psychology External Review – Action Plan
- E.3 External Review Update – Economics

Appendix E.1

Department of Psychology: Educational Goals and Assessment Action Plan

Department of Psychology: Educational Goals and Assessment Action Plan

As part of the external review process, Psychology was tasked with developing educational goals and a tentative assessment plan. It is our understanding that developing program-level Educational Goals (Learning Outcomes) and a realistic assessment plan for a department as large and complex as Psychology typically takes 18-24 months and involves the whole department (Rogers, 2013), so the timetable (reproduced below) provided by the VPA's Office in late July, 2014 seems optimistic at best. The remainder of this document outlines the initial stages of the assessment process that will take several years, with both the goals and proposed assessment processes being *tentative* in nature and subject to change to reflect our practice.

Review Cycle Dates	Steps in Educational Goals Process (2015 Cycle)
Jan – Dec 2014	-Develop educational goals and preliminary assessment plan if desired, and incorporate into external review self-study.
Feb – June 2015	-External review-team visit/report. The terms of reference for the review will include consideration of the educational goals by the review team.
June – August 2015	-Usual post-review Action Plan developed by the unit, incorporating any recommended adjustments to goals and suggestions for the assessment plan. Action Plan goes to SCUP and Senate for approval.
Sept 2015 – Sept 2016	-Collect data relevant to assessment process.
Sept 2016 – Sept 2017	-Evaluate data and recommend changes (e.g. to curriculum, pedagogy, etc.).
Sept 2017 – Sept 2018	-Implement changes. -Produce mid-cycle External Review Update report on progress of implementing the Action Plan, including status of assessment of educational goals.
Sept 2018 – Sept 2019	-Collect second data set.
Sept 2019 – Sept 2020	-Evaluate data and recommend changes.
Sept 2020 – Sept 2021	-Implement changes. -Begin self-study for next review (incorporating any changes to goals and updating assessment process, results).

Some key assumptions that guided the planning process are listed below, so that department members, internal and external reviewers, university administrators and Senate Members understand the practical limits we see as inherent in this process – based on our acknowledged inexperience.

1. Educational Goals will have no or minimal impact on faculty members' teaching. This includes impact on faculty members' academic freedom, teaching workload, and any administrative aspects of teaching. No faculty member will be required to publish course-level Educational Goals (EGs).
2. Although Educational Goals for the program should be reflected at the Graduate and Undergraduate level, they must **not** be seen to supersede any existing Learning Outcomes in our Accredited Graduate Programs. Existing accreditation processes assess these programs.
3. There is no expectation that additional resources might be provided to develop undergraduate 'capstone' courses that could be required for all students, so all assessment of the Educational Goals must be done with existing course evidence (however, see #1 above).
4. As there will be no ongoing additional resources for departments (beyond the first cycle), any evidence collection and associated analysis must be done with existing data (possibly course grades), and at a minimal cost (staff time).
5. Given the cyclical and dynamic nature of the review process outlined in the timetable above, the EGs and tentative assessment plans are always 'in-progress' and should NOT be published beyond the requirements of the University Senate for at least the first complete review cycle. This is primarily an internal process and document. Existing documents already communicate the departmental goals and general learning outcomes (<http://www.psyc.sfu.ca/ugrad/>).

These assumptions have guided the development of a 'draft' set of program-level Educational Goals and some sub-goals that might be more easily assessed (recognizing that there is only one evidence source – student performance). Our tentative assessment process builds on the feedback we received from the external review team and will establish some benchmarks for future modifications.

Assessing Educational Goals in Psychology – Overview

Psychology at SFU has five Educational Goals. Each goal has sub-goals that can be assessed at either the Undergraduate (UG) or the Graduate (G) level. Only some of the sub-goals can be appropriately assessed while students are still 'in progress,' and other sub-goals are more appropriately assessed after graduation or recognized as a product of life-long learning (formal or extracurricular). We are currently planning to use of course grade distributions for 'in progress' assessment, and of other sources to provide evidence at graduation and beyond (e.g., Institutional Research and Planning – SFU-IRP). This document specifies the Educational Goals that are relevant for students completing courses for a Psychology Major and for students completing our Graduate Programs.

The five Educational Goals and sub-goals are described here were thoroughly reviewed by departmental faculty members, who were then asked to self-nominate which of their courses assessed specific sub-goals, and whether or not they believed completion of their courses constituted evidence of successful achievement of the sub-goal. For courses taught by regular faculty, we are assured that some component of their courses assess, in some reasonable way, the sub-goals, so we will assess course completion rates and grade distributions in this first round of assessment. Having established some benchmarks, we will begin to assess the quality of courses taught by temporary instructional staff.

Educational Goals, Sub-goals, and Sources of Evidence for Assessment Purposes.

Following are five tables with the global descriptions of the five educational goals, identification of sub-goals, and a *tentative* list of courses that may provide evidence at the end of the semester – Fall, 2015 or Spring, 2016 (as not all the listed courses are taught by regular faculty in any given semester). Where necessary, a sub-goal might be framed more specifically for the Undergraduate (UG) or Graduate (G) programs.

Goal One: Knowledge and understanding of major psychology content areas. Students completing an SFU UG degree in psychology will demonstrate knowledge and understanding of many major concepts, theoretical perspectives, research methods and findings, and historical trends in the core topics of psychology. Students completing a G degree will apply their continually expanding foundational and specialized knowledge of psychological theory, research, and other skills to complex psychological issues.

Sub-goal Description:	Potential Evidence Source
<p>1.1a UG students will be able to recall, explain and apply psychological concepts within a majority of the following content domains:</p> <ul style="list-style-type: none"> • biological bases of behaviour • perception and attention • language, motivation and emotion • history and philosophy in psychology • research methods & data analysis • personality and individual differences • lifespan development • social and intercultural psychology • cognition, learning and memory • abnormal psychology • health and wellbeing • forensic psychology 	<p>Successful completion of Psyc</p> <p>100, 280, 381(2)(3)(6)(7) 100, 221, 303, 330 100, 358, 100, 102, 308 100, 102, 201, 210, 301 102, 370 102, 250, 354, 355, 357, 385 102, 260, 358, 363 100, 221, 325 102, 241, 356, 371 102, 362, 365 268, 376, 379</p>
<p>1.1b G students will be able to identify and explain which core psychological concepts apply to common psychological issues and, within their area of specialization, demonstrate knowledge (breadth and depth) of current research and professional practices.</p>	<p>Any of 700, 744, 750, 770, 790, 806, 807, 810, 815, 820, 822, 830, 835, 836, 892, 897, 907, 944, 950, 960, 980, 990</p>
<p>1.2a UG students will be able to identify and describe several theoretical perspectives in Psychology and explain strengths and weaknesses of multiple perspectives.</p>	<p>100, 102, 250, 308, 355, 363, 376, 376, 370, 385, 391, 451</p>
<p>1.2b G students will be able to explicitly recognize the theoretical perspectives underlying their research and explain the implications of differing perspectives on interpreting the results of published research.</p>	<p>Any of 700, 744, 750, 770, 790, 806, 807, 810, 815, 820, 822, 830, 835, 836, 892, 897, 907, 944, 950, 960, 990</p>

Goal Two: Scientific reasoning, research, and critical thinking. Appropriate to the degree qualification (UG or G), students will be able to frame appropriate research questions, review and critique literature, design and conduct ethical and culturally sensitive research on meaningful psychological issues, analyze empirical data using appropriate statistical techniques, and produce APA formatted research reports for dissemination. Students will display a healthy skepticism about unsubstantiated claims about psychological issues and will use analytic thinking to evaluate evidence. UG students will refine their 'habit' of critical thinking as they identify and solve problems, and G students will demonstrate higher-order analytical and critical thinking essential for their specialized training.

Sub-goal Description	Potential Evidence Source
2.1a UG students will be able to find, read and accurately summarize psychological research, determine the empirical question being addressed, identify the research methods used, evaluate research claims, and distinguish between evidence for causal claims versus relational claims.	100, 201, 221, 250, 260, 280, 303, 330, 354, 355, 363, 370, 379, 381, 385, 391, 451, 480, 490
2.1b G students will be able to evaluate psychological research, provide critical analyses, offer alternative explanations, and suggest testable hypotheses to clarify any issues identified.	824, 980
2.2a UG students will use critical thinking and problem-solving skills in their efforts to evaluate the quality of evidence.	250, 280, 300, 303, 308, 330, 354, 355, 363, 370, 376, 379, 385, 451
2.2b G students will use higher-order and evidence-based analyses of psychological issues, including the ability to recognize and defend against the major fallacies of human thought processes.	705, 715, 815, 819
2.3 Students (UG & G) will be able to design and conduct research to address psychological questions (at the level appropriate for their training); frame research questions; undertake literature searches; critically analyze theoretical and empirical studies; formulate testable hypotheses; operationalize variables; choose appropriate methods; make valid and reliable measurements; analyze data and interpret results; and write research reports.	(UG) Completion of Psyc 201, 210, 301, 303, 354, 355, 370, 411, 490 (G) Completion of Master's Thesis, or PhD Dissertation 824, 892, 910, 911

Goal Three: Ethical and social responsibility to others. Students will explain academic and research-relevant ethical principles and will use their understanding to guide their academic conduct and professional behaviour. UG students will accept responsibility to act in ethical and socially responsible ways, and G students will adhere to the highest professional and ethical standards.

Sub-goal Description:	Potential Evidence Source
3.1a UG students will use accepted academic and ethical standards to design, conduct, and evaluate psychological research.	201, 490
3.1b G students will use accepted ethical standards to design, conduct, and evaluate psychological research; will be able to explain and to be guided in professional clinical practice by the highest ethical standards.	MA/PhD theses, 892, 897, Practicum courses for clinical students
3.2 All students will demonstrate respect for individuals, their rights (including intellectual property), the limitations of all knowledge, and behave civilly when interacting with others.	100, 102, 201, 260, 300, 303, 354, 363, 451 815, 819, 824

Goal Four: Communication and interpersonal skills. Students will communicate effectively and respectfully using the appropriate medium (primarily written and oral). Students will produce original content, including reports of research adhering to Psychology discipline standards. Students will demonstrate effective listening skills and will offer respectful comments or feedback when relevant.

Sub-goal Description:	Potential Evidence Source
4.1a UG students will produce discipline-specific (APA format) written material that concisely communicates accurate information at an appropriate level of complexity.	201, 250, 260, 221, 300, 303, 308, 330, 354, 381, 385, 391, 411, 480, 490
4.1b G students will produce appropriately formatted written materials suitable for publication in peer-reviewed journals (APA) and other material required in professional contexts.	911 Scholarship & Grant Apps, Theses, Clinical Reports
4.2a UG students will communicate effectively in diverse groups by listening respectfully, asking questions and seeking clarification as needed, presenting material summarized from appropriate sources, and acknowledging others' opinions.	303, 354, 355, 370, 381, 451, 480, 490 Tutorial Presentations, Seminar Classes
4.2b G students will communicate effectively in professional contexts by listening respectfully, asking questions and seeking clarification as needed, presenting new material from original research, and acknowledging others' opinions.	Class Participation, Thesis Defenses, Conference Participation, Practica, Internships

Goal Five: Application of psychological knowledge. Completion of a degree in Psychology is part of a life-long learning process. **Depending on the degree credential sought**, students may use what they have learned (psychological content and skills) to do one or more of the following: find psychology-related employment; provide professional interventions; conduct basic or applied research; provide education in psychology; lead teams and problem-solve; or provide other degree relevant services.

Sub-goal Description:	Potential Evidence Source
5.1 Students will use their psychological knowledge and skills to provide services in appropriate domains (e.g., interventions, assessment, consulting, research, teaching, or others).	825 SFU-IRP
5.2a UG students will use their interpersonal skills and their knowledge of teamwork skills to integrate successfully into existing organizations.	260 SFU-IRP
5.2b G students will use their leadership skills to guide others, to develop and complete projects, and to speak with recognized authority for their employing organization, institution, or the discipline.	SFU-IRP

References

Rogers, G. M. (2013, August). Academy for Assessment of Educational Goals and Student Learning. Co-sponsored by the SFU Teaching and Learning Centre and the Office of the Vice-President, Academic.

Appendix E.2

Psychology External Review – Action Plan

EXTERNAL REVIEW – ACTION PLAN

Section 1 – To be completed by the Responsible Unit Person e.g. Chair or Director			
Unit under review	Date of Review Site visit	Responsible Unit person	Faculty Dean
Psychology	April 8 – 10, 2015	Neil Watson, Chair	John Craig
Notes			
<ol style="list-style-type: none">1. <i>It is not expected that every recommendation made by the Review Team be covered by this Action Plan. The major thrusts of the Report should be identified and some consolidation of the recommendations may be possible while other recommendations of lesser importance may be excluded.</i>2. <i>Attach the required plan to assess the success of the Educational Goals as an addendum (Senate 2013).</i>3. <i>Should any additional response be warranted, it should be attached as a separate document.</i>			
<h2>1. PROGRAMMING</h2>			
<p>We will continue to provide an appropriate breadth of courses for our large complement of undergraduates, but our ability to maintain current offerings is threatened by faculty losses without replacement (See Section 5). Much of this specialist teaching cannot be made up with SI's -- in a recent example, five posted openings for sessional teaching in Social Psychology and in Developmental Psychology did not attract even a single application. We wholeheartedly agree with the reviewers' comments and specific recommendation regarding faculty staffing levels for teaching and research. In response to years of requests for expanded enrolments we have increased class sizes to the point that student: faculty ratios are now very high, as documented in detail in the department's Self-Study Report (Chap 4).</p>			
1.1 Action/s (description what is going to be done):			
1.1.1 Undergraduate:			
<ul style="list-style-type: none">• <i>(Recommendations 3 and 12) We will not plan for developing new undergraduate programs at this time, in accordance with the Reviewers' recommendation that no expansion in programming be contemplated unless demand and enhanced resources (principally faculty renewal) are present.</i>• <i>Recent enrolment figures have confirmed that our BSc in Behavioural Neuroscience is a viable and growing program. We have commenced a process to address bottleneck issues within this unique program, particularly the pre-requisite structure and required courses, and will work to improve access to the core courses. New language reflecting these improvements will appear in the next edition of the SFU Calendar.</i>• <i>(Recommendation 1) We will work to streamline communication between staff tasked with administration / student advising for the Cognitive Science Program, and the Director (and Steering Committee) of the Cognitive Science</i>			

Program. We will also arrange for periodic meetings with the Cognitive Science Program Steering Committee to discuss any matters of concern. However, the governance of the Cognitive Science Program is external to the Psychology Department -- it is an autonomous program within FASS - and determinations about the longterm viability of the program lie with the CogSci Steering Committee and Dean of FASS, not the Psychology Department.

- *(Recommendation 11)* Our plan for Education Goals and Assessment is appended. Faculty will continue to use innovative, pedagogically appropriate approaches to engage students - leading to students achieving the Educational Goals. With ever-increasing class sizes and shrinking resources (for TAs, temporary instruction, etc.), and with fewer and fewer faculty members to share the teaching, innovation is driven by necessity as well as the desire of faculty members to become more effective educators.
- *(Recommendation 11)* Assessment of the Educational Goals is a 'work-in-progress', with meetings already scheduled to create the necessary Department Policies for the first round of data collection from courses in the 2015/2016 academic year (as specified in the schedule supplied by the VPA's office). Department faculty members have self-identified aspects of their own courses that they believe assess some aspects of the Educational Goals as specified in the External Review Self-Study, so the task will be to determine which appropriate set of courses to assess in Fall 2015 and which set to assess in Spring 2016. In addition, as noted by the Reviewers (sec. 1.2), Goal Five is considered to be "in the context of post-graduate activities", so we have begun discussions with staff in Institutional Research and Planning (IRP) to determine how assessment of this goal might be best achieved (we understand that IRP has been tasked with this function for the university as a whole, so these discussions will have many beneficiaries).

1.1.2 Graduate:

- *(Recommendation 2)* We will coordinate with the Dean of Graduate Studies to find ways to improve the clarity of the financial packages offered to incoming graduate students, and further, to identify best practices in communicating funding information to incoming and continuing graduate students. Unfortunately, the allocation of TAships is governed by the TSSU Collective Agreement, so we are unable to guarantee TAships beyond priority as specified in the collective agreement. As noted by the External Review Committee the average funding level for our graduate students is comparatively high, and contains elements -- e.g. a travel allowance of \$600 per annum, a research allowance, free office supplies and support -- that we believe to be uncommon.
- We will work with the Psychology Graduate Student Caucus to address concerns about transparency in funding decisions, and to develop language in our Graduate Student Handbook that explains funding more simply. We will also consult with the Dean of Graduate Studies to explore ways to provide funding opportunities for international graduate students, many of whom are ineligible for federal scholarships
- Although graduate students are represented on all Departmental Committees, we will explore methods to streamline

communication with the Graduate caucus; for example, by establishing a periodic meeting between the Chair's Advisory Committee and the Graduate Caucus, devoted solely to graduate matters.

- We will continue to support clinical training opportunities by directing resources to the Clinical Training Program and Clinical Psychology Centre. An important search is currently under way to replace the recently retired Director of Clinical Training -- success in this search is essential for the continued success of the clinical training program.
- We will explore the possible development of new premium-fee graduate programs leading to degrees or certificates, as we believe there may be significant demand for such (and revenue generated would be a boon for Departmental initiatives, such as funding postdocs). A few examples: quantitative methodology consulting; criminal risk assessment; interviewing and measurement techniques; neuroscience methodology. However, to quote the external reviewers: "should the department or university choose to develop new revenue-generating graduate programs that involve the department, it should do so using budget models that include new faculty resources to provide the needed instruction."

1.2 Resource implications (if any):

- As noted, we have commenced the Educational Goals Assessment exercise; resources provided to date have proven appropriate. The impact of the data collection phase on staff & faculty resources is uncertain.
- As described in several sections above, it is difficult to meet current programming needs due to faculty losses, so the principle resource required is faculty positions. The budget line for the Director of Clinical Training is a long-standing staff position.

1.3 Expected completion date/s:

- Educational Goals Assessment will be a continuing activity.
- We hope to have a new Director of Clinical Training in place by the end of 2015.
- Improved communications regarding graduate funding provisions should be in place in time for letters of acceptance and graduate handbook in early 2016.

2. RESEARCH

Summarizing their review of the research activity in the Department, the external review team state: "The Department of Psychology is extremely productive and successful in all aspects of research based on standard national and international metrics and should be celebrated for its excellence." The Department's Self Study Report provides detailed data to buttress this conclusion, showing a steady increase during the last decade in research success in terms of both input measures (e.g. grants and contracts) and output measures (e.g. publications and impact). As a department, our international QS ranking (101-150) is substantially higher than that of the University as a whole (228), and the HiBAR analysis of research impact described in the Self-Study ranks us alongside excellent departments at prestigious universities nationally and internationally. As the reviewers note (and we return to in Part 5), the greatest threat to this status is the need for faculty renewal.

2.1 Action/s (what is going to be done):

- As noted throughout this Plan, we will work with the Dean's Office to prioritize faculty hiring in Psychology.
- (*Recommendation 8*) We will explore ways to more fully integrate the Institutes into the Department's research and teaching missions. In particular, we will explore ways to maximize graduate and postdoc participation in Institute activities, and elevate the visibility of the Institutes within and beyond the Department. (See also the proposed External Relations Committee in Part 3)
- (*Recommendation 10*). The reviewers correctly note that the powers of the Department to expand post-doctoral participation are limited, and that post-docs are often externally funded. However, in recent discussions with VPR Joy Johnson, the Dept Chair conveyed willingness to explore the use of Departmental resources (such as funding from FIC instruction) to leverage contributions from elsewhere in the University, perhaps via matching grants of some sort. We will continue to explore innovative ways to encourage post-doctoral fellowships in the Department.

2.2 Resource implications (if any):

- Again, by far the most significant issue facing the Department is the provision of new CFL positions to maintain and improve our research and teaching activities.

2.3 Expected completion date/s:

- We are reliant on the Dean and VPA for CFL positions.

3. ADMINISTRATION

3.1 Action/s (what is going to be done):

- *(Recommendation 4)* In accordance with the recommendations of the Reviewers, we will start the process of developing a new Strategic Plan. The timing is fortuitous, as we will be able to dovetail our strategic planning with that of the Vice President Research, Joy Johnson, who has commenced the development of a new university-wide 5-year strategic research plan.
- *(Recommendation 5)* As part of the strategic planning exercise, we will specifically re-examine the Department's current Area organization, as we do every few years.
- *(Recommendation 5)* Several years ago, the HQT area was developed from the former Theory and Methods Area. We feel that the three foundational areas represented (History, Quantitative methods, and Theory) actually have a great deal in common, at least as practiced by the HQT faculty in this Department: our HQT faculty happen to work at the intersection of H, Q, and T and have strong interests in all 3 areas. The HQT area thus built directly onto strengths already present in this department. The area represents an important -- and distinct --component of our undergraduate programming, and has experienced a 3-fold increase in graduate enrollment since its establishment. Nevertheless, we will explore ways to ensure that the mission of the HQT area is more clearly articulated.
- *(Recommendation 9)* We will develop an External Relations Committee to guide the Department in several objectives:
 - Improved alumni relations
 - extra-curricular programming for students (for example, workshops on career development)
 - Pursuit of fundraising opportunities for targeted projects (such as research infrastructure, endowed Chairships etc), in conjunction with University Advancement and the FASS Dean's Office
 - External promotion of the Department
 - Public Engagement through special events, such as public lectures
 - Development of social media and website-based communication.

We anticipate creating a RA position for at least one graduate student to provide social media support.

3.2 Resource implications (if any):

- RA funding
- Formation of a new standing committee necessarily involves investment of time by members. This will be construed

as part of the members' normal service load.

3.3 Expected completion date/s:

- establishment of an External Relations Committee will occur in Fall 2015 / Spring 2016 for a trial period of two years. If successful, the External Relations Committee Terms of Reference will be added to the Departmental Bylaws in 2017-18.
- Development of a new Departmental Strategic Plan will occur in 2015 – 2016.

4. WORKING ENVIRONMENT

The reviewers were laudatory regarding the departmental working environment – “quality of work life within the department appears to be envably high... we admire the department for the climate it has created” – and comments mostly centered on space issues.

4.1 Action/s (what is going to be done):

- (*Recommendation 13*) Although we must rely on external units for provision and maintenance of space, we endorse the reviewers' recommendation that maintenance issues receive priority. In particular, departmental washrooms are in need of renovation, and we continue to deal with water ingress problems, although a new skylight system currently being installed may help in the latter case.
- We will continue to work with the Dean's Office to deploy lab space as rationally as possible, while recognizing that certain infrastructure needs (chemical lab safety, for example) can no longer be met within RCB Hall. We anticipate a serious space shortage in the event of new hiring, coupled with highly successful programs that have recently attracted major funding -- and thus require expanded space.
- Despite its reputation as a friendly and collegial work environment, the Department suffers from a lack of social spaces (currently limited to a single uninviting, windowless lunchroom). We will pursue opportunities to expand the social space inventory -- in particular, we would like to add a departmental lounge for faculty staff and students. If appropriate space can be identified, the Department undertakes to bear the costs of renovating and furnishing the space.

4.2 Resource implications (if any):

- We anticipate the need for more office, lab, and social space in the near future, driven by both hiring and by the success and growth of research programs in the Department.

4.3 Expected completion date/s:

- Provision of space and problems associated with deferred maintenance are beyond our control.

5. Faculty / Staff Renewal

There is no doubt that faculty renewal is the most pressing problem confronting the Department. As detailed in the self-study report, the Department has suffered a steady decline in faculty complement: a net loss of 8 CFL positions or 18% of the total, since the time of our last external review. As repeatedly recommended by the external reviewers in several of their 13 recommendations – “faculty renewal is a primary issue that needs to be addressed in the Department” – we must embark on a program of hiring if we are to maintain the excellent research productivity, program delivery, and the overall reputation of the Department. Furthermore, given our growing international reputation for research excellence, and our very large graduate program that relies on successful researchers for graduate supervision, recruitment of additional teaching-specialist faculty (lecturers and senior lecturers) is not viewed as sufficient to meet these urgent needs.

5.1 Action/s:

- (*Recommendations 3, 4, 7, 12*) We will work with the Dean’s Office to prioritize faculty renewal in the Department.
- (*Recommendation 6*) We note that under our organizational scheme some members of the Clinical Science Area have cross-affiliations in other areas. Given this fluidity, we feel that the suggested establishment of a formal minimum number of faculty per area is unnecessary, but accept that the recommended minimum of 5 is useful guideline.
- We will incorporate succession planning into forthcoming strategic planning exercises. Several outstanding long-serving staff members who have played crucial roles in the success of the Department are nearing nominal retirement age. Planning for these transitions, establishing a process to capture and retain the “institutional memory” of individuals transitioning through key departmental positions, and perhaps aiding the development of potential replacement personnel, will minimize disruption and ensure continuation of best practices established over long

periods of time.

5.2 Resource implications (if any):

- We are reliant on the Dean and VPA for CFL positions

5.3 Expected completion date/s:

- ongoing

The above action plan has been considered by the Unit under review and has been discussed and agreed to by the Dean.

Unit Leader (signed)



Date

Name ... Neil V. Watson PhD

Title... Chair, Dept of Psychology

..... September 25 2015

Section 2 - Dean's comments and endorsement of the Action Plan:

I met with Dr. Neil Watson, Chair of the Department of Psychology on 24 September 2015 to discuss the external review prepared by Professors Brian Timney (Western University) Wendy Craig (Queen's University) and Brian Cutler (University of Ontario Institute of Technology).

Our office has given close consideration to the external review and to the detailed response from the Department of Psychology. The external reviewers have produced a thoughtful assessment, capturing many of the strengths found in the Department and identifying some of the challenges it faces. The response from the Department is equally thoughtful and to be welcomed. I agree with the reviewers in characterizing the Department of Psychology as a premier unit within SFU and across Canada' that offers 'high quality programs.'

The most pressing issue is the need for faculty renewal. This is entirely persuasive and we are committed to work with the Department to ensure they have the faculty complement to maintain the high quality of their work. Specifically, our office will seek the VPA's approval to hire 2 tenure track faculty as part of the Faculty's hiring plan for 16-17. We are confident that the Department will be able to make a strong case to the new Dean in order to continue the process of renewal.

Faculty Dean



Date

14 October, 2015

Appendix E.3

External Review Update – Economics

External Review Update for the Department of Economics	
Action	Progress Made
1. Faculty	
- 6 net new junior positions made available - replacement at the same level of any loss of existing faculty - size of the department to climb to 40 CFL	- 6 net new assistant professors hired from October 12 to date - 2 assistant and 1 associate hires for replacement to date - department stands at 41 faculty members (including two half-time Appointments)
2. Programming	
2.1.1 Undergraduate	
- shift ECON 301 earlier in the sequence and make it necessary to pass before being able to declare economics as a major - increase the CGPA necessary to declare a major in economics - facilitate degree completion by expanding capacity and choice at the 300 and 400 levels - adjust the credit hours for honours degrees to 120 hours - adjust the minor in economics to become a meaningful option	- transition to offering ECON 201 in place of ECON 301 is now complete and cumulative effects of change being evaluated - CGPA necessary to declare major raised from 2.0 to 2.6 - major bottlenecks to completion removed primarily through additional hiring as outlined above - completed - ongoing
2.1.2 Graduate	
- investigate whether MA comprehensive exam should be replaced by a summer paper - revisit role of recently added math requirements at the PhD level - determine whether PhD field exams should be maintained - revisit ECON 900	- starting in the 2015/2016 academic year, we will require our MAs to take a summer writing course - ongoing - ongoing - ECON 900 reorganized by graduate chair and regularly held
3. Research	
- no specific actions suggested	- continued efforts
4. Administration and Working Environment	
- no specific actions suggested	- continued efforts
5. Other	
N/A	