IIRP WORKING GROUP: Quality of Teaching & Learning

September 6, 2016

Report for Community Consultation on Implementation

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EXECUTIVE SUMMARY

The institutional Integrated Resource Plan (IIRP): "Strategic Directions for Advancing our Priorities" document proposes an institutional approach and shared commitment to the "enhancement of academic and service quality…and financial stability". Six thematic areas/initiatives are described (including quality teaching and learning) and considered to have the potential to advance our academic priorities and aid efforts to address our financial challenges by leveraging local efforts through a pan-university approach. The IIRP Quality Teaching and Learning (T&L) work group was formed and tasked with developing recommendations that will enhance the quality of teaching and learning. The five recommendations we propose for quality T&L will also have an impact on three other IIRP initiatives: advancing quality in academic programs; a student-centric approach with recommendations for enhancing the campus experience; and research intensification with recommendations to support research on teaching and learning. Therefore, we are proposing to transform and enhance the culture of teaching and learning at York to expand beyond the acquisition of knowledge in order to enable lifelong learning for the York community.

The original mandate of our Working Group was to "produce a report of recommendations based on the information gathered from the Faculties and relevant committees/bodies, such as the Teaching Commons, Senate ASCP. The recommendations are expected to focus on actions and resources to achieve the IIRP outcomes." (IIRP Teaching and Learning working group, Terms of Reference, 2015)

Our modified terms of reference --agreed upon by our executive sponsors approved Feb 2016-- outlined that before drafting a set of recommendations for enhancing the quality of Teaching and Learning at York University, we needed to describe our vision, our mandate and the principles that inform what we mean by 'quality' Teaching and Learning. Our vision, mandate, values, and the five recommendations have evolved from reviewing the context at York, in Ontario, and in Higher Education, and align with our values/guiding principles for enhancing quality T&L at York University. We propose that our five recommendations provide clear directions that will inform a strategic plan to enhance and develop quality T&L at York University.

In summary, our task has been to try to figure out how to

- Define quality teaching and learning
- Enhance and champion quality teaching and learning at York
- Share and build on existing good practices at York and in Higher Education (HE)
- Build on consultations previously conducted as outlined in the University Academic Plan (UAP), Academic Administrative Program Review (AAPR), Institutional Integrated Resource Plan (IIRP), white paper, etc.
- Propose how to use available resources and/or develop necessary infrastructure

The 12 member work group (listed in the Appendix) had representation from across the university including undergraduate and graduate students, full-time and contract faculty members, an educational developer, the Director of the Teaching Commons, representation from University Information Technology, and associate deans. We met for 1.5 hours every two weeks from January 11th to April 18th. Under the guidance of Suzanne Killick (Director, Talent Acquisition & Development) we developed and collectively endorsed a proposed vision, mandate, four values that have been developed into guiding principles, and five recommendations for enhancing quality T&L.

They are as follows:

Vision: Creating transformative learning for today and for every student's tomorrow.

Mandate: At York University we champion effective pedagogy and develop our students' knowledge and skills in an inclusive, diverse, and reflective learning environment that brings together research and teaching.

Values - Guiding principles:

Engagement - We are a community of learners with a growth mindset[1] (a belief that with effort, qualities such as intellectual skills can be cultivated, Dweck, 2006) working collaboratively towards the development of transformative knowledge and skills.

Accessibility - We use opportunities inherent in our diverse community to advance an inclusive and flexible eco-system for teaching and learning.

Respect - We engage in collegial, collaborative, and authentic interactions that are considerate of our diverse teaching and learning environment.

Responsiveness and Accountability - We are all attuned to teaching and learning needs and answerable for the intellectual relevance and impact of the learning experience.

Recommendations:

1. Research, develop and implement pedagogies that support effective learning.
2. Champion professional development programming with corresponding policy to support faculty members in delivering transformative learning experiences.
3. Create a system that rewards, celebrates, and promotes quality teaching and learning.
4. Foster and advance the relationship between research and teaching.
5. Promote and support a student growth mindset[1] and a sense of agency for high quality learning.

[1] Growth Mindset (Dweck, 2006) – refers to a belief that with effort there are qualities such as intellectual skills that can be cultivated.

By the date of this document's submission we are not able to complete our consultation with all of our stakeholder groups (in particular students and faculty members) on these recommendations. So far, we have met with the chairs of the IIRP working groups for Quality Academic Programs, Technology Enhanced Learning, Experiential Education, and Advising, and discussed the draft recommendations with the Deans, Associate Deans, Senate ASCP, and have made attempts to schedule consultations with Faculty-level teaching and learning committees. Given the time of year, we have met with challenges to arrange consultations with students and faculty members. These consultations remain an important next step in the process as we are hoping to change the culture of teaching and learning at York in order to enhance the quality.

RECOMMENDATIONS

The five recommendations are based on the drivers of change at York (based on the planning documents e.g., IIRP, AAPR, UAP) our student body, as well as in Ontario and in higher education globally. This context is summarized next (details provided in the Appendix) followed by the 5 recommendations and the proposed ways in which each of these recommendations can be achieved.

RELEVANT CONTEXT

According to the IIRP Strategic Directions for Advancing Priorities paper, the "quality of teaching and learning is important to students when it comes to choosing and ranking universities… In particular, 63% of students choosing York as their 1st choice list it as a critically important factor in their decision." (p9)

We summarize below the various drivers for change, first at York University based on the UAP, AAPR, IIRP, but also in the broader context of Ontario and of Higher Education (HE) generally in terms of what is known about enhancing the *quality* of teaching and learning.

Context: Drivers of change at York University

- University Academic Plans, White paper, task force reports encourage that we:
    - expand Experiential Education,
    - support innovative/flexible/accessible program delivery,
    - support, recognize celebrate innovations,
    - improve student experience: increase EE; International opportunities; accessibility; mental health and well-being,
    - improve program quality, scholarly achievement,
    - increase student satisfaction (e.g., increase contact time),
    - become leaders in pedagogic innovation,
    - provide necessary infrastructure to support the campus as a learning ecosystem.

- Strategic Enrollment Management underscores the importance of
  - attracting students,
  - retaining students,
  - helping them flourish while they are here.

- Information about our applicant pool highlights our diverse/working/commuting students
  - What are the challenges when it comes to our student body and quality learning experiences?
    - Very few students live on campus (7%). While proportionally more first year students live in residence (<25%) this is still less than the number of first year students living in residence at other Ontario universities (48%).
    - Majority of our students commute. Lengthy commute times – 57% commute at least 40 minutes each way (this contributes to feeling isolated from or pulled away from university communities).
    - Students spend little time outside of class on campus. 42% of first year students spend less than 5 hours on campus per week outside of class time.
    - Many students engage in paid work off campus. 45% of first year students report taking paid work off campus for an average of 16 hours per week, and 61% of senior year students report taking paid work off campus for an average of 18 hours per week.
    - Students who do not hold realistic expectations academically about what university will demand of them are at risk of failure.
    - A widening pool of incoming students may mean some do not hold the necessary skills for university academics and require support.
    - Many students expect to see a direct link between what they learn in their studies at York and their personal interests, life aspirations, and career goals.

Context: Drivers of change in Ontario

- Quality assurance process that requires a
  - definition of teaching and learning that includes different perspectives e.g.,
    - Faculty perspective: desire for lower student/faculty ratios, clarity around teaching for tenure stream appointments, smaller classes.
    - Student perspective: desire for professors to have stronger teaching skills, use of research in teaching, appropriate use of technology.
  - identification of and adherence to expected learning outcomes.
  - appropriate evaluation and institutional metrics.

Context: Drivers of change in Higher Education

- Recognize existing reality:
  - Perceived inferiority of teaching compared with research.
  - Complexity of institutions needs a multipronged approach to enhance T&L.
  - Technology is impacting how students learn, as well as what they need to learn as 21st century citizens.

- What are some actions taken in HE to deal with this existing reality?
  - Reward and value research into teaching and learning (SoTL).
  - Encourage adoption of active learning strategies, such as High Impact Practices (HIPs).
  - Provide <u>all</u> instructors with professional development to enhance teaching practice and expertise.
  - Encourage <u>quality</u> <u>enhancement</u> through the quality assurance process.
  - Prepare students intellectually in their discipline and for their future employment within and/or beyond academia.
  - Invest in infrastructure to sustain quality T&L.

Summary of relevant context:

There are numerous drivers for change regarding enhancing quality teaching <u>and</u> learning,

- Student retention issues contributes to loss of resources.
- Need for flexible provision of courses given our largely commuter campus.
- Need for experiential education opportunities given students' career goals.
- Desire to recognize and support evidenced based quality teaching and learning that supports access to education, transition in and through university, and disciplinary ways of thinking (i.e. signature pedagogies).
- Quality enhancement in degree programs (e.g., through high impact practices such as research opportunities, capstone projects) not just quality assurance.
- Need for a sustainable quality T&L infrastructure/eco-system.

RECOMMENDATIONS

1. Research, develop and implement pedagogies that support effective learning	2. Champion professional development programming with corresponding policy to support faculty members in delivering transformative learning experiences	3. Create a system that rewards, celebrates, and promotes quality teaching and learning	4. Foster and advance the relationship between research and teaching	5. Promote and support a student growth mindset and a sense of agency for high quality learning
1.1 Develop faculty members' expertise in teaching for learning. 1.2 Encourage use of universal design[5] to meet the needs of diverse learners. 1.3 Develop faculty members' understanding of promising practices that facilitate quality teaching and learning 1.4 Develop and promote high impact practices[4] (including but not limited to expanding on and off campus EE opportunities, research opportunities). 1.5 Determine and support a transition[3] framework. 1.6 Develop, support, and encourage use of signature pedagogies.[2] 1.7 Promote and support efforts to enhance digital literacy across the community. 1.8 Support and expand accessible and flexible curriculum delivery. 1.9 Guided by the quality assurance framework, we develop and use appropriate measurements of expected learning outcomes.	2.1 Promote good practice in course design (and assessments) that supports student learning. 2.2 Support, encourage, and engage professional development for faculty members (full-time, part-time, contract) and graduate students. 2.3 Where possible, integrate pedagogical and technical assistance into the teaching platforms (e.g. learning management systems such as Moodle) that instructors use day-to-day to facilitate just-in-time and "bite sized" assistance. 2.4 Create a community of learners with a growth mindset.[1] 2.5 Sustain a culture of engagement in academic development. 2.6 Encourage understanding of how a course contributes to and connects to a program. 2.7 Support, encourage, and engage faculty members (full-time, part-time, contract) to review their course each time they teach to ensure that when they teach a course it meets the needs of the program and students.	3.1 Create a culture that reinforces and values professional development. 3.2 Redefine quality teaching for Tenure and Promotion. 3.3 Provide incentives to encourage faculty in developing a teaching portfolio that aligns with expectations for Tenure and Promotion. 3.4 Celebrate within Faculties and pan-university quality T&L. 3.5 Advocate for consistent interpretation across Faculties of Tenure and Promotion guidelines ensuring quality teaching and learning. 3.6 Strengthen and build on the current system that rewards and recognizes teaching internally as well as externally (e.g. 3M T&L rewards. 3.7 Promote communication of quality T&L regularly (e.g., features in Y-File, Faculty websites/newsletters; brochures/documents used to advertise our programs, T&L awards events).	4.1 Determine and develop models/mechanisms for undergraduate research (a high impact practice) to occur that is supported by faculty members and that aligns with program learning outcomes and is mapped to courses, and/or can enhance opportunities for EE (community based research). 4.2 Advance engagement in the Scholarship of Teaching and Learning (SoTL) through the sharing of published research and the production and dissemination of research into teaching and learning at York. Incorporate discipline specific research activities in undergraduate courses. 4.3 Engage students in contributing to and using discipline specific research. 4.4 Encourage and support faculty to use research informed practices in their teaching.	5.1 Put structures in place in courses to enable and motivate learning. 5.2 Equip classrooms, learning spaces (including online environments) to support effective pedagogies and related learning activities. 5.3 Provide access to and support of effective learning technologies and selectively pilot promising new technologies that support effective pedagogies. 5.4 Clarify expectations and shared supports for student behaviors. 5.5 Investigate use of mechanisms such as learning analytics for early alerts and adaptive learning. 5.6 Define, develop, and implement a micro-credentialing [6] system and other means (e.g., portfolio, digital badges) of recognizing students' achievements, formal/informal learning, that takes place beyond courses. 5.7 Raise awareness about experiential education learning opportunities on and off campus. 5.8 In alignment with our EE strategy, support use of complements to direct instruction (i.e., simulation, gaming, and makerspaces[7]). 5.9 Increase & promote opportunities for students to have an international experience.

Definitions/citations used:

[1] Growth Mindset (Dweck, 2006) - refers to a belief that with effort there are qualities such as intellectual skills that can be cultivated.

[2]Signature pedagogies - disciplinary ways of thinking, understanding, practices, habits of mind (e.g., see Schulman 2005 or http://carleton.ca/viceprovost/assessment-of-learning/curriculum-mapping-design/signature-pedagogy/)

[3]Transition pedagogy – a guiding philosophy that is a holistic, multipronged (curricular design and co-curricular supports) intentional approach that scaffolds and mediates the first year learning experience in order to promote student success, examples of such a framework include Lizzio's 5 senses of success (2006), Wingate's (2007) learning to learn in higher education, or Kift (2009) available at http://www.uws.edu.au/__data/assets/pdf_file/0009/709749/Kift_09.pdf

[4] High impact practices (Kuh, 2008): hands on learning experiences, experiences interacting with Faculty and between students, collaborative projects, experiential education (such as Community based and community service learning, practicums) research based activities, capstone course/projects, learning about another culture or world view). e.g., see https://www.aacu.org/sites/default/files/files/LEAP/HIP_tables.pdf

[5] Universal Design – a set of design principles applied to curriculum development that gives all students equal opportunities to learn (see http://www.udlcenter.org/aboutudl/whatisudl).

[6]Micro-credentialing – e.g., a system/means of recognizing a particular accomplishment/mastery of a skill. It also could contribute to recognizing active learning, participating in experiential education, life long learning, and professional development (e.g., http://teachonline.ca/tools-trends/exploring-future-education/2016-look-future-online-learning-part-1 or https://campustechnology.com/Articles/2016/04/06/A-Digital-Badge-Initiative-Two-Years-Later.aspx?m=1&Page=2).

[7]"Makerspaces" - a physical or virtual location (e.g., in the libraries) where people gather to share resources and knowledge, work on projects, network, and build (see https://net.educause.edu/ir/library/pdf/eli7095.pdf or http://www.digitalpedagogylab.com/hybridped/constructionism-reborn/).

OUTCOMES

Since 2010, the white paper, university academic plan, academic and administrative task force report all make specific recommendations relevant to enhancing quality teaching and learning at York University. The white paper indicated that by 2020 “there will be a significant increase in opportunities for students to participate in an experiential education activity, both domestically and internationally, as a component of their degree program” (p12, benchmark #7). The white paper also proposed that York University will improve accessibility for students by significantly expanding online delivery of courses and programs as part of its efforts to enhance learning through the use of technology (p13, benchmark #10). Similar recommendations were outlined in the university academic plan (UAP 2010-2015, p9) which stipulates an expansion of experiential education opportunities, innovative and flexible curriculum delivery, support and recognition for instructors who are innovative in their teaching and learning, commitment to access to postsecondary education, and increased opportunities for international academic experiences. Support and enhancement of these recommendations also appeared in the Academic Administrative Program Review (AAPR) task force reports. In the reports it suggests that faculty members’ should have an opportunity to experiment --where appropriate-- with delivery methodologies and new academic content “where they improve academic quality or resource efficiency” (p29); it also suggests we should create “mechanisms to pilot, develop and test curricular or pedagogical innovations before they are proposed as new programs” (p. 29); and “strengthen coordinating infrastructure to support programs interested in creating more experiential learning opportunities, especially those which are work- or community-focused” (p34).

Finally, the UAP 2015-2020 identifies 7 priorities including one to enact the plan. Three of the priorities are of particular interest in the specific context of teaching and learning.

1. Innovative, quality programs for academic excellence
3. Enhanced Quality in Teaching and Student Learning
4. A Student-Centred Approach

Throughout the plan there is reference to the need to ensure “a high quality student learning experience, more personalized education for undergraduates and graduate students and improved retention” (p.7). Within the priorities there are commitments to actions that will have been completed by 2020. These include:

- ‘Enhancing innovation and quality including interdisciplinary content, research opportunities, and the clear articulation of learning outcomes’ (p7).
- York will have the ‘opportunity to establish itself as a leader in pedagogic innovation’ (p10)
- ‘Experiential component in every program’ (p10)
- ‘Expand technology enhanced learning including the number of courses, modules and programs available online or through blended learning’ (p 11)
- ‘Expand internationalization in the curriculum’ (p11)

- ‘Provide training and support for faculty members interested in incorporating experiential education, technology enhanced learning and other pedagogical innovation’ (p11)
- ‘Provide students with timely, relevant information about courses’ (p11)
- ‘Increase contact time between faculty members and students’ (p12)
- ‘See an increase in student satisfaction’ (p12)
- ‘Embedding mental health in the classroom’ (p14)

The plan concludes with the commitment that by 2020 ‘there will be tangible improvements in program quality, scholarly achievement and pedagogical innovation’ (p14).

Therefore, the institutional objectives are fairly clear in terms of enhancing various components of teaching and learning at York. There is a great deal of focus on experiential education, and technology enhanced learning; other than this, none of the documents defines what is meant by ‘quality’ teaching and learning. Nor do they suggest how to change the culture of T&L at York University given academic freedom and a unionized environment. Our recommendations have evolved from determining what a vision of quality teaching and learning could be given the context at York, in Ontario and in Higher Education and what some guiding principles could be in order to make decisions around developing and reinforcing an infrastructure/ecosystem for enhancing the quality of teaching and learning at York. They have the potential to be transformative.

IMPLEMENTATION: PROCESS FOR MOVING FORWARD

The work group took on the huge task of developing a vision, mandate, values and guiding principles for what is meant by *quality* teaching and learning at York. Although there are five overarching recommendations to help to reach that vision by 2020, each recommendation has a range of goals for a total of 37. Without having completed the consultations with a number of stakeholder groups it is difficult for our working group to narrow the focus of these recommendations, prioritize a few, and give specific timelines for those few. But in order to move this task forward we have proposed a rank order of the goals associated with each recommendation.

We are suggesting that now each Faculty take on the responsibility of conducting a more fulsome discussion with stakeholder groups (students, faculty members, teaching commons, learning commons representatives, information technology, etc.) regarding the vision, mandate, guiding principles for quality teaching and learning in order to see if the way they are written herein resonates with them. If not, then to recommend how they would edit them so that they do resonate with them. Then each Faculty should take on the responsibility of determining whether the 5 recommendations resonates with them, if not how would they change them, how could these recommendations impact the stakeholder groups, and determine how these stakeholder groups anticipate contributing to the successful implementation of the recommendations.

Therefore we are suggesting that the core responsibility and lead for these initiatives should be within the Faculty and facilitated by the office of AVP T & L and the Teaching Commons team.

TIMELINES

2016 Fall term

a) Each Faculty to set up a Quality Teaching and Learning work group, this may be new or drawn from an existing group such as a Teaching and Learning Committee, or a curriculum committee, etc. The group should reflect the relevant stakeholder groups e.g., tenure track and contract faculty, grad and undergrad students, Chairs and Program Directors, Associate Dean(s) or designate, Librarians/Learning commons representation, information technology, and educational developers. The work group should choose a chair amongst the membership to guide the work group through the process. We recommend that the AD in each Faculty who has teaching and learning and/or academics in his/her portfolio should be the anchor-person for the consultation/s. The Deans office should provide the administrative support for coordinating the workgroup and the consultations. The work group consults with as well as represents the wider community. The consultations would be especially useful if they included students and promoted a dialogue between instructors and students about the teaching & learning experience.
b) The work group will review the IIRP Quality Teaching and Learning vision, mandate, and principles with students and faculty members. The work group will determine if they resonate with the stakeholders, and if not provide suggestions for edits.
c) The work group will review the five recommendations, determine whether they resonate with them, how these recommendations will impact the stakeholder groups, and determine how these stakeholder groups anticipate contributing to the successful implementation of the recommendations.
d) The work group will review the goals associated with each recommendation, determine whether they resonate with them, if they do not resonate with them, they are to provide suggestions for edits. Then working with the edited goals, describe how these goals will impact the stakeholder groups, and determine how these stakeholder groups anticipate contributing to the successful implementation of the goals. The work group will prioritize their short term and longer term goals.

2017 Winter term

e) AVP T&L will collect feedback, will form a working group comprised of representation from each Faculty, and will create an operational plan describing a proposed set of actions for the goals/recommendations.

2017-2020

f) AVP T&L, TC, Faculties, UIT, Libraries, etc., act on recommendations.

METRICS FOR SUCCESS

The Faculty work groups will determine their own metrics for success, and these will include but are not limited to the following:

-Measures of student satisfaction (e.g., on the National Survey of Student Engagement) increase.

-Increased retention rates across Faculties and across the university.

-A target percentage (specified by each Faculty) of faculty members recognized for high quality teaching. This may be through the achievement of external awards, internal awards, showcasing of promising practices at teaching and learning conferences, and engagement in the Teaching Commons initiatives.

-A target percentage (specified by each Faculty) of faculty members engaged in SoTL (Scholarship of Teaching and Learning). This may be measured through engagement in the annual Teaching in Focus conference, publications in peer reviewed journals, presentations at teaching and learning conferences, including SoTL research in research awards, or development of a research award targeting SoTL.

-A target percentage (specified by each Faculty) of faculty members engaged in professional development for teaching. Each Faculty will need to specify the means of measuring engagement in professional development. One idea would be that each school/dept could choose to focus on determining evidenced based solutions to key issues that come out of a cyclical program review; or an academic unit might wish to implement SoTL research on key components outlined in this document and the other academic plans such as the First Year Experience, EE, elearning, etc. The Teaching Commons has an array of workshops already in place that could be the starting point for faculty members to have the opportunity to become familiar with some of the research on teaching, apply it to their context, and consider signature pedagogies, and begin to engage in SoTL.

- Favourable outcomes from course evaluations especially the responses to the Core Institutional Questions.

APPENDIX: Background

PROCESS FOR DEVELOPING RECOMMENDATIONS/REVIEW OF WORK DONE TO DATE

The original mandate of the Working Group was to “produce a report of recommendations based on the information gathered from the Faculties and relevant committees/bodies, such as the Teaching Commons, Senate ASCP. The recommendations are expected to focus on actions and resources to achieve the IIRP outcomes.”

Our modified terms of reference, agreed upon by our executive sponsors approved Feb 2016, outlined that before coming up with a set of recommendations for enhancing the quality of teaching and Learning at York University, we needed to describe our vision, our mandate and the principles that inform what we mean by quality Teaching and Learning. The five recommendations have evolved from reviewing the context at York, in Ontario, and in Higher Education, and align with our vision and values for enhancing quality T&L at York. At the very least, we hope our five recommendations will provide some clear talking points for Faculties to begin a deeper conversation about enhancing the quality of teaching and learning at York.

Therefore, our task has been to try to figure out how to

- Enhance and champion quality teaching and learning at York
- Share and build on existing good practices at York and in Higher Education (HE)
- Build on consultations previously done (e.g., UAP, AAPR, IIRP, white paper)
- Propose how to use available resources and/or develop necessary infrastructure

We began with 14 members but this membership dropped down to 12 fairly early in January as some previously interested members had to turn to other pressing responsibilities. The 12 member work group met for 1.5 hours every two weeks from January 11th to April 18th. We had representation from across the university including undergraduate and graduate students, full-time and contract faculty members, an educational developer, the Director of the Teaching Commons, representation from university information technology, and associate deans. They were as follows:

Susan Murtha, AD T&L, Health, Chair of the work group
Daniel Bacinello, Research officer, Science
John Bell, Contract Faculty, LA&PS
Mandy Frake-Mistak, Educational Developer, Teaching Commons
Ian Garrett, Assistant Prof, AMPD
Alison Halsall, Assistant Prof, LA&PS
Vladimir Martintsov, student Lassonde

Celia Popovic, Director, Teaching Commons
Peter Rowley, Director of Applications, VPF&A
Diane Woody, AD T&L, LA&PS
Sue Vail, former AVP T&L
Samahra Zatzman, graduate student, Education

Under the guidance of Suzanne Killick we developed and collectively endorsed a vision, mandate, four values that are developed into guiding principles, and five recommendations for enhancing quality T&L.

DOCUMENTATION/LITERATURE/RESEARCH CONSIDERED

Summary of what is known about enhancing the quality of teaching and learning in Higher Education (HE) and what are the drivers for change in Ontario and at York? Prepared for the IIRP Working Group Enhancing the Quality of Teaching and Learning at York by Celia Popovic, Mandy Frake-Mistak, Jon Sufrin

The overview that follows seeks to provide a snapshot response to this question from three aspects: 1.What is known about enhancing teaching and learning in HE in general, 2.The key drivers for change in Ontario, and 3.The key drivers for change at York University. This topic is vast: there is a great deal of research and commentary that could be included. This paper seeks to be representative of the broad issues and does not claim to be an exhaustive presentation of the changing landscape. That said it does provide a sense of the common issues across the sector and seeks to contextualize any response in terms of the specific opportunities and challenges at York University.

1. What is known about enhancing teaching and learning in HE?

The following is a selection from the available literature. It is not intended to be exhaustive. It concludes with a summary of the key issues.

1.1 Barr, R. B. & Tagg, J. (1995, November-December). From teaching to learning: A new paradigm for undergraduate students. *Change*, *26*(6), 12-25.
This oft-cited article argues that University pedagogy must shift its focus from an Instruction paradigm to a Learning paradigm. The former model privileges lecturing and passive learning, the new experiential education and student practice. Barr and Tagg argue that the “sage on the stage” model must change; it does not encourage student learning, but the awarding of degrees once a certain amount of class time has been completed. Rather, teachers should create “environments and experiences” that allow students to “discover and construct knowledge for themselves.” (15)
KEYWORD(S) active learning, student centered

1.2 Boyer, E. (1991). The Scholarship of Teaching from Scholarship Reconsidered: Priorities of the Professoriate. *College Teaching, 39*(1), 11-13.
Although this book was written over 40 years ago, it remains relevant in universities today. Boyer discusses many competing priorities of the university professoriate. Over all, he maintains that teaching is an important component of working within and for the institution. He views teaching not merely as a profession but as a form of scholarship. "When defined as *scholarship*, however, teaching both educates and entices future scholars" (p. 11). He articulates how teaching within the university can be undervalued (the invisible work of university teachers). Boyer states that *good* teaching means that faculty and scholars are also learners and that 'inspired teaching' helps to keep the scholarship alive.
He remarks on how little teacher training graduate student receive. Although he does identify that some may be given a course directorship, they may have very little experience going into this class, potentially being a negative experience for the graduate student as well as the students in the class. This opens up discussion for whether or not the classroom should be the training ground for future faculty.
KEYWORD(S) – SoTL, need for instructor and TA training - CPD

1.3 Chickering, A. W. and Gamson, Z. F. (1987). 'Seven principles for good practice in undergraduate education', AAHE Bulletin, 39:7, 3-7
In a nutshell Chickering and Gamson argue that 'good practice in undergraduate education:

1. Encourages contacts between students and faculty.
2. Develops reciprocity and cooperation among students.
3. Uses active learning techniques.
4. Gives prompt feedback.
5. Emphasizes time on task.
6. Communicates high expectations.
7. Respects diverse talents and ways of learning'. (p 3).

KEYWORD(S) Student centered active learning

1.4 Elton, L. (2009). Continuing professional development in higher education: The role of scholarship of teaching and learning. *Arts and Humanities in Higher Education, 8* (3), 247-258.
Elton argues that teaching should be subject to scholarship the same as any other discipline. His suggestion is twofold—first, CPD (continuing professional development) has to be an ongoing process required of all, and second, there should be some post-graduate degree work on the Scholarship of Teaching and Learning (SoTL) both in itself as a discipline and as a set of best practices. SoTL is the study of teaching and learning in HE.

KEYWORD(S) CPD and SoTL

1.5 Felder, R. and Brent, R. (1999) 'How to Improve Teaching Quality', *Quality Management Journal,* 6:2, 9-21.
Felder and Brent critique Quality Assurance as a driver for change in universities. While they seem critical of the approach at a general level they argue for ways in which this may enhance teaching at the individual course level. They define good teaching as 'instruction that leads to effective learning, which in turn means thorough and lasting acquisition of the knowledge, skills and values the instructor or the institution has set out to impart.' (p 10). They suggest the following leads to improved teaching: writing instructional objectives (learning outcomes in today's language), using active learning in class, and using co-operative learning (group work). They promote the use of assessment and evaluation to measure teaching quality, not just end of course student evaluations.
KEYWORD(S) QE rather than QA plus active learning

1.6 Frake-Mistak, M. (2014). Teaching within a Consumer Model of Higher Education. Canadian Journal for New Scholars in Education, 5(1).
The political economy of higher education has transformed our ways of thinking about knowledge, teaching and learning, and labour relations. As students are increasingly seeking to attend a university that, they perceive, will offer them the best entry point into the global market place, the work of university teachers is transforming. This is a critical discussion of sociological aspects of consumerism in higher education and highlights notions that feed our current conceptualization of consumerism. The author articulates a number of critical consequences of teaching to a consumerist ideology. These findings suggest that numerous pedagogical strategies have been implemented in response to the current political economic climate of higher education, and that curriculum has become increasingly responsive to stakeholders in higher education as well as the strategic positioning of programs within the institution and the global labour market. This discussion is framed by a discourse of labour relations.
KEYWORDS Consumerist model, students as future employees

1.7 Frake-Mistak, M. (2008). Quality education and the marketplace: An exploration of neoliberalism and its impact on higher education, Brock Education, 18.
There is a divide between those who view the primary role of the university as a teaching institution and those who perceive the university as a primary place to complete research. This philosophical divide brings into question the quality of education received by students. Specifically, what is the impact on students if within the institution, teaching is a part of a faculty member's workload, but research is their primary focus? Considering this conflict between teaching and research in higher education, the quality of education becomes questionable. This paper explores issues of neoliberalism resulting in a greater demand for the completion of research in higher education institutions. Furthermore, the imperialism of higher education leading towards the demand for more research, the teaching versus research nexus within universities, and discussion of how these theories impact international students is examined.

KEYWORDS – Research vs Teaching divide, quality teaching, international students

1.8 Gibbs, G. (2010) *Dimensions of Quality*. York: Higher Education Academy
In this discussion of what constitutes quality, Gibbs argues that "what best predicts educational gain is measures of educational process" (p4). By this he means the use institutions make of resources (time, people, buildings etc.) that impact on student learning. He suggests the number of contact hours is less important than what happens in class (or online) and the amount of direction and supervision that students have in their independent study time. He also draws on research to show that instructors, who have qualifications in teaching such as from attending courses at their Teaching Commons equivalent, are more highly rated by students than those who do not. Other factors that impact on quality include the culture in a department regarding whether or not teaching is valued and rewarded or if there is support for teaching innovations and sharing of good practice.
KEYWORDS Infrastructure, quality teaching, CPD

1.9 Giroux, R. (2004). Enrolment demand versus accessibility at Canada's universities. *The Canadian Journal of Higher Education, 34*(1), 83-96.
Giroux argues that there has been a shift from public to private funding with no net gains to universities. Giroux identifies two components to this capacity challenge. 1) Universities need more teachers. 2) They need more classroom and lab space. This means that many new faculty need to be hired and new facilities built. These restrictions coupled with increasing enrolment rates has impacted Canada's world ranking such that it has dropped significantly. Giroux comments on the need to sustain and increase quality education experiences such that Canadian universities are required to provide the education needed for a global future: active and collaboration in learning, high quality interactions between students and faculty, international perspectives. He suggests that this can be achieved through the hiring of new faculty, outreach and mentoring programs, programs for first-year students to ease the transition, and academic counselling services.
KEYWORDS Infrastructure, active learning, Transition pedagogy

1.10 Gosling, D. and D'Andrea V-M, (2001) 'Quality Development: A new concept for higher education', *Quality in Higher Education*, 7:1, 7-17
This paper provides an insight into the effect of quality assurance processes on the improvement of teaching and learning. The authors argue that quality assurance alone is likely to be treated as a check box exercise and not lead to meaningful improvement in quality. They suggest instead that '"the quality of students experience of higher education can more effectively be improved by combining educational development with quality assurance to create a more holistic approach" (p7). They provide examples to illustrate their argument, which hinges on a focus on quality enhancement, in other words finding ways to improve the quality of the learning experience, not just check that it has met a particular threshold.
KEYWORDS Quality enhancement combined with educational development

1.11 Kuh, G. D. (2008) 'High-impact educational practices: What are they, who has access to them and why do they matter?' Washington D.C.: AAC&U
George Kuh has identified some key activities that research shows have a beneficial impact on students from a range of backgrounds. These HIPs (High Impact Practices) are measured by the NSSE survey. They are all forms of active learning and comprise the following:

- First year seminars and experiences, providing students the chance to interact with faculty in small groups.
- Common intellectual experiences, which encourage students to see themselves of a community of learners, rather than isolated individuals, e.g. having a core of required courses.
- Learning communities, encourage integration of learning across courses, e.g. an interdisciplinary approach to an overriding topic or question.
- Writing intensive courses which require students to write in different styles and for different audiences have been shown to be effective in developing critical thinking skills, literacy and communication.
- Collaborative assignments and projects help students to learn to work with others and result in deeper learning than is commonly achieved with individual work. Examples include study groups and research projects.
- Undergraduate research engages students in the practice of the discipline and has been shown to result in deeper learning and increased engagement.
- Diversity/Global learning includes courses and programs that require students to understand a culture or world view that differs from their own. This may or may not involve study abroad.
- Service Learning or Community Based Learning involves students in working with the community, applying their learning and reflecting on their learning.
- Internships enable students to work in a field related to their study, and gives them the benefit of coaching from professionals which combines with the knowledge learnt in the course.
- Capstone Courses and Projects take place towards the end of the degree and require the student to integrate and apply their learning from across the whole experience.

KEYWORDS – High impact practices

1.12 Micari, M., Light, G., Calkins, S., & Streitweiser, B. (2007). Assessment beyond performance: Phenomenography in educational evaluation. *American Journal of Evaluation, 28*(4), 458-476.
In order to meet ever-growing demands of accountability in higher education, postsecondary institutions and programs have relied on quantitative assessments on performance (i.e. standardized testing). The authors present a dichotomy between the measurement of performance and the goals of education and illustrate an educational evaluation model – one which would reveal how learners think and measure changes in

their thinking over time – and demonstrate how it can be utilized as an evaluation of programs which promote learning. The authors have used 2 case studies: 1) Student approaches to learning in a peer-led small-group workshop program; 2) Faculty approaches to teaching in a faculty development program; based on phenomenography. They argue for the need for flexibility in teaching provision to cater for a diverse student body. They conclude that faculty development programs can have a significant impact on student learning when they lead to a shift from teacher-focused to learner-focused approaches.
KEYWORDS – Evaluation and assessment, CPD

1.13 Michael, J. (2006). Where is the evidence that active learning works? *Advances in Physiology Education, 30*(4), 159-167.
Michael's review of the literature on active learning methods that are discovery or inquiry-based work provides a compelling argument to support their efficacy in creating meaningful learning experiences across disciplines and levels of study. High Impact Practices are examples of active learning methods. He argues that not only do these methods lead to a better understanding of the course but they also equip students to be problem solvers and critical thinkers after they graduate, better able to apply their learning and to be life-long learners than those students who are not exposed to these methods.
KEYWORDS – Active learning methods (HIPS)

1.1 4 Nixon, J., Marks, R., Rowland, S., & Walker, M. (2001). Towards a new academic professionalism: A manifesto of hope. *British Journal of Sociology of Education, 22*(2), 227-244.
The authors of this paper aspire to create a new attitude or new kind of professional ethic in response to ongoing changes in higher education. These changes are affecting organizational structures, traditional practices, and public perception of those who work within it, and have led to the restructuring of course curriculum to meet student needs. Examples include: large classroom based lectures, distance education, use of instructional technology, peer-teaching, increased group work within classroom sessions. They suggest there is an emphasis placed on self-regulated learning which leads to more formative evaluation procedures and a decrease in student-teacher interaction. The restructuring has resulted in an increase in contract or part time faculty as teachers at the same time as a privileging of research as a key priority for tenure track faculty. The increased classification of university teachers is being enforced through the development of teaching-only contracts, differentiated pay scales, and so on. As such, the identity of university teaching is continuously being redefined.
KEYWORDS – Teaching vs research, contract faculty and alternate stream appointments

1.15 Pilkington, R. (2016) 'Chapter 4 Supporting continuing professional development (CPD) for lecturers', in Popovic, C. and Baume, D. (2016) *Advancing Practice in Academic Development*, London: Routledge

Pilkington argues that CPD is important 'as broader participation, marketization and consumerist expectations are changing the nature of HE teaching and learning practice and environments' (p52). She outlines a number of models and examples of ways in which faculty may be engaged and supported in their continuing professional development as university teachers.

KEYWORDS CPD, change in HE

1.16 Popovic, C. and Plank, K. (2016) 'Chapter 13 Managing and Leading Change: models and practices', in Popovic, C. and Baume, D. (2016) *Advancing Practice in Academic Development*, London: Routledge

Popovic and Plank offer a range of models for effecting change in universities. They acknowledge the need for diversity to account for different aims and situations. The five models they describe, with examples are: 'grass roots, Faculty-led, strategic, community building and research-based' (p.207).

KEYWORDS Change management

1.17 Sims, E. and Beaton, F. (2016) 'Chapter 7 Supporting part-time teachers' , in Popovic, C. and Baume, D. (2016) *Advancing Practice in Academic Development*, London: Routledge

Sims and Beaton point to the worldwide increase in the role of contract faculty as university teachers. They recommend that this group, which they define as including TAs, visiting experts and contract or sessional faculty, be supported in their professional development as teachers. They argue that often this group does not avail itself of the courses and workshops offered by units such as Teaching Commons, but this should be addressed to ensure they are welcomed and rewarded for taking up such opportunities.

KEYWORDS Contract faculty, CPD

1.18 Laurillard, D. (2012) *Teaching as a Design Science: Building Pedagogical Patterns for Learning and Technology*, London: Routledge

Laurillard has written extensively on the use and impact of technology in teaching and learning. In this text she talks about the shift from classroom teaching to personalized learning, and making learning more productive. She sees this as a shift that needs to take place and is already happening. For Laurillard, teaching is a process of engaging people in activities not just one of telling them things. She has evidence that the current and future generations of students learn best, and expect to engage in, learning through discussion, practice, collaboration and production. She shows how learning technologies can be harnessed to enable all four. For example teachers share their concepts with learners, so that they become the learners' concepts, through processes of inquiring, acquiring and producing. Learners develop their acquisition of these concepts through discussion with peers. Laurillard suggests that inquiry, acquisition and production can be enabled through tools such as podcasts, web resources and

captioned video, while webinars or online forums can enable peer discussion at any time and in any place, not restricted to a fixed time and place as is traditionally the case with class sessions.
Keywords: student learning, technology

1.19 Beetham, H. and Sharpe, R. (2013) *Rethinking Pedagogy for a Digital Age: Designing for 21st Century Learning*, (2nd ed.) London: Routledge
Beetham and Sharpe discuss the mutual nature of the relationship between pedagogy and technology. They argue that as technology develops so too must the approaches used for teaching and learning. Technology not only enables the adoption of different pedagogic approaches, but it also changes the relationship between learner and teacher and the way that both learning and teaching occurs. Beetham and Sharpe observe that often technology is presented as a means to teach better while using traditional methods. They argue instead that technology presents opportunities to bring about a wholesale change in approach. The medium is no longer restricted to text, sound and audio are easily harnessed by teacher and student alike. Knowledge creation is a process that involves students as co-producers and teachers as co-learners. For many university teachers this may present a challenging new approach.
Keywords: student learning, student as producer, technology

1.20 Smyth, K., MacNeill, S. and Hartley, P. (2016) 'Chapter 8 Technologies and academic development', in Baume, D. and Popovic, C. *Advancing Practice in Academic Development*, Routledge
Smyth, MacNeill and Hartley present a number of models designed to assist in the integration of technology in teaching. They argue that not only is it necessary to make use of technology in our teaching, but it is also our responsibility to equip students to be digitally literate. They challenge the notion that young people are naturally more adept to use technology than older generations, arguing that the situation is nuanced. Some students are more able than others, and knowledge and ability is often limited to particular aspects and devices. In common with Laurillard and with Beetham and Sharpe they chart the move from the use of technology to impart information towards a far more collaborative process using 'online technologies as spaces to facilitate collaboration, cooperation and content creation on the part of our learners' (p 127).
Keywords: student learning, students as producer, technology, digital literacy

Summary:
There are many global issues affecting Higher Education. These include 'massification' of HE resulting in students with more diverse needs than in the past and the concomitant need to address those needs. Students tend to regard a degree as a requirement, indeed a passport to employment. Research is rewarded more obviously than teaching in many institutions. Course instructors are rarely trained as teachers. Research into teaching and learning provides evidence that active learning approaches lead to more effective learning than traditional teacher centered passive learning. The combination of these factors leads to the recommendation that institutions:

- Address the perceived inferiority of teaching compared with research, including by rewarding research into teaching and learning (SoTL) in the same way as discipline based research (1.2, 1.4, 1.6, 1.14).
- Encourage teachers to adopt active learning strategies, such as HIPs, based on SoTL literature (1.1, 1.3, 1.9, 1.11, 1.13).
- Provide teachers with CPD regardless of status (contract or tenure track) to enhance teaching practice and expertise (1.2, 1.4, 1.8, 1.12, 1.15, 1.17).
- Use the QA process to encourage QE (quality enhancement) (1.5, 1.10).
- Prepare students not only to be part of their discipline but also for their future employment within or beyond academia (1.6).
- Invest in the infrastructure required to support quality teaching and learning (1.8, 1.9).
- Acknowledge the complexity of institutions and utilize multiple change mechanisms to improve the quality of teaching and learning (1.15, 1.16).
- The use of technology is impacting on how students learn, as well as what they need to learn as 21st century citizens (1.18, 1.19, 1.20).
- There is an increasing emphasis on the student as producer of knowledge, not as consumer (1.19, 1.20).

2. What are the key drivers for change in Ontario?
Higher Education in Canada is devolved to Provinces. This is unusual compared to many western countries. Ontario has taken the lead compared with other Canadian Provinces in requiring a quality assurance process for Universities and Colleges. The following is a summary of a range of papers and documents that outline the history of this process. We then present views from faculty and students to provide a range of perspectives.The key drivers for change are the massification of higher education increased class sizes, employability expectations, employer expectations and a desire for a return on investment by the provincial government.

2.1 Requirement of the Quality Assurance (QA) process in Ontario
Canadian education systems are regulated by the provinces. There is no national or federal level department of education co-ordinating education across Canada. The Council of Education Ministers, Canada (CMEC), made up of the provincial and territorial Minsters of Education, does not have executive decision-making authority over the nation's education (only their own province). The Postsecondary Education Quality Assurance Board (PEQAB), in Ontario, is an agency board and commission of the Ontario provincial government. It functions as an advisory agency that makes recommendations to the Minister of Training, Colleges and Universities (MTCU) of Ontario on applications for ministerial consent as outlined under the terms of the Post-secondary Education Choice and Excellence Act, 2000.

In 2006-07 the Council of Ontario Universities commissioned a former Chair, Dr. Richard Van Loon to do a comprehensive analysis of OCGS procedures. The Ontario

Graduate Program Appraisal Review recommended "...a major overhaul of the quality assurance process in Ontario's universities" (Van Loon, 2007, p. 5). Consequently, one single quality assurance body, now known as the Ontario Universities Council on Quality Assurance (OUCQA), emerged for the oversight of both the undergraduate and graduate levels of education (OUCQA, 2010). OUQAC is the provincial body responsible for assuring academic quality and accountability. The work of the Quality Council is supported by an Appraisal Committee and Audit Committee.

Under the Quality Assurance Framework, Ontario institutions have undertaken to devise and execute their own Institutional Quality Assurance Process (IQAP) (OUCQA, 2010). IQAPs are at the core of the quality assurance process. In addition to the Quality Council Audit that will take place every eight years, each university will conduct a review. Each university has been required to develop and implement their own IQAP – at York we refer to this document as the YUQAP. Universities were asked to customize their own policies that would not only fit with their mission statements and protocols of the QAF, but also with UUDLEs. The last date for submission of a new program proposal was December 31, 2010 (Woolcott, 2010). Once the IQAP was approved by the Quality Council, each university was free to begin its own periodic review.

2.1.1 OCUFA Research Paper (2006). The measured academic: Quality controls in Ontario universities, 1-26.

The authors of this paper suggest that two challenges lie in the governments' hands. The first is to reach a common definition of quality. From a faculty perspective, it is suggested that issues surrounding student-faculty ratios, new tenure stream appointments rather than part-time hires, and adequate resources are what constitute quality in higher education. The second challenge is for the government to ensure that accountability measures are exercised through a process that cedes quality enhancements, not just an increase in accounting bureaucracy. This should be a collaborative effort including administrators, faculty, students, staff, and government. OCUFA recommends that the use of key performance indicators and indicator driven funding be eliminated because they fail to monitor both quality and quality improvements. For example, they argue, graduation rates should not be seen as an indicator of quality because they do not provide an accurate understanding of the individual's experience in post-secondary education. Instead this emphasizes market outputs rather than the actual education of the student. They argue for the hiring of more tenure stream professors to address the issue of large class sizes. Finally, OCUFA recommend that measures should focus on quality education and be designed to weigh student satisfaction with education and faculty concerns about quality.
KEYWORDS Quality assurance and enhancement, infrastructure

2.1.2 Marshal, D. (2004). Degree accreditation in Canada. *The Canadian Journal of Higher Education, 34*(2), 69-96.

Marshall provides insights and a brief historical overview of (past and current) challenges faced by universities and colleges. With an increased demand for access, the provincial governments were able to award approval of degrees offered in non-university settings. Although each province and territory has control over their own educational system, federal government has involvement in manpower training, research, student aid, and innovation strategies. Each province developed a unique procedure regarding the approval of new institutions and credentials. Marshal suggests a need for Canada to have a strong national presence in defining a Canadian 'standard of practice' in PSE.

This policy meant that by 2000 there was a proliferation in the range of degrees in Canada. Consumers, the workplace, and graduate schools had to distinguish between private degrees, distance degrees, faith-based degrees, applied degrees, and the more traditional, public university undergraduate degrees. Marshal suggests that this has led to a number of trends: one must look at the institution (not the degree) in order to determine the value of the credential; tiering will become more explicit as different types of institutions offer degrees; AUCC will become more strict regarding the importance of standards of practice; boundaries of what constitutes a degree-granting institution will be established; those institutions that fall outside of the standards of practice will be forced to develop their own professional group and standards; competition for graduate studies will increase; may have to recognize the role of private university degree-granting institutions.

KEYWORDS Quality, Provincial vs Federal oversight, differentiation

2.2 Ontario Stakeholder Perspective

2.2.1 Madden, S., Rose, Z. (2015) *Those who can, Teach: Evolving Teaching and Learning Strategies in Ontario's Universities*. Toronto: Ontario Undergraduate Student Alliance

This review of the Ontario landscape from the perspective of students provides insight into four key areas: Training of faculty; Faculty complement; Pedagogy and Learning Outcomes. They recommend that faculty should be supported with resources and strategies to develop as strong teaching skills, and there should be an increase in research into teaching (otherwise known as SoTL – Scholarship of Teaching and Learning). They caution against an increase in contract faculty recommending instead that universities convert contracts into alternate stream appointments. They counsel for an inquiry into new forms of teaching including the appropriate use of technology and a partnership between universities, students, teachers and prospective employers. Finally they state that 'some learning outcomes, evaluations and performance measures for students, faculty and universities can be used to improve the experience of education for all' (p 6).

KEYWORDS CPD, infrastructure, learning outcomes

2.2.2 Wai, Joyce, Read Leask, and Spencer Nestico-Semianiw*, Policy Paper: Teaching and Assessment*. Toronto: Ontario Undergraduate Student Alliance, 2015

This review of teaching and assessment at Ontario universities identifies the following issues and recommendations. The issues are identified as ineffective assessment,

limited focus on teaching and inconsistent outcomes. The authors' recommendations are to reimagine student assessment, prioritize teaching excellence and articulate learning outcomes.
KEYWORDS Assessment of learning, teaching, learning outcomes.

2.2.3 Lemmond, J. Faculty Engagement in Educational Development, A discussion paper for the FEED SummitMcMaster University, October 2013
The FEED summit that took place in 2013 drew together stakeholders from across Ontario institutions to discuss faculty needs for professional development, and to explore questions around teacher training courses for faculty, support of TAs and contract faculty. This paper was prepared as a discussion document before the event. The author quotes the Auditor General as saying 'To help ensure that all faculty members provide effective classroom instruction, universities should work with faculty to encourage greater participation in professional development activities and implement procedures to ensure that faculty who would benefit from additional teacher training are formally encouraged to participate in these activities. The paper asks questions such as:

- Why are TAs given the responsibility of assessing student learning despite having little training?
- Can we shift the culture to one that values teaching in a similar way to research?

KEYWORDS: CPD/Teacher Training, research vs teaching

2.2.4 Fenlund, C., Lively, T., Wai, J. and Bedi, J. Policy Paper: Online learning. Toronto: Ontario Undergraduate Student Alliance, 2016
This policy paper written from the students' perspective argues that some of the primary drivers behind online courses should be convenience and accessibility and not focused on financial concerns. The authors include in their list of suggestions that the Ontario Council for Quality Assurance should developer indicators for quality online learning, grants should be available for students who lack access to essential technology requirements, instructors should only use technology and software necessary for students to achieve their expected learning outcomes, and the government should provide funding for institutions to develop secure online assessment technology.

Summary:
Institutions in Ontario face some specific challenges. The Government has mandated a quality assurance process that requires, among other things, the identification of learning outcomes. The quality process is not as yet fully adhered to by all institutions. There is some recognition of a need or desire for teaching skills support for teachers. Students', through their associations are making demands for high quality teaching and learning. Various groups within universities are exploring the pros and cons of teacher training for all levels of instructors.

- Quality assurance and quality enhancement (2.1.1, 2.1.2, 2.2.4)
- Provision of teacher training and or support for all who teach in Ontario universities (2.2.1, 2.2.3).

- Use of learning outcomes to help structure programs and courses (2.2.1, 2.2.2, 2.2.4).

3. What are the key drivers for change at York?

There are several sources we could include in this section, but for the sake of brevity we have referred back to the original Draft Terms of Reference for the working group, various key documents, and information about our students.

3.1 Draft IIRP- Working Group on Enhancing the Quality of Teaching and Learning – Terms of Reference

The preamble for the initial draft for this group's terms of reference state that:
'Excellence in teaching and learning consistently emerges in student surveys as a top factor in decisions about where students choose to go for their higher education as well as their success once they get there. For York, with its diverse student population, commitment to access, and student mobility, flexible learning options are also important. Enhancing the quality of teaching and learning, with attention to opportunities for pedagogical innovation and/or signature pedagogies, holds significant promise for not only contributing to the student learning experience, but also differentiating York and enhancing its reputation.

The White Paper, University Academic Plan, task force summaries identify pedagogical innovation as a key priority. Through the efforts of individual faculty members, Faculty-based teaching and learning initiatives, and centrally-led planning, significant progress has already been made in relation to several aspects of teaching and learning, in particular eLearning (e.g., online and blended programming) and experiential education (e.g., community based learning and internships). However, progress is uneven.

Extracts from key institutional documents:

University Academic Plan 2010-2015 (p. 9)

Over the next five years, our commitment to academic quality, student success, and engagement and outreach in relation to teaching and learning will be demonstrated by:

- Expanding experiential learning opportunities available to students at all levels (including co-op, internships, community-based learning, problem-based learning, etc.)
- Supporting innovative and flexible curriculum delivery through online and hybrid courses, as well as other elements of technology enhanced learning
- Recognizing and supporting innovation in teaching and learning, and providing support and recognition for instructors – full-time faculty members, contract faculty members, and teaching assistants
- Affirming and expanding of our leadership in curriculum delivery modes, including day, evening, weekend and online learning for graduate and undergraduate, full-time and part-time, traditional and non-traditional students, as keys to enhancing the student experience and supporting our commitment to access to post-secondary education

- Recruiting top-flight secondary school graduates and non-traditional students with high academic potential
- Increasing opportunities for students to have international experiences as part of their academic programs and

White Paper

- Over the next decade, there will be a significant increase in opportunities for students to participate in an experiential education activity, both domestically and internationally, as a component of their degree program. (p. 12, benchmark #7)
- York University will improve accessibility for students by significantly expanding online delivery of courses and programs as part of its efforts to enhance learning through the use of technology. (p. 13, benchmark #10)

Academic Task Force Report

22. Encourage faculty experimentation with new academic content as well as digital, technology enhanced and blended learning methodologies, in appropriate contexts where they can improve academic quality or resource efficiency. (page 29)
23. Create mechanisms to pilot, develop and test curricular or pedagogical innovations before they are proposed as new programs. (page 29)
27. For high-demand curricular programs with clear plans to innovate and improve quality, address the need for additional faculty resources whether through appointments or reorganization of existing resources. (page 33)
28. Examine the potential benefits and risks of diversifying teaching capacity with alternate stream appointments and practitioner instructors, especially where programs express an interest. (page 33)
29. Strengthen coordinating infrastructure to support programs interested in creating more experiential learning opportunities, especially those which are work- or community-focused. (page 34)

Administrative Task Force Report

6. The Task Force recommends that as Experiential Education is a high strategic priority for the University, determination of the best service configuration for the administrative support for this priority should begin immediately. The strength of leadership, vision and energy related to this priority suggests that moving quickly to assess the necessary infrastructure could inform other efforts in constructing collaborative service models.

University Academic Plan 2015 to 2020

The UAP identifies 7 priorities including one to enact the plan. Three of the priorities are of particular interest in the specific context of teaching and learning.

Priority 1: Innovative, quality programs for academic excellence
Priority 3: Enhanced Quality in Teaching and Student Learning
Priority 4: A Student-Centred Approach

Throughout the plan there is reference to the need to ensure ‘a high quality student learning experience, more personalized education for undergraduates and graduate students and improved retention’ (p.7). Within the priorities there are commitments to actions that will have been completed by 2020. These include:

- ‘enhancing innovation and quality including interdisciplinary content, research opportunities, and the clear articulation of learning outcomes’ (p7).
- York will have the ‘opportunity to establish itself as a leader in pedagogic innovation’ (p10)
- ‘experiential component in every program’ (p10)
- ‘Expand technology enhanced learning including the number of courses, modules and programs available online or through blended learning’ (p 11)
- ‘Expand internationalization in the curriculum’ (p11)
- ‘Provide training and support for faculty members interested in incorporating experiential education, technology enhanced learning and other pedagogical innovation’ (p11)
- ‘Provide students with timely, relevant information about courses’ (p11)
- ‘Increase contact time between faculty members and students’ (p12)
- ‘See an increase in student satisfaction’ (p12)
- ‘embedding mental health in the classroom’ (p14)

The plan concludes with the commitment that by 2020 ‘there will be tangible improvements in program quality, scholarly achievement and pedagogical innovation’ (p 14).

3.2 Overview of demographics of York students from a Powerpoint presentation developed by the Division of Students, March 2016

This presentation (available in YU Link, My sites) gives an overview of the demographics of York students. Just over half of students are direct GTA high school entrants (54.4%) with another 5.2% from other high schools. Over 20% attended college or other universities before coming to York and over 15% are international. 67% of our students are on OSAP, compared with a provincial average of 58%. 24% of our students are first in their family to attend university and over a third do not regard English as their first language. There is a higher female than male ratio - Undergraduates (57.95 : 42.05%), Graduates (55.66 : 44.34%), Mature (59.3 : 40.7%). 24% of international students are from China. Our student body is diverse with citizenship from 178 countries. Among graduate students 70% are from Toronto and the surrounding area.

What are the challenges?

- Just 7% of students live on campus, and while proportionally more first year students live in residence at 25% this compares with 48% of first years at other Ontario universities
- Lengthy commute times – 57% commute at least 40 minutes each way
- Students spend little time on campus, 42% of first years spend less

than 5 hours on campus per week outside of class time
- Students have paid work – 45% of first year students report taking paid work off campus for an average of 16 hours per week, and 61% of senior year students report taking paid work off campus for an average of 18 hours per week.

What is the impact of these challenges?
Our students report the following difficulties, compared with student at other Ontario universities:
- Academics, 2% higher (61% compared to 59%)
- Finances, 8% higher (44% compared to 36%)
- Career related issues, 7 % higher (40% compared to 33%)
- Sleep difficulties, 4% higher (37% compared to 33%)
- Family problems, 6% higher (37% compared to 31%)
- Intimate relationships, 2% higher (34% compared to 32%)

Students are at higher risk of leaving before graduating than other students if he or she:
- Do not hold **realistic expectations** about what university will demand of them (academically, financially).
- Do not hold the necessary skills for university academics
- Do not understand ethical and social expectations
- Feel isolated from or pulled away from university communities
- Is unwilling to speak up or does not know how to access required assistance
- Feels that studies at York do not relate clearly to personal interests, life aspirations, or career goals.

Summary:
There are numerous drivers for change regarding our students.
- Student retention, attrition means loss of resources and possibly reputation
- Need for flexible provision given our largely commuter campus
- Need for experiential education opportunities
- Desire to recognize and support pedagogical innovation
- Recruitment of top-flight students, raising the incoming GPA
- Quality enhancement not just assurance
- Development of an appropriate infrastructure.

COMMUNITY CONSULTATION

By the submission date of this document we had not completed consultation with all of our stakeholder groups. We have met with the chairs of the IIRP working groups for Quality Academic Programs, Technology Enhanced Learning, Experiential Education, and Advising. We have consulted with Deans, Associate Deans, and with senate ASCP, and incorporated their feedback into the recommendations/goals. It is important that for moving forward each Faculty now take on the lead of consulting with faculty members and students regarding the vision, mandate, guiding principles, recommendations, and goals.

The working group was asked to target a few recommendations/goals we could work on during the 2016/2017 academic year. Goals we think would make a difference in enhancing the quality of Teaching and Learning at York. We would suggest that for each recommendation enacting actions to achieve the first two goals listed would go along way towards helping to shape the discussion about quality teaching and learning within Faculties. Next you will find on the final pages of this document a table indicating actions to be taken to accomplish these goals, responsible party, dependencies, and outcomes.

Five recommendations with two goals each that in the short term could make a difference for Quality Teaching and Learning

Recommendation 1: Research, develop and implement pedagogies that support effective learning

Goal	Action	Responsible party	Dependencies	Time line	Outcome
1.1 Develop faculty members' expertise in teaching for learning	1.1.1. Faculty members become familiar with a few key resources (e.g., see appendix for a number of references such as Barr and Tagg 1995, Chickering and Gamson 1987, etc) on how students learn and how the demographics of our students impacts how they learn.	Faculty leadership team, Chairs and Directors.	Faculty members, Teaching Commons	2016-2017	Faculty members participate in a discussion in person or online facilitated by the Teaching Commons to probe how the ideas in those resources intersect with what we know about the York student demographic.
1.2 Encourage use of universal design (a set of design principles applied to curriculum development that gives all students equal opportunities to learn) to meet the needs of diverse learners.	1.2.1 Teaching commons develops a Scoop sheet that acts as a checklist for incorporating universal design	Faculty leadership team. Chairs and Directors.	Faculty members, Teaching Commons	2016-2017	Courses redesigned using universal design principles.

Recommendation 2: Champion professional development programming with corresponding policy to support faculty members in delivering transformative learning experiences

Goal	Action	Responsible party	Dependencies	Time line	Outcome
2.1 Promote good practice in course design (and assessments) that supports student learning.	2.1.1 publish biweekly in Y-file examples of good curricular design in practice	Faculty Leadership team, Chairs and Directors.	Faculty members, Teaching Commons	2016-2017	# hits increase on Y-file stories about teaching.

2.2 Support, encourage, and engage professional development for faculty members (full-time, part-time, contract) and graduate students.	2.2.1 Faculties hold annual Teaching and Learning workshops (e.g., focusing on determining evidenced based solutions to key issues that come out of a cyclical program reviews).	Faculty Leadership Team, Chairs and Directors.	Faculty members, Teaching Commons.	2016-2017	Attendance up at professional development workshops.

Recommendation 3: Create a system that rewards, celebrates, and promotes quality teaching and learning

Goal	Action	Responsible party	Dependencies	Time line	Outcome
3.1 Create a culture that reinforces and values professional development.	3.1.1 Chairs and Directors encourage engagement in initiatives offered by Teaching Commons and/or the Faculty. 3.1.2 in the standard CV a professional development category under Teaching is added.	Chairs/ Directors	Teaching Commons, faculty members	2016-2017	Engagement of faculty in local and/or Teaching Commons events/initiatives. Professional Development category added to CV.
3.2 Redefine quality teaching for Tenure and Promotion.	3.2.1 Each program undertakes a discussion on defn of quality Teaching and Learning for T&P. 3.2.2 Senate T&P facilitate or offer suggestions/ guidelines for these discussions.	Faculty, T & P committees	Chairs/ Directors, Faculty members, Senate committee.	2016-2017	Quality teaching for Tenure and Promotion defined.

Recommendation 4: Foster and advance the relationship between research and teaching

Goal	Action	Responsible party	Dependencies	Time line	Outcome

.1 Determine and develop models/mechanisms for undergraduate research (a high impact practice) to occur that is supported by faculty members and that aligns with program learning outcomes and is mapped to courses, and/or can enhance opportunities for EE (community based research).	4.1.1 Conduct environmental scan of different models used across different domains	Faculty Leadership team.	Faculty members, Teaching Commons	2016-2017	Models/mechanisms described for undergraduate research suitable across multiple domains.
4.2 Advance engagement in the Scholarship of Teaching and Learning (SoTL) through the sharing of published research and the production and dissemination of research into teaching and learning at York.	4.2.1 Chairs and Directors encourage engagement in SoTL, and uptake of support offered by the Teaching Commons. 4.2.2 York establish a SoTL research award/funds.	Chairs/ Directors; VP T &L	Teaching Commons	2016 - 2017	Faculty members engage in SoTL, attend TIF, publish in peer reviewed teaching and learning journals and present at T&L conferences. Award/fund established for SoTL.

Recommendation 5: Promote and support a student growth mindset and a sense of agency for high quality learning

Goal	**Action**	**Responsible party**	**Dependencies**	**Time line**	**Outcome**
5.1 Put structures in place in courses to enable and motivate learning.	5.1.1 Chairs and Directors meet with CDs who teach in their program to explore ways to enhance course design (support available from TC) to enable and motivate learning.	Chairs and Directors	Teaching Commons	2016-2017	Student evaluations and peer review indicate structures in place to enable and motivate learning
5.2 Equip classrooms, learning spaces (including online environments) to support effective pedagogies and related learning activities.	5.2.1 Chairs and Directors to audit teaching (physical and online) spaces to identify any required updates or changes required to support learning (support available from UIT and Faculty IT groups).	Chairs and Directors	UIT	2016 - 2017	Classrooms and online spaces appropriately equipped, with evidence of improved support for particular pedagogies.

IIRP WORKING GROUP: Enhancing Quality Academic Programs

September 6, 2016

Report for Community Consultation on Implementation

IIRP Working Group – Enhancing Quality Academic Programs

Executive Summary

Mandate

York University's Academic Plan 2015-2020 identifies as its first priority "Innovative, Quality Programs for Academic Excellence" and goes on to say "A paramount priority for the UAP 2015-2020 in advancing York's vision as a comprehensive, research-intensive and internationally recognized University is to enhance the quality of our academic programs" (UAP, p. 11).

Based on information gathered from the faculties and relevant University committees/bodies, the Working Group on Enhancing Program Quality was mandated to provide a framework for units and Faculties to eliminate common barriers to program transparency and flexibility. Specifically, the Working Group was asked to provide principles and identify opportunities for degree streamlining and program development that will:

- reduce degree complexity,
- eliminate program duplication,
- support student flexibility and mobility, and
- aid in the tracking of progress towards the degree and therefore in advising.

Because consideration of these issues is closely linked to our institutional processes such as the York University Quality Assurance Policy (YUQAP), our framework for assessing new programs, revising and evaluating existing programs, and documenting the appropriateness of student learning outcomes/assessment, the Working Group agreed that the enhancement of these processes to support program quality will be essential.

The Working Group accepted fundamentally that it is not in its purview to redefine the specific understandings of quality that inform the University's governing documents and that orient York's mission.[1] Rather we sought to learn about certain key challenges that York's academic programs face as they

[1] Provostial White Paper (2010-2020). http://vpap.info.yorku.ca/files/2012/09/White_Paper_Overview_April_15.pdf; University Academic Plan (2015-2020). http://secretariat.info.yorku.ca/files/UAP-2015-2016-Final.pdf; Strategic Mandate Agreement (2014-2017). http://vpap.info.yorku.ca/2014/04/strategic-mandate-agreement-2014-2017-between-the-ministry-of-training-colleges-and-universities-and-york-university/

strive to fulfil those aspirations, and to enumerate clear, effective, realistic, and sustainable strategies to optimize how programs can realize York's vision. The Working Group sought to identify overarching modes of optimization, broadly applicable across the institution, no matter local disciplinary, discursive, or intellectual variations across programs.

Summary observations

While it may seem a basic point, it is worth noting that in all its consultations, the Working Group found consistently that **all stakeholders thought that York's programs could do better**. Faculty and administrator stakeholders confirmed the fundamental value of a rich and comprehensive, graduate and undergraduate university experience while wishing that they could better see that value recognized in patterns of student enrolment, satisfaction, and success. To achieve that, such stakeholders want:

- to know and better prepare for incoming students
- to mark students' paths to success at York more clearly and simply
- to allow students the chance to discover interests and make mistakes
- to make it easier for students to change programs, and
- to understand and be responsive to the diverse realities of today's post-University experience.

There is no doubt that many programs are trying hard to realize these aspirations, but too often, stakeholders lament, that effort is intuitive or expressive of informal and anecdotal impressions when **vigorous, knowledge-based, data-driven stewardship is needed**. Students tell us that they appreciate programmatic choice, but in the absence of sufficient flexibility students cannot take the best advantage of the choices available. We wonder if we understand well enough students' interests. Many programs privilege the production of undergraduate disciplinary expertise and orient themselves to the student who will apply to graduate or professional school in the same or a cognate field. Such a reasonable approach has clear merit but deserves to be complemented and supplemented wherever feasible:

- to address life paths beyond academia
- to demonstrate robust interdisciplinarity and transferable knowledge (especially across faculties), and
- to think about **a holistic York experience** within which the program is a key piece.

Despite the best efforts of programs now, York applicants' program choices and enrolment distributions suggest a persistent and severe mismatch between students' perception of their needs and program offerings. All stakeholders acknowledged with deep concern that when 90% of undergraduate applications are for ten programs at an institution with more than 200 undergraduate programs overall, something is amiss. On the level of principle, it suggests a failure to capture the student imagination despite the extraordinary richness of York's offerings. On the level of practicality, it generates a marked resource imbalance and planning challenge. In order to understand what factors contribute to this problem, the Working Group heard from stakeholders about the challenges to knowing and effectively planning for incoming and continuing students.

One observation that we heard at a forum hosted by APPRC and which resonated during consultations was that undergraduate program design is most highly attuned to students who aspire to graduate-level study in the same or related discipline. Other destinations, while known to exist, do not play the role they might in influencing our imaginations as we design new and revise existing programs. At the same time, we were reminded that many students are not familiar with many fields of study, their expectations do not correspond with the programs' sense of purpose and identity, or they are unsure about how to make the best use of choices in the absence of clarity about post-graduation possibilities.

Faculty Academic Plans for Advancing Program Quality have been developed to address, for example, programs that do not attract students in sufficient numbers or face disproportionate rates of attrition, and the recognition that programs themselves are in the best position to communicate clearly to students the value of their programs and the range of opportunities graduates might anticipate and prepare for. We also heard, and this is consistent with perspectives described in Cyclical Program Reviews, that program-level planners are not always well-equipped to gather information that would help them develop alternatives in terms of audiences, innovative programs or pathways. They would benefit from a greater understanding of changing student interests, trends and developments in the post-secondary sector, and the cumulative burden of policies and practices designed for a different time.

Programs need to be informed, strategic, proactive and dynamically responsive in order to cultivate and maintain the kind of adventurous spirit and risk-taking curiosity among students that define and distinguish university-level study. The University, in turn, needs to bolster the connection between University priorities (as expressed in the UAP) and innovative programs/curricula. Recognizing the University's responsibility to produce well-rounded, informed and resourceful citizens, stakeholders value the long reach of an education that leads to a number of outcomes, many of which will not be evident in the immediate term. As the Working Group considered information provided through consultations and discussions of relevant documents, we identified actions that would enhance the quality of academic programs and require institutional-level support:

- to reduce degree complexity, especially to improve student mobility within, between, and among programs
- to invigorate students' experience of the University's breadth by revising aspects of the degree outside of the major and by clarifying the role of

general education in the context of degree level expectations and student learning outcomes

- to reimagine the meaning and possibilities of the Undeclared Major
- to develop clear and simple delayed-entry points and transfer protocols into programs wherever feasible
- to express the role of all programs as key to educated citizenship, and
- to encourage all students to complete "4-year" degrees.

In order to achieve these goals, the Working Group agreed with stakeholders that our current university processes for tracking program effectiveness, kinds and consistency of outcomes, nimbleness of responsiveness, and so on are insufficient. The role of **quality assurance must be enhanced**:

- to develop an institution-wide adeptness with the use and analysis of relevant data and outcome measures
- to improve the effectiveness of program check-ups
- to provide for an "incubator" or probationary period for new programs, and
- to reduce program duplication.

The Working Group noted how often stakeholders distinguished between the apparent, incontestable richness and range of York's academic offerings and the limited or limiting ways in which students encounter them, between the University as it is proposed and the University as students experience it. To improve the outcomes for students, as they discover, progress through, and complete York's programs, we need to better mobilize our potential. We recommend bolstering and diversifying the ways that students enter programs, how they are supported as they move through and/or transfer between programs, how they are helped to see that programs are related to general, elective, and co-curricular education, and how they are encouraged to understand the lifelong value of what they learn in programs and at York generally. Directing resources to such key inputs will improve outcomes, especially if it is done with specific, realistic, and evidence-based results in mind. In turn, we recommend invigorating program stewardship so that it can be effectively responsive to diverse, meaningful, and timely outcome measures that must inform ongoing and dynamic enhancement of program quality.

RECOMMENDATIONS

Recommendations, Outcomes, and Metrics for Success

Recommendation #1: Optimize York's cutting-edge graduate and undergraduate programs:

a) **Operational Initiative:** Establish and identify degree completion pathways to address a diverse population, local and global

Outcomes:

i. 'Common year options' are established with clear pathways to academic programs. Metric: increased first year enrolment & 1st to 2nd year retention
ii. Skills development and learning supports are available to ensure success at every stage of program progression (from first year through upper years). Metric: effective communication of supports; recommendations documented; uptake documented, and improved retention.
iii. Degree option requirements within programs are simplified and clear. Metric: advisors' feedback; CPR student survey results
iv. Degree upgrading options (honours completion) and supports are available. Metric: communication/marketing documents and policies; increased upgrading and degree completions
v. Flexible degree and credential attainment/completion pathways within York, beyond traditional programs, are established. Metric: policies facilitate non-traditional completion options; related advising is in place; communication to students; credential options have been explored and defined.

b) **Operational Initiative**: Clarify and simplify student pathways through and between programs within York.

Outcomes:

i. Degree completion requirements are simplified. Metric: feedback from advisors and students (CPR surveys)
ii. Degree requirement terminology is simplified through standardized nomenclature. Metric: Curriculum Management Tool implemented
iii. Credit recognition between programs is clear and acknowledges transferable skills and knowledge while ensuring program integrity (example: statistics for all). Metric: policy/protocols for internal transfer approved and implemented
iv. Students can easily complete degree level combinations (double majors, major/minor, major with certificate, and for graduate students, additional qualification diplomas). Metric: increased number of graduate with degree level combinations

c) **Operational Initiative**: Establish and publish clear and differentiated program learning outcomes. (see also d)

Outcomes:

i. Programs (majors) have established distinct program expectations, learning outcomes and assessments that are communicated to students and visible in courses. Metric: program web sites advertise DLEs/SLOs; programs articulate assessment oversight protocols
ii. Program and course duplication across programs has been identified and inter- and intra-faculty collaboration is routinized. Metric: Course credit exclusion language has been replaced by SLO recognition

d) Operational Initiative: Establish York University Graduate Attributes to define student experience beyond the major program and communicate the value of graduate and undergraduate degrees to various stakeholders.

Outcomes:

i. York University graduate attributes are established and assessment methods clarified. Metric: Senate approved document; implementation plan
ii. YUQAP advances program expectations and outcomes within an institutional framework. Metric: Graduate attributes complement Program Learning Expectations; assessment of graduate attributes has been incorporated into program reviews
iii. Learning outcomes for extra- and co-curricular activities are part of the institutional learning outcomes framework for UG and G students. Metric: To be determined in consultation with Student Services, faculty stakeholders, and students.

Recommendation #2: Degree and program stewardship supports program quality.

Operational Initiative: Data and analytical support is available to programs.

Outcomes:

i. Teaching quality data and research contributions inform program reviews and program development. Metric: protocols developed, approved and data provided
ii. Alumni data informs program-level student outcomes and program development. Metric: Alumni outcomes data provided at program level; longer term, universal alumni student satisfaction survey developed and implemented
iii. Trends analysis of existing program data supports programs in the identification and assessment of opportunities and future

directions (for example: expansion, combination, closure) Metric: established norms for communication to and professional development for programs to build capacity

iv. Program level data and analysis identifies intra- and inter-program challenges, recruitment and retention and degree attainment of students. Metric: Annual report to Provost/Deans/Programs

v. YUQAP aligns quality indicators with data and analysis to ensure program quality and viability. Metric: Revised YUQAP protocol; improved data for new and existing programs; workshops and manual for program reviews, new program development and annual check-ins.

Process for Going Forward

1. Establish and support a Provost's Advisory Group on Program Development to provide advice and resources to Deans and faculties in early planning stages of new programs, monitor new program performance, bring an institutional lens to Cyclical Program Reviews in order to improve data/information and recommend and/or undertake institutional research, to identify and communicate relevant trends in post-secondary education, and to develop data and deepen understanding of what data mean to planners.

Membership: Vice Provost Academic, Executive Director OIPA, Registrar, AVP & Dean Graduate Studies, Director Institutional Enrolment & Resource Planning, and a number of associate deans, chairs/directors to be determined.

2. Establish a term-limited (1 year) Working Group on Academic Program Structures that inhibit student success and progress towards graduation. This group's mandate would include development of reports on existing practices and their effects on student success, mobility and graduation, identification of promising practices already in use, recommendations for program change, and development of common language for academic program features.

Membership: This Working Group would be a sub-committee of ASCP and include the Vice Provost Academic, the Deputy Registrar, one representative faculty member from each Faculty/College. Sub groups with additional members may be anticipated for specific tasks.

3. Establish a term-limited (2 years) Working group on York University Graduate Attributes and Program Learning Outcomes and Assessment to support articulation of program level learning outcomes and assessment and to lead consultation on the development of graduate attributes and assessment.

Membership: This Working Group would be a sub-committee of APPRC and ASCP and linked to the Joint Sub-Committee on Quality Assurance and include the Vice Provost Academic, the AVP Teaching & Learning, the Executive

Director of the Teaching Commons, the AVP and Dean Graduate Studies, and a representative from each Faculty/College. The work of this committee would require the support of a consultant.

Timelines

Soon

- Establish connections with ongoing projects (e.g. Strategic Enrolment Management) and other IIRP working group reports (e.g. Teaching and Learning, Advising, Student Experience, Experiential Education, Technology Enhanced Learning, and Graduate Studies)
- Student consultation (linked to IIRP consultation process)

Incremental progress toward outcome metrics

Bolstering and diversifying the ways that students enter programs

1. Revision and expansion of Program Data Sheets and training for their use by 2018.
2. All programs will have been evaluated and, where possible, a delayed-entry option established by 2019.
3. A first-year "discovery" option will be approved by 2018 for offer to all incoming students in 2019-20 with the expectation of replacing the Undeclared Major and the direction of all students into programs by year two.

Strengthening supports for students as they move through and/or transfer between programs

1. Completion of a University-wide inventory of course credit exclusions (date to be determined in consultation with the OUR).
2. Completion of policy review and recommendations to ASCP by fall 2017.

Clarifying and simplifying how programs are related to general, elective, and co-curricular education

1. Convene forums for consultation with Faculties (2017).
2. Establish graduate attributes by 2018.

Promoting the lifelong value of what students learn in programs and at York generally

1. Programs will have access to alumni data. (underway now for programs coming up for CPR)
2. Programs will include partnerships for applied and experiential learning opportunities. (underway now in consultation with AVP T&L)
3. Programs will communicate student and program outcomes (e.g. via websites) (2017-)

APPENDIX: Background

Process for Developing Recommendations/Review of Work Done to Date

Representative, collegial, and consultative process

Working Group participants brought specific competencies and perspectives – as undergraduates, graduate students, faculty members, administrators, and staff – and their personal expertise formed the group's knowledge base in the first instance. Beyond that, the group expressed a shared respect for consultative and collaborative decision-making across sectors and levels.

The Working Group's process unfolded in three phases:

Phase 1: *Understanding the challenges and opportunities*

1. Review of Working Group mandate, York governing documents, recent contexts (at York, regionally, nationally, and internationally), and related recommendations.

2. Development of draft principles that were refined in light of stakeholder consultations. Our consultations affirmed certain premises about optimal conditions that enable our programs' attainment and preservation of quality:

   - Quality programs provide for a variety of different kinds of students and student expectations.
   - They are designed to afford students a fair measure of flexibility to exercise their intellectual curiosity both within the program and beyond, ideally taking into account the need reasonably to maximize the serendipity that might lead a student to another program entirely.
   - Such programs recognize that they are but one piece of a larger degree structure – including general education requirements, electives, unlinked minors, as well as co-curricular learning opportunities – with which their expectations are coordinated.
   - There is a positive correlation between programs' quality optimization and fiscal health. Recognizing the needs and interests of York's students and enabling and accommodating their growth and change are the surest means of attracting and retaining students and, in turn, of strengthening fiscal vigor. Especially in times of budgetary cut-backs, program eagerness for financial support is more acute. Within the purview of its mandate, the Working Group observed that the most powerful

means of improving the budgetary outlook is by optimizing quality in ways that may not oblige new resources in the first instance.

- Quality programs are carefully managed and benefit from effective, dynamic, and evidence-based stewardship.

Phase 2: *Seeking input, refining scope*

The Working Group consulted with key stakeholders:

1. Office of Institutional Planning and Analysis
2. Office of the University Registrar
3. Associate Deans
4. Academic Standards, Curriculum, and Pedagogy Committee
5. Division of Students
6. Quality Council
7. Other IIRP Working Group chairs
8. Faculty of Graduate Studies
9. Senior Administrators' Group Exchange
10. Deans

Stakeholder representatives either visited with the Working Group during one of its regular meetings, or the co-chairs of the Working Group attended a meeting of the stakeholder group, with such outreach scheduled as an item on the respective group's agenda. All these interactions were preceded with the Working Group's communication of a detailed list of queries to the stakeholder to describe the broad scope of our concerns and to spur both wide-ranging and focused feedback.

Phase 3: *Synthesis, reflection, and reporting*

During this phase, the Working Group drafted its recommendations and operational initiatives, reflecting on its stakeholder feedback in detail and on its literature review. Working Group co-chairs conferred with chairs of cognate working groups to contend with areas of overlap or adjacency in our draft reports.

Diary

Members of the IIRP Working Group on Quality Academic Programs were:

Alice Pitt, Vice-Provost, Academic (Co-chair)
Jonathan Warren, Associate Professor and Chair (2012-16), English, LA&PS (Co-chair)
Carol Altilia, University Registrar
Elaine Chan-Dow, Graduate student, MFA Visual Arts, AMPD

Sylvie Clamageran, Lecturer, Directrice du programme de langue français, Glendon
Ida Ferrara, Associate Professor and Undergraduate Program Director, Economics, LA&PS
Asif Jamal, Undergraduate student, Lassonde
Emily Rush, Academic Affairs Officer, Office of Associate Dean, Academic, Schulich School of Business
Paula Wilson, Senior Lecturer, Biology, Science
Michael Zyrd, Associate Professor, Cinema and Media Studies, AMPD, Associate Dean, Academic, Faculty of Graduate Studies

The Working Group convened between mid-December 2015 and late June 2016. Its meetings were usually structured around a consultation with a key institutional stakeholder. The WG developed and circulated detailed and general questions emerging from its mandate to stakeholders in writing in advance of meeting.

In **December 2015 and January 2016** meetings, the Working Group reviewed institutional governing documents' definitions of academic "quality" and gauges for its assessment. Preliminary discussions focused on the following questions:

- how do institutional definitions of quality apply at the level of academic programs?
- what institutional instruments are in place to support and enhance program quality?
- how do we discern challenges to such support and enhancement (e.g. what are the markers of at-risk programs?)?
- in what ways does this Working Group's mandate intersect and overlap with those of other IIRP Working Groups and other institutional offices, bodies, and initiatives?
- what institutional stakeholders must we consult? In what order? To discover what information?

At its **2 February 2016** meeting, the Working Group developed a set of high-level working premises with regard to quality academic programs (the final version of which appears above (Page 7, Phase 1, item 2).

In order to orient Working Group members to University-level planning and the ways in which York observes and addresses quality in its academic programs, the group consulted **Sarah Cantrell, Executive Director, Office of Institutional Planning and Analysis (OIPA)** (**16 February 2016**). Ms. Cantrell provided and analyzed summary data on the proportion of student applications to direct-entry programs with trends over time; summary program-level retention data, along with University and Faculty comparitors; and graduate program application data. She described informational supports that could bolster new program development and mitigate or address the erosion of applications to and retention of students in existing programs, including realistic assessments of student demand.

The Working Group noted that programs should be empowered (with demographic data, the means to understand it, and planning recommendations about the range of available program responses to it) to take more specific account of pre-university student interests and aspirations broadly (in high school, middle school, and earlier) so as to make York more actually inclusive of its diverse student applicant pool and conversion cohort. This might run the gamut from devising courses or curricula to addressing significant emerging concerns to recruitment tools to demonstrate how existing offerings already do so, and so on. These matters were brought to bear in subsequent consultations (e.g. with the Division of Students on 15 March 2016 below). A clear and related Working Group expectation is that York programs be empowered with realistic data to convey the ways in which they equip students for specific and diverse post-university pathways that are timely and meaningful for our students.

To further understand the major impediments to students' experience of York's quality academic programs, the Working Group next consulted with group member, **Carol Altilia, the University Registrar** (**1 March 2016**). The Registrar's presentation to the Working Group took on five critical areas of concern to her office:

- program "shadowing"
- program changes
- the experience of undeclared majors
- course credit exclusions, and
- the degree audit.

Hoping to qualify for them, students "shadow" programs to which they were not admissible in the first instance or for which they are no longer eligible. One way to contend with a large number of students who believe that York can best serve them in a small set of programs for which many of them are not qualified to be admitted is to offer entry to related programs (so called "switch offers"). The scale of these related phenomena suggests a complex of mismatched student and institutional expectations that yields a sizable cohort of students who feel that they are not in their preferred programs and, as a result, are more apt to feel alienated from the University as a whole, and a challenge for programs to identify and respond reasonably to the expectations of such students. Inability to achieve admission to first-choice York programs, dissatisfaction with switch-offer program placements, and "shadowing" a small set of programs which may distract students from appreciating the possible relevance and suitability of alternative programs to their genuine interests: these factors contribute to worrying demand and retention trends, and they also help to account for a considerable number of Undeclared Majors at the University. Applicants who are not admissible to their first-choice programs may postpone declaring a major while hoping to qualify for such programs. As the undergraduate academic experience is most vigorously supported within programs, Undeclared Majors may feel less attached to York. Such real challenges need not be overwhelming to the institution. After all, to have a diverse group of intellectually curious new students who are uncertain about which program of study to choose should be unsurprising at a university; indeed, the University should reduce the anxiety associated with such uncertainty as it facilitates student discovery. Now, however, students in such circumstances find York's doors closing to them too often. Course credit exclusions between and among programs make late entry to and switches between programs far too complicated and overwhelming. Whereas students should experience university in the first instance as a place for exploration, risk-taking, and curiosity, York students find the University difficult to navigate, a place where it is frustratingly difficult to understand their options. Acting individually and in a coordinated way, programs can do quite a bit to alleviate these problems by simplifying rubrics and requirements, reducing impediments to student mobility and addressing and articulating specifically:

- how the expectations of incoming students – especially those interested in or denied entry into top-choice programs, and Undeclared Majors – can be met across various programs, and
- how delayed-entry students can be smoothly accommodated within programs.

At its **15 March 2016** meeting, the Working Group sought better to understand the kinds of data available to stakeholders to know more about our diverse student "inputs." We consulted with **Michelle Miller (Project Lead, Services for Students, Division of Students) and Mark Conrad (Senior Institutional Analyst, OIPA)** who provided detailed demographic, geographic, and trend information about student recruitment. Institutional comparitors were provided to assess York relative to U of T and Ryerson. The Working Group agreed that such data should be made available to all program chairs and planners annually. The consultation took up the following questions:

- why do students choose York (external versus internal motivators)?
- what are the most effective ways to measure that students have "arrived" at York (i.e. feelings of engagement with the institution)?
- what data points correlate with patterns of student retention and attrition?

It is clear that the quality of York's programs is a factor in student demand, but more can be done to improve students' experience of that quality once they enroll, to consolidate feelings of attachment to and engagement with the University, and to make sure that students recognize themselves in York's programs and the relevance of their affiliation with York to their lives as a whole. Clear program learning objectives and institutional graduate attributes will better enable students to express what they learn at York relative to its impact in the world. Co-curricular and experiential learning opportunities will fortify that sense of relevance. Especially to the extent that they have discovered and may help articulate real and unexpected connections between a York education and post-university life, alumni should be integrated into program planning and identity.

At its **22 March 2016**, consultation with the **Associate Deans**, the Working Group co-chairs heard that there is a need to shift from thinking about the design of programs in the abstract to consideration of how students experience their progress through them and to design programs with a clearer sense of diverse student inputs and subsequent life paths. Associate deans advised that clear and consistently applied learning outcomes and graduate attributes would help students better to understand the intent of programs. Feedback from students (e.g. via course evaluations) needs to have a meaningful effect on programs.

The Working Group co-chairs attended the **23 March 2016 meeting of the Academic Standards, Curriculum, and Pedagogy Committee (ASCP)** to consult with its membership and report back to the Working Group. ASCP has a strong interest in and commitment to program quality, and in addition to reviewing and commenting on new program proposals and program modifications, ASCP reviews and revises policy governing the academic standards for curriculum and pedagogy. ASCP endorses the Working Group's mandate to examine degree complexity, program duplication, and the role of general education in the curriculum. ASCP members agreed that York needs to pay more attention to the external landscape in terms of distinguishing its programs, ensuring demand, and creating programs attuned to demand. Specifically, for example, ASCP agreed that better data about incoming students and post-university pathways should contribute to strengthening program quality, making it more responsive to trends emerging in high schools and primary education and better able to plan programs that will be relevant to current and future areas of post-university life (including attention to employment patterns and demands). ASCP iterated the University's commitment to strengthening student capacity in critical thinking, conceptual skills, and problem solving, and sought a more consistent, tangible nomenclature for articulating these (e.g. Graduate Attributes). ASCP recommended:

- reducing complexity in degree requirements;
- easing of transfer credit protocols from without and within the university (to improve movement between programs);
- shifting the tendency to design programs, other than professional programs, with the future graduate student in mind. It is very important to demonstrate our commitment to the diversity of the student body with a range of motivations and aspirations;
- developing new ways for students to encounter breadth other than General Education courses which may impede such exploration;
- implementing consistent terminology and "signposts" to help students better navigate toward their degree;
- relating York's nomenclature to "real world" norms and expectations so as to make York current and its requirements transparently relevant;
- developing pilot, probationary, or incubator periods for new programs; and
- leveraging student diversity to foreground experiences of student inclusivity and cohort-based retention.

Professor Tom Loebel, York member of the **Quality Council Appraisal Committee** attended the Working Group meeting of **12 April 2016**. Loebel recommended that graduate and undergraduate degree level expectations be correlated clearly with evidence of their achievement. Effective stewardship requires both the ability to attest to coherent program "logic" and to operational effectiveness that can be tracked with data. It would also be worthwhile to consider how markers of institutional success correlate with indicators of student success that all programs may have in common (including, for example, satisfaction, mobility within York, and post-university pathways/employment).

Focusing on graduate programs, Working Group member, **Professor Mike Zryd, FGS Associate Dean (Academic)** presented to and took questions from the Working Group at its **26 April 2016** meeting. Noting the boom in the last generation in demand for Masters degrees, Zyrd highlighted programs' need to understand its causes and its implications for post-degree pathways as these have a bearing on completion rates and pace. As graduate students pursue advanced degrees for a variety of careers, programs may wish to implement diverse and effective career training so as to maintain quality. Graduate program directors contend with a variety of planning pressures and obligations and need better support if they are to diversify programs' career counseling. Graduate programs should:

- contribute to defining Graduate Attributes
- reduce duplication (of courses and programs)
- track alumni and develop programs in light of diverse pathways

Working Group co-chair Jonathan Warren presented to the **Senior Administrators' Group Exchange on 29 April 2016** and received positive feedback. SAGE members were encouraged to learn that reducing program complexity and duplication, enhancing student mobility, and reinvigorating quality assurance had emerged as the Working Group's key action items. SAGE was especially satisfied to endorse an increase in knowledge-based, data-driven planning for academic programs.

Working Group co-chairs presented a status report with a first draft of recommendations, shared the process for implementation, and received feedback at the **Deans' Retreat (10 May 2016)**.

Documentation/Literature/Research Considered

Bibliography in development

IIRP WORKING GROUP:
Student Advising

September 6, 2016

Report for Community Consultation on Implementation

The top priority identified under the IIRP theme of becoming a more student-centric University is to reform the student advising system. Input data from National Survey of Student Engagement (NSSE), National College Health Assessment (NCHA), Academic and Administrative Program Review (AAPR), York's own Leavers Study and student consultations is consistent and compelling: **York can and must do better**.

Broadly speaking, student advising includes academic advising first and foremost, but in addition, it includes a range of other types of advising supports that contribute to an overarching 'Student Service Experience" at York University. While our own student data confirms that access to quality academic advising remains a significant obstacle to student success at York, it is also the case that:

- finances are a significant concern to our students (NCHA, Leavers study);
- customer service is rated poorly by our students including the expressed view that students do not think we care about their well-being (NSSE); and,
- fostering engagement on a commuter campus is challenging.

The imperative to focus on a holistic, high-quality student experience speaks to York's academic mission, but also to the matter of financial sustainability. In an era of significant competition amongst Ontario colleges and universities, we must actively demonstrate our commitment to student success through high quality customer service across the enrolment continuum.

The issue of academic advising quality more specifically is being contemplated at colleges and universities across North America. A 2014 (p5) Educational Advisory Board report titled, "*Approaches to Examining the Efficacy of Academic Advising*", attributes the growing focus on student success and four key drivers — some internal, others external — for the heightened interest assessing efficiency, effectiveness, quality and accountability in this area:

External

- **Stakeholder pressure:** Responding to focal complaints from students and parents, leaders have demanded that universities focus on advising.
- **Enhance student success outcomes:** Advisors are uniquely poised to coach students towards first-year retention, completion of general education requirements, and early major declaration, all of which are indicators closely linked to student success. Leaders hope that examination of academic advising infrastructure and processes can service specific areas for improvement and pinpoint potential areas for policy change or further discussion.
- **Support advisory professionalization and professional development:** While student advisement was once a faculty responsibility of secondary importance, modern-day academic advisors are highly trained and credentialed professionals. To shift from a prescriptive approach that emphasizes curricular adherence towards a holistic and development methodology, advisors require further study of the student experience. Learning outcomes, performance metrics, and evidence-based pedagogy help to hold advising to a higher standard.

Internal

- **Validate resource effectiveness:** We hear repeatedly that advising is perennially underfunded. Stakeholders in the advising community believe that they can better argue for resource allocation if they can determine how their work positively impacts student experiences and triggers a positive return-on-investment to institutional objectives, such as career development and student success.

Another 2014 (p.3) EAB report titled, "*A Student-Centered Approach to Advising*", identified the following challenges to creating accountability in advising:

- Advising organizational structures reflect internal silos rather than student demand or need.
- Appointments and outreach are focused on academic issues, ignoring underlying causes of attrition.
- Advisor time and support resources are either spread thin or deployed narrowly to one subpopulation.
- Data provided by early warning systems and predictive analytics are rarely leveraged to target at-risk students.

Providing quality advising is central to delivering on York's academic mission.

The new University Academic Plan (UAP) makes explicit reference to a student-centered approach under priority #4: "A student-centred approach means viewing everything we do from a student lens including decisions about our academic plans, the learning environment, the campus experience, and academic support strategies." (p11). Further, the UAP (p.11-12) notes that: "… more must be done to create the conditions for students to reach their highest potential. Academic decision-making and student services must be calibrated with a student-focused, student success approach. This means better student advising, more and better mentoring, skills and/or professional development at both the undergraduate and graduate levels. In short, we need to rethink what we do from a student perspective – ever mindful of their success."

To action these commitments, the York University community – via the UAP – has affirmed that the following will be achieved by 2020:

- Develop a new integrated advising model clarifying the roles and responsibilities of the Division of Students, the Faculties and Colleges and providing comprehensive advising processes and online resources to ensure that our students have the confidence to navigate degree requirements; have access to academic, career, library and financial support; and receive timely and accurate responses to requests.
- Actively monitor student learning needs and develop appropriate academic supports.
- Cross-train and allocate staff members to student support tasks when most needed.
- Increase contact time between faculty members and students.
- Make scholarships and bursaries, including graduate scholarships and Postdoctoral Fellowships, a centerpiece of the fundraising campaign to be launched in 2016.
- Further advance our SEM approach including enhancing student supports tailored to different student segments improving retention and time-to-completion of degrees by undergraduate and graduate students.
- See an increase in student satisfaction.

Many of these speak directly to the terms of reference under which the IIRP Working Group on Student Advising was formed. Specifically, the group – which included broad representation from across the campus and York's constituency groups – was charged with making recommendations focused on two deliverables:

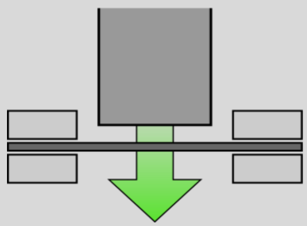
1. An overarching framework for creating a culture of *Service Excellence* that is foundational to ***all undergraduate and graduate student services*** at York

University. The framework must rest on actionable principles and be facilitated through strategic communications across multiple platforms. It will transcend organizational silos to include staff and faculty working across the Academic Division (Faculties -including FGS, Colleges and the Division of Students), and ancillary services.

2. An endorsed, equitable, and financially sustainable model and theoretical framework for ***undergraduate academic advising*** that rests on actionable principles and is facilitated through strategic communications across multiple platforms. The made-for-York solution must:
    a. account for York's specific student demographic;
    b. afford a consistent service standard across all Faculties;
    c. support York's Strategic Enrolment Management directional goals;
    d. positively impact key *institutional* performance indicators (e.g., reputation, recruitment, retention); and,
    e. contribute to improving *students' perceptions* of timeliness, accessibility, accuracy, accountability and care.

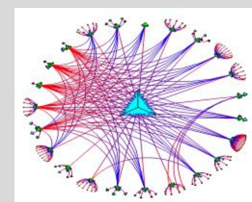
Following from an extensive process, which included a comprehensive review of relevant literature, evidence, and theory – the Working Group landed unanimously on four key recommendations:

Reconcile total pan-University spending to UAP student advising priorities.



Enhance academic advising specifically.

Invest in more sophisticated assessment practices.



Drive a culture of service-excellence across the campus.

These four recommendations rest on, among other things, how students in focus groups and via survey data define 'quality' in student advising, which is broadly understood to include a continuum of pan-University service:

Timely	Accessible	Available
Accurate	Consistent	Accountable
	Caring	

Please see below detailed commentary about each of the four recommendations. This document is intended to build on our current momentum and move us towards better meeting student and stakeholder expectations.

#1: BUDGET RECONCILIATION

- **Budget Reconciliation Recommendation:**
  - **Reconcile all student service expenditures** – including people (which is the main and most readily available expense), space, and other operating costs – across Faculties, Programs/Departments, Colleges and the Division of Students to ensure that investments purposefully drive the outcomes detailed in the University Academic Plan and – specifically – York's Strategic Enrolment Management Plan. The process should contribute to the development of a future-state student advising framework that is: financially sustainable; scalable and portable; and, regularly monitored and reviewed.

- **Operational Initiatives:**
  - Review the outcomes of recent Internal Audits, including the non-academic staffing review (2010-11), the space utilization review (2014-15), and a recent audit of the Colleges (2016).
  - Develop a project plan that includes an evaluative framework.

- **Process for Moving Forward:**
  1. Liaise with Internal Audit to inform a project plan.
  2. Identify and allocate sufficient expert human resource to execute the plan.

#2: ACADEMIC ADVISING

The National Academic Advising Association (NACADA) is "an association of professional advisors, counselors, faculty, administrators, and students working to enhance the educational development of students". Members have affirmed that "academic advising, based in the teaching and learning mission of higher education, is a series of intentional interactions with a curriculum, a pedagogy, and a set of student learning outcomes. Academic advising synthesizes and contextualizes students' educational experiences within the frameworks of their aspirations, abilities and lives to extend learning beyond campus boundaries and timeframes".

This potential impact is underscored by Nutt (2003):

> *"Academic Advising is the only structured activity on the campus in which all students have the opportunity for one to one interaction with a concerned representative of the institution (Habley, 1994). Tinto (1987) indicates that effective retention programs have to come to understand, therefore, that academic advising is the very core of successful institutional efforts to educate and retain students. For this reason, academic advising, as described by Wes Habley, should be viewed as the 'hub of the wheel' and not just one of the various isolated services provided for students. Academic advisors provide students with the needed connection to the various campus services and supply the essential academic connection between these services and the students. In addition, academic advisors offer students the personal connection to the institution that the research indicates is vital to student retention and student success."*

According to the National Student Survey on Engagement (NSSE) and York's internal enrolment intelligence (Leavers Study, student feedback surveys, etc.), Academic Advising on our campuses is not currently delivering on the promise of academic advising as articulated by Nutt (2003) above.

Rather, students from across the campus have told us repeatedly that Academic Advising is inaccessible (as evidenced by long wait lines), of low quality (as evidenced by incorrect/incomplete information being conveyed), non-relational (with the perception being that staff don't care) and not accountable (because there is no assumption of responsibility for providing bad counsel). Further, Academic Advising at York is not optimally integrated with other supports including, for example, financial services.

Under the guise of our unwavering commitment to student success, York has made significant efforts over the last decade to address student concerns about academic advising. As an outcome of the PRASE Advising Project (2013), for example, several advancements in advising have been achieved most notably in professional development and technology.

Toward advancing professional development:

- An academic advising professional development advisory group was established.
- Regular university-wide academic advising fora (a total of 5 have been offered) began in 2013, providing advisors opportunities to come together over topics of interest.
- Academic advising professional development opportunities are now identified on the York Employee Learning Calendar (YELC).
- A virtual space for advisors has been established on YU Link.
- During the 2015-16 academic year, a competency framework for advisor professional development was established including individual & team development templates.

- A full day advising conference was organized and held in February 2016 during which the competency framework was rolled out.
- Several new learning modules developed for advisors will be offered via YELC in 2016-17.

The Advising Dashboard which draws information from within SIS together into one place for advisors was developed and established as an outcome of the PRASE Advising project in 2013. The Dashboard now includes “Advising Connections”, a module where advisors record advising appointments (reason, action, outcome, etc), logging them according to a set of criteria. University data on advising is now more widely available.

The recommendation and initiatives outlined below will build on this positive momentum and move York towards meeting student expectations.

- **Academic Advising Recommendation:**
  - Building on the Process Re-engineering and Service Enhancement (PRASE) recommendations (2014), YU START and other existing best/promising practices at York, **develop a system-wide framework** to further advance academic advising at York. Effective governance, enhanced technology and a student-centred approach will support colleagues who deliver advising services, and leverage York’s significant, collective institutional capacity to meet our students’ needs and expectations of accuracy, accountability, accessibility/timeliness, and care. This is key given the students who might be in danger of falling through the cracks of York's complicated curriculum and academic requirements, illustrated by the large number of program changes per year (11,564 in 2015-16), the number of double-majors (1015 in 2015-16) and students who "shadow" programs, especially across Faculties or academic advising units. (For more information on York’s enrolment intelligence, see the relevant references uploaded to our YU Link site.)

- **Operational Initiatives:**
  1. **Through intentional, transparent and participatory governance, increase and enhance coordination, communication and role clarity across the system of advising at York.**
     - Develop and advance a collegially-developed, pan-University, coordinated approach to the provision of advising services at York; leadership for this work should fall to the Director, Academic Advising in the Centre for Student Success. This should build on a mapping of advising roles and responsibilities done by the Educational Advisory Board (see Appendix B), and the RACI Chart developed to support YU START (included in the references on our YU Link site).
     - Coordination will include:
       i. a **reporting structure** that reflects our shared commitment to a pan-University approach in advising service;
       ii. the development, maintenance and continuous improvement of **information, referral routes and resources** to support online and in-person way-finding ‘hubs’;

iii. enhancing and supporting **early-alert, 'at-risk' outreach and support**;
iv. fostering an active **community of practice advising service** including the provision of regular fora to share learning and leading practice; and,
v. advancing and fully integrating the newly adopted **advising professional development competency framewor**k, YUadvise, into advising practice. (For more information on YUadvise, see our YU Link site.)

- Devise, publish and maintain a central repository of advising-related information, resources, processes and protocols to enable advising staff to best meet our students' needs.
- Devise an accountability framework by defining 'who does what, based out of what office' in advising at York. (As a starting point for discussion, please see the amended EAB matrix attached as Appendix B. Also included on the YU Link site is a current mapping of what advising is happening where at York.)
- Improve and enable cross-Faculty, inter-departmental and pan-University communications to ensure that 'our students have the confidence to navigate degree requirements; have access to academic, career, library and financial support; and receive timely and accurate responses to requests" (UAP).

2. Investigate and pursue technological solutions to enhance the clarity, effectiveness, efficiency, quality and accountability of advising at York.

- To complement a physical on-campus location (or locations), develop a comprehensive one-stop 'hub' for advising information online that is responsive to all, particularly commuter users. (For examples of same, see "Advising – Virtual Hub" on our YU Link site.)
- Support pan-University way-finding by enhancing student self-service by creating intuitive pathways that are determined by student characteristics (e.g., via more effective, integrated use of the student portal, developing an app, etc.)
- Leverage, maintain and enhance an appropriate array of technological tools – including a new Student Information System -- to support advisors in their work and increase advising capacity and accountability.

3. Adopt and advance a student-centric approach in academic advising at York.

- Provide enhanced support to student way-finding by codifying 'triage' processes that become central to practice. Eliminating unnecessary steps and promoting clarity for students and advisors will be paramount.
- Devise effective, coordinated and consistent referral principles and protocols to which both advisors and students are accountable.
- Develop and support a physical 'hub' or 'hubs' of consistent and accurate student referral and way-finding support (by revisioning the Red Zone, equipping Faculty- and unit-centres and leveraging the community-building role of the Colleges).
- Broaden the emphasis of advising from student curricular transactions to include information on and referrals to activities and services that significantly impact retention such as learning skills services, career, library and financial support.

- Invest in, develop and adopt regular assessment protocols to measure for success. Integrate and leverage data to inform continuous improvement.

Intentional, transparent and participatory governance, coordination, communication and role clarity

↓

Technological solutions to enhance the clarity, effectiveness, efficiency, quality and accountability

↓

Student-centric approach

The Working Group recognizes the interdependencies that impact academic advising, including: degree complexity, academic scheduling, challenges with the course repository, on-line enrolment processes, etc.

Working Definitions of Academic Advising

"Advising is a process that entails a relationship between the advisor and the advisee. There are two different models of advising: prescriptive and developmental. Prescriptive advising entails the provision of information or explanation for a specific course of action. Developmental advising guides its practice on the premise that students are diverse and are at different stages of cognitive, interpersonal, and psychosocial development. In some advising circumstances, such as learning about university regulations or course selection, prescriptive advice is appropriate. However, over the course of a student's academic career, the developmental advising model results in a more motivated, self-aware and successful individual."

- *Redefining Carleton Universitiy's Advising Services, 2009 (p.4)*

"Academic advising is a developmental process which assists students in the clarification of their life/career goals and in the development of educational plans for the realization of these goals. It is a decision-making process by which students realize their maximum educational potential through communication and information exchanges with an advisor; it is ongoing, multi-facetted, and the responsibility of both student and advisor. The advisor serves as a facilitator of communication, a coordinator of learning experiences through course and career planning and academic progress review and an agent of referral to other campus agencies as necessary."

- *David S. Crockett, Ed. (1987.) Advising Skills, techniques & resources; A compilation of materials related to the organization and delivery of advising services. Iowa City Iowa. ACT Corporation.*

Draft Mission for Advising @ York

Fostering student success through dynamic and responsive academic advising

Draft Vision for Academic Advising @ York

Undergraduate academic advising at York University engages and empowers students to make informed decisions about their academic and life goals by providing consistent, accurate and timely advice.

Draft Operational Principles for Academic Advising @ York

In all that we do as an undergraduate advising community, we respect and reflect the diversity of York University and demonstrate trust by espousing a spirit of collegiality, collaboration and embracing coordination;

- We empower students by providing sound advice and effective referrals to support student success and decision-making;
- We simplify steps through collaboration, and by harmonizing processes and services; and,
- We support and engage in learning.

**Note: The proposed vision, mission and operational principles for undergraduate advising at York University are highly aligned with the institutional values of openness, inclusiveness, respect, excellence and social responsibility.*

➢ Process for Moving Forward:

1. Affirm Decanal commitment.
2. Establish a core, cross-Faculty, pan-University team to lead this work for its duration.
3. Establish an expert sub-team to lead the technology change.
4. Assign the Director, Academic Advising (Centre for Student Success) responsibility for supporting the team and sub-team on key objectives.
5. Confirm and test preferred approach; secure budget and human resources accordingly.
6. Develop an implementation plan, a change management plan and a sustainment plan.

As an outcome of these recommendations and initiatives, student will see and experience:

- ✓ Easier access to support (physical & virtual)
- ✓ Shorter lines to support
- ✓ Correct information
- ✓ Accountability and quality
- ✓ Staff who care about their well-being and success
- ✓ Last stop or second-to-last stop for help

#3: ASSESSMENT

- **Assessment Recommendations**:
    - Invest in a **new system of assessing key outcomes** related to student services and academic advising. A more sophisticated approach to assessment will support accountability (through transparent reporting) and fuel continuous improvement. (A pertinent example of how this might be applied to service excellence specifically can be gleaned from St. Mary's – please see "St Marys – Service Excellence" on our YU Link site.)
    - Establish a **consistent, pan-university approach to collecting data** and create accountability for doing so.

- **Operational Initiatives:**
    - Given the full extent of possible, meaningful measurement, it is recommended that a phased approach be taken. In the first phase, basic measurement would be identified in order to establish a baseline and vigilance in the practice of data collection. Subsequent phases could be introduced to layer on more complex measurement based on iterative assessments.
    - The following two tables suggest a format for organizing identified measures to ensure there is a balanced approach to assessment that addresses student needs. Some measures have been suggested as examples. Further work, either internally or externally, should be conducted to establish the most relevant set of measures that align with strategic goals and provide impactful recommendations for positive change.

A. Academic Advising	Inputs	Outputs	Outcomes
Timely/Accessible/Available	• Process improvements • System improvements • Use of meaningful communications channels	• Average wait times • # of students served • Student feedback - immediate • # of petitions and appeals based upon verified lack of timeliness and/or access to information • Data collected in Advising Connections	• NSSE • Retention • Improvements on consistent internal student survey results
Accurate/Consistent	• Program update communications • Community of Practice mtgs	• Student feedback – follow up surveys • Comprehensive review of advising communications across campus • # of petitions and appeals based upon verified inaccuracy of information • Data collected in Advising Connections	• NSSE • Retention • Improvements on consistent internal student survey results
Accountable	• Performance objectives • Service Excellence Training • Advising Competencies	• Student feedback– immediate and follow up	• NSSE • Retention • Improvements on consistent internal student survey results
Care	• Performance objectives • Service Excellence Training • Advising Competencies	• Student feedback - immediate • Levels of staff engagement	• NSSE • Retention • Improvements on consistent internal student survey results
B. Service Excellence	**Inputs**	**Outputs**	**Outcomes**
	• Performance objectives and measurables • Service Excellence Training	• Student feedback (survey; focus group) • Student complaints	• NSSE • Retention • Improvements on consistent internal student survey results

- **Process for Moving Forward:**

1. Establish a core, expert, pan-University group to lead this work.
2. Liaise with the Office of Institutional Planning & Analysis to inform the project.
3. Pilot the 'phased' approach as proposed above.
4. Develop a communications plan and continuous improvement framework.

#4: SERVICE EXCELLENCE

An Educational Advisory Board blog post by Salaman (2015) notes that, “traditional customer service training that teaches frontline staff etiquette isn’t enough to win enrollments and is inconsequential in impacting students’ odds of completion. Instead, progressive institutions have deployed a next-level customer service overhaul on campus – one that includes front-line staff, but relies on executive-level leadership to make happen.” She recommends that institutions wanting to foster both student success and student satisfaction do the following:

- Earn student loyalty (and enrollments) by minimizing effort at intake;
- ‘Run to criticism’: Learn from your current students, and the ones you lost.
- Invest in ongoing professional development, but start with knowledge-sharing.
- Track efficiency and effectiveness, not satisfaction.

As noted under the Academic Advising recommendation, York’s NSSE engagement indicators focused on quality of interactions with staff are significantly lower than the Macleans or National average. Notably, the “quality of interactions with academic advisors” and the “quality of interactions with administrative staff and offices” were -10 and -11 percentage points below the Ontario average respectively. Across the board, interactions with academic advisors, faculty, student services staff and other administrative staff are significantly below standard (with varying effect sizes).

Further, students in the AAPR open student forum and subsequent focus groups raised customer service as a major issue and consistently said that it must be enhanced to prioritize:

- Access (e.g., shorter wait times).
- Quality (e.g., correct, concise information).
- Care (e.g., authentic interest in supporting students).
- Accountability (e.g., providing name and response in writing).

Though concern about customer service is often focused on academic advising, student focus groups and enrolment intelligence affirm that the issue is bigger, and broader in scope. Simply: students at York do not perceive the University to be navigable, friendly, respectful of their time/multiple commitments, or invested in their holistic wellbeing. They commonly refer to the phenomenon of bad service as ‘being York’d’.

To address this issue – which is undeniably impacting York’s reputation, student satisfaction, and student success – the Working Group is recommending the adoption of a codified, pan-University commitment to student-centric customer service that is realized through service standards, job summaries, a comprehensive training and development program, and performance management. This is a significant undertaking that will demand resources and a shift in institutional culture. Please see below is a roadmap for moving York forward.

- **Service Excellence Recommendations:**
  - **Create a culture of Service Excellence** that is foundational to all student service supports at York, across all academic and non-academic units. Exemplars in the literature include St. Mary's University, Berkley, the University of Ottawa and Trent University (see references for more information).
  - **Adopt a codified, pan-University commitment to service excellence** that is realized through service standards, job summaries, a comprehensive training and development program, performance management, and, ultimately, a commitment to advancing our culture. To realize this significant change, PVP must be identified as the accountable agent.

- **Operational Initiatives:**

1. **Invest in Foundational Work**
   - A University vision that differentiates York and includes a student-centric focus.
   - Clear and concise values that reflect a commitment to student success.
   - Centralized leadership (e.g., President, VPF&A/HR, VPA).
   - Work related to job content and talent acquisition:
     - New job descriptions written to include the values and the imperative of service excellence.
     - Ideally, all existing job descriptions would be re-written to include the same.
     - Job interviews for all roles would include behavioural based questions based on the values. This will give us the ability to differentiate among candidates based on their past demonstration of the values we espouse.
   - Work related to institutional structure:
     - Way-finding (physical and virtual) for students is clear and consistent.
     - Institutional structures are transparent, clear and lack gaps or redundancies.
     - Resources are invested/redirected toward consistent, high quality, data-driven, evidence-based student support.
     - Technology is harnessed to facilitate centralized efficiency in providing relevant information and data collection.

2. **Commit to Training & Development**
   - All staff should receive a curriculum of training that extends the learning and development over a period of time. This means ALL staff. Everyone on this campus serves someone – either students directly or other staff/faculty who serve students.
   - Training topics could include: Effective Communications; First-Year Experience; Conflict Resolution; Valuing Diversity; Suicide Prevention (safeTALK); Supporting International Students. For a sample, see the Trent University Student Support Certificate Curriculum.

- Additional manager training may be required for Behavioural- based Interviewing and Performance Management.

3. **Foster Sustainability**
    - All staff should have service excellence objectives and/or the Performance Management process would include competencies based on service excellence. These should be based on service level standards, consistent across the University.
    - Service Excellence should be measured with indicators for every manager, team and individual staff member.
    - Lack of performance in service excellence would result in developmental support and/or disciplinary action.
    - Exemplary performance in service excellence would result in award and recognition. Example: "The Student's Choice Awards" for exemplary service excellence by a staff member.

Process for Moving Forward:

1. Establish a core, cross-functional team to lead this work for its duration (est. 5 years).
2. Gain demonstrated senior leadership commitment.
3. Conduct an RFI/RFP process for the work.
4. Compare external solutions to that which can be achieved internally.
5. Select preferred approach and secure budget and human resources accordingly.
6. Develop an implementation plan, a change management plan and a sustainment plan.

Appendix A: REFERENCES

- YU Enrolment Intelligence:
  - Student Demographic Data (http://www.yorku.ca/factbook/)
  - Applicant/Enrolment Heat Maps
  - International Student Data
  - Student Personas
  - Segment Data
  - Persister Data
  - Retention Data (including graphic captures)
  - First Year Experience Risk Factors
  - Leaver/Retention Data
  - National College Health Assessment Data (2013)
  - National Survey of Student Engagement Data (2014)
  - Student Self-Assessment Survey Data (2016)

- CAS Standards for Advising Programs:
  - Council for the Advancement of Standards in Higher Education (CAS). (General Standards revised in 2014; AAP content developed/revised in 1986, 1997, 2015, and 2013). Academic Advising Programs: CAS Standards and Guidelines. Retrieved from http://standards.cas.edu/getpdf.cfm?PDF=E864D2C4-D655-8F74-2E647CDECD29B7D0

- General Advising Resources:
  - The NATIONAL ACADEMIC ADVISING ASSOCIATION (NACADA), promotes and supports quality academic advising in institutions of higher education to enhance the educational development of students. NACADA provides a forum for discussion, debate, and the exchange of ideas pertaining to academic advising through numerous activities and publications: http://www.nacada.ksu.edu/
  - The Mentor: An Academic Advising Journal is a peer-reviewed scholarly publication about academic advising in higher education: http://dus.psu.edu/mentor/
  - NACADA Clearinghouse of Academic Advising Resources: http://www.nacada.ksu.edu/Resources/Clearinghouse.aspx
  - Ontario Academic Advising Professionals (http://oaap.ca/)
  - Canadian Association of College & University Student Services (http://www.cacuss.ca/top_communities.html)

- University of California @ Berkeley Advisors Website (http://advisingmatters.berkeley.edu/advising-resources-0)

- Retention Publications (as they pertain to advising):
    - Education Advisory Board: "The Murky Middle – Profiling campus segments based on early academic performance to determine which students success, which fail, and where schools should focus their efforts." (2014) – eab.com/ssc/murkymiddle
    - Education Advisory Board: "The New Blueprint for Student Success – Build a More Scalable, Effective Student Support Model with Population Health Management Principles." (2016) – eab.com/ssc
    - Education Advisory Board: Four Tactics to Support the First-Generation Student – Collaborative Campus Strategies to Foster Student Success". (2016) – eab.com/saf/first-generation--infographic
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- Models of Advising:
    - A Student-Centred Approach to Advising, Redeploying Academic Advisors to Create Accountability and Scale Personalized Intervention (2014) Education Advisory Board (EAB). (see attached pdf)

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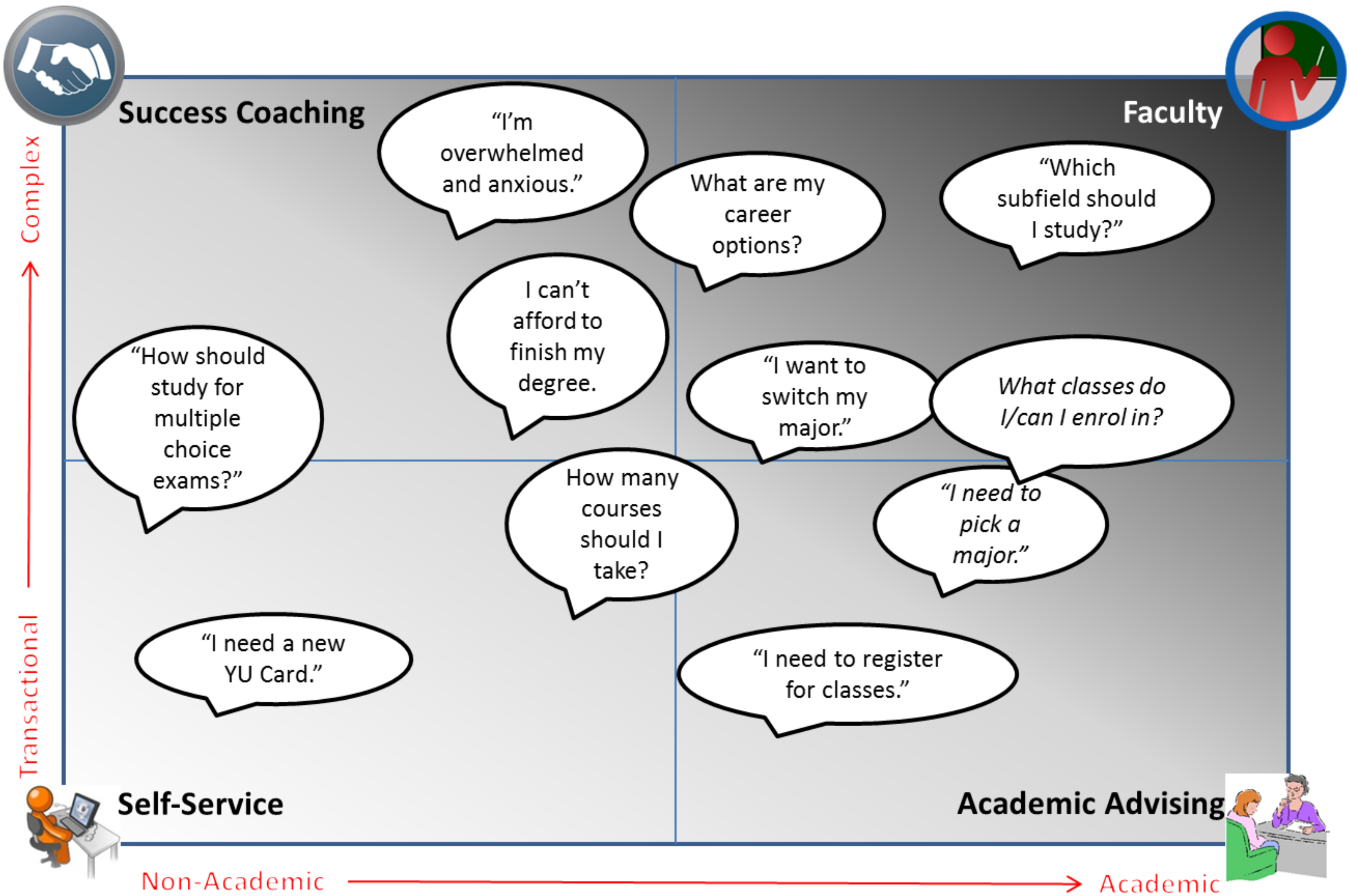
- Best Practice Models – Service Excellence:
  - University of Ottawa (http://excellence.uottawa.ca/en)
  - Trent University (http://trentu.ca/studentaffairs/certificate.php
  - Disney Model for HiEd – https://www.higheredhero.com/2nS/0
  - Saint Mary's University – Service Excellence Program http://www.smu.ca/about/service-excellence.html
  - Virtual "hub" Examples (Humber, UBC. University of Maryland and University of Washington)

- York University Background Materials:
  - University Academic Plan - http://secretariat.info.yorku.ca/senate/academic-policy-planning-and-research-committee/university-academic-plan-2015-2020-uap/
  - Provostial White Paper - http://secretariat.info.yorku.ca/senate/academic-policy-planning-and-research-committee/university-academic-plan-2015-2020-uap/
  - Strategic Mandate Agreement, York; 2014-2017 - https://sites.yulink.yorku.ca/documents/434746/0/SMA-April-16-2014+%281%29.pdf/9930997e-e3ca-4ae2-a90a-0878abdbdf2e
  - PRASE Discussion Paper on Proposed Recommendations for a 2018 Vision, Mission and Priorities for Undergraduate Academic Advising at York University (2013) http://prase.yorku.ca/files/2013/04/2013-05-16-Discussion-Paper-Proposed-Recommendations-for-Undergraduate-Academic-Advising-at-York-University.pdf
  - First-Year Experience Case for Change (VPS; 2013) - http://www.yorku.ca/vpstdnts/initiatives/firstyearexperience/
  - YU START Evaluation (Student Success Centre; 2016)

APPENDIX B: Advising Roles & Responsibilities



* Adapted from EAB interviews & analysis, 2015

APPENDIX C: Academic Advising @ York – Current State

Advising at York

Currently No Over-Arching Governance

Faculty of Liberal Arts & Professional Studies
Student Academic Advising Services
- 6 Student Advisors
- 3 Senior Advisors
- 2 of the 6 Advisors rotate between central office and PPA/EN to provide onsite advising in the academic units

Faculty of Health
Office of Student & Academic Services
- 4 Academic Advisors
- 1 Advising Coordinator

Lassonde School of Engineering
Student Welcome & Support Centre
- 2 Academic Advisors
- 1 Academic Services Coordinator
- 1 Community Liaison

Schulich School of Business
Student Services & International Relations – Undergraduate Programs Unit
- 1 Programs Advisor
- 1 Student Engagement Coordinator
- 1 Undergraduate Programs Assistant

Faculty of Education
Undergraduate Student Services, B.Ed Admissions & Registration
- 3 Education Advisors
- 1 Senior Student Advisor

Faculty of Science
Science Academic Services
- 1 Senior Advisor
- 2 Student Advisors

Faculty of Environmental Studies
Office of Student & Academic Services
- 1 Student Advisor

AMPD
Office of Advising & Integrated Services
- 1 Coordinator
- 2 Senior Advisors
- 2 Advisors

Glendon College
Academic Services
- 2 Advisors

Central, Student Specific Advising Services
- ACMAPS
- CASS
- Varsity

Hub & Spoke within Faculty
Advising for most continuing students occurs in academic units (spokes). The Faculty-based advising centre (hub) is responsible for new student intake, continuing students whose academic unit does not have onsite advising & students who lose standing for their academic program.

Shared Structure within Faculty
Advising for continuing students occurs both in a Faculty advising centre and in academic units (students may go to either). The Faculty-based advising centre is responsible for particular subsets of students (e.g., new student intake, undecided majors, academic probation, etc.).

Consolidated Structure within Faculty
Advising for continuing students and new students occurs in a Faculty-based advising centre staffed by professional advisors. However, Undergraduate Program Directors/Coordinators (faculty members) in academic units may advise students on specific matters.

IIRP WORKING GROUP:
Campus Experience

September 6, 2016

Report for Community Consultation on Implementation

EXECUTIVE SUMMARY

RECOMMENDATIONS

RELEVANT CONTEXT

Space – its development, planning, use and care – is critical to how all members of our community experience York's campuses, whether they are students, staff, or faculty. We cannot underestimate the role that our physical spaces play in York's ability to attract and retain students. In a time of increasing competition for the allocation of scarce resources, York needs to ensure that there are institutional commitments to the creation of new and innovative spaces, along with the effective and efficient use, cleaning and maintenance of existing spaces.

To meet its terms of reference, the Campus Experience Working Group, comprised of some 28 individuals, divided into four sub-groups:

- Academic Experience (classrooms, labs, performance studios, libraries, formal and informal study spaces)
- Shared Public Spaces (corridors, lounges, washrooms, tunnels, courtyards, pathways, and the Common)
- Co and Extracurricular Experience (colleges, clubs)
- Taking Care of Space (custodial, maintenance, renovations, directional signage, preservation of habitat)

Our deliberations were carried out under the following guiding principles:

- Accessibility
- Inclusivity, Diversity, and Equity
- Community Safety
- Service Experience
- Healthy Campus
- Sustainability
- Pedestrian Experiences
- Evaluation of impact

There is an overarching sense that effective communication around all aspects of space is a key element for members of the community who want easy and transparent access to information about what spaces are available, where such spaces are located, how and when to access space (freely or by booking), and who is responsible for the control and management of individual spaces and, more broadly, who controls/manages space institutionally.

The Working Group endeavored to gather community perceptions of existing campus spaces with an eye to future growth and development. Through an open and consultative process that included a public forum held on 31 March 2016, a limited survey of students, and a meeting held at Glendon with several student groups in attendance, the Working Group has gathered input on the quality and availability of existing space for the Keele and Glendon campuses. Information gleaned from this limited consultative process highlighted certain broad areas for consideration, along with a context for future considerations of public shared spaces and academic space, as well as numerous short, mid and long-term recommendations.

Some broad themes that emerged during the Working Group's consultation and deliberations include:

1. Community members strongly feel there is a lack of public interior space, as well as a shortage of attractive or inviting outdoor space. There is a very strong sense that the space which is available (including washrooms, corridors, lounges, etc.) is not well maintained, is perceived to be unclean and there is confusion about how to access these spaces. There is also confusion about who has stewardship and accountability over this space.
2. While reasonable efforts were made to consult on space issues, there is an overriding interest on the part of many within the community to be more fully consulted on space issues going forward with respect to the planning of new space and the renovation of and maintenance of existing space.
3. Well-designed and planned public spaces can create a sense of connectedness and a shared sense of community that is essential in creating pride, engagement, and a sense of belonging. The notion that public spaces are essential to a safe, healthy, engaged community is imperative to informing a thoughtful plan about how the physical space on a campus can enhance campus life and create an inclusive environment that enhances learning.
4. Academic spaces are critical to the experience of students and faculty alike and can contribute directly to pride in our academic programs and can enhance our institutional reputation. For years, there has been no single governing body or office that manages classrooms: the Registrar's Office assigns classes, UIT provides technology to

classrooms, and CSBO maintains and cleans the space. While the University SPACE Committee is currently establishing a Classroom Sub-Committee to be chaired by the Registrar, there are no University standards for our academic spaces. For academic spaces to improve, we must ensure effective consultation with stakeholders, ensure our classes, labs, etc. are sustainable with a commitment to infrastructure, governance, innovation, accessibility, and the student experience. In order to achieve these objectives a new governance structure should be developed for academic spaces that ensures transparency, accountability and clearly articulates responsibility for these spaces. Faculty and student engagement and leadership will be foundational to re-envisioning our academic spaces.

A great deal of literature focuses on how well designed public spaces can transform communities. The principles of safety, inclusivity, accessibility, pride and connectedness are essential in any planning the University will undertake to transform public shared spaces on the Keele, Glendon campuses and in the creation of the new Markham campus. The Working Group identified three larger projects that are critical to examine: a re- envisioning of the Harry Arthur Common; an examination of the underground pedestrian corridors and teaching spaces; and consideration of commuter needs.

The Harry Arthurs Common is the central outdoor public shared space at the Keele campus. It is situated at the heart of the campus and was designed to be a premier outdoor public shared space. However well intended the plans were for the Common, this space has been relegated to a busy transit terminus for buses which make an average of 1,800 trips a day to and from this location. Adding to the congestion, pollution, and noise of the transit hub is the construction for the new York University subway station which has taken over the eastern portion of the Common and diverted pedestrian and vehicular traffic. There is need to re-envision and redesign the Harry Arthur Common in preparation for the completion of the subway construction and the relocation of bus traffic to the Black Creek Pioneer Village and 407 subway stations. The Common should be re-envisioned as a key community public shared space for the Keele campus which would afford the university a unique opportunity to engage students, staff and faculty in an exciting visionary project to create a vibrant entrance to the university that could serve multiple purposes.

With the opening of the two subways stations on campus, there is a growing expectation that greater numbers of commuter students, faculty and staff will travel to and from the Keele campus by public transit. This move away from reliance on the automobile as the primary mode of accessing the campus has steadily been gaining importance over the past 15 years or so. A reduction in car trips to campus will have an impact on campus parking demand. These trends will need to be evaluated with respect to student experience, impact on land use, and a strategy to address declining parking demand will need to be developed and integrated within the campus experience strategy.

Teaching spaces in old building basements and underground pedestrian corridors and tunnels at the Keele campus are not ideal public shared spaces on campus. These spaces can give a sense of isolation and make students, staff, and faculty feel unsafe. Yet, underground tunnels connecting buildings remain open to the public and space constraints have forced the university to continue to use labs for first year students in basements like Central Square. There are still staff offices located in basements that are entirely isolated from the rest of the campus. There is a need to review the use of rooms in old basements as teaching space and determine if there is value in continuing to use underground pedestrian tunnels to enable movement between buildings and, if so, how we optimize the use of these tunnels while ensuring continued safety of users.

The fact that the majority of students on the Keele campus are commuters must be an underpinning principle in any redesign or new construction of shared public space. In regards to space planning, aside from addressing the transportation needs of commuter students by focusing on transporting students to and from the Keele campus as efficiently as possible, the university must focus resources to identify and address the needs of commuter students. While it may be challenging to dramatically extend the time most commuters spend on campus, more must be done to ensure that the time they do spend on campus reflects a commitment to build a more engaged and supportive community.

There is one final element that is common to all space at the University – whether shared public space or academic space: the tension between available resources and the need to maintain all our spaces at an appropriate level. There is a consistent theme of frustration and confusion regarding the planning, consultation, maintenance, transparency and accountability regarding space in general. The perceived lack of care and prioritization for public spaces, in particular, has fuelled apathy with respect to changes and improvements. In part, this sense of apathy and frustration may be attributable to an apparent lack of stewardship over public spaces, poor planning, and a lack of coordination. The majority of comments received from community members focus on improving space, cleaning space, and doing a better job of maintaining or caring for the space. All of this requires resources that are scarce. Multiple years of budget cuts have placed this conversation at a cross roads and perhaps it is time to re-envision and reinvigorate how York delivers the services by which it maintains and cares for these spaces. The university will need to be creative and work to foster partnerships to achieve a bold vision for open shared public and academic spaces. Elements such as a cultural shift to a more service oriented process that creates partnerships for the care, maintenance, renovation, planning and design of these spaces with the people these spaces are intended to serve will be critical to succeed in delivering spaces that transform the institution and create an engaged environment. Consideration about these services will need to be re-examined and may include difficult conversations about resourcing, service level delivery, new service models, improving transparency and accountability and creating a more user friendly culture within the units charged with the delivery of care and maintenance to these spaces.

RECOMMENDATIONS

SHORT TERM (12 TO 18 MONTHS)

a. Ensure effective consultation is carried out with students with respect to the re-envisioning of university public spaces including both academic and shared public spaces.
b. Establish an Academic space governance body in connection with the University SPACe Committee that provides leadership and guidance for the renovation and renewal of teaching/learning spaces. Membership of this governance body should include representation from key stakeholders involved in teaching & learning, planning & renovation from across the institution. The work of this group will be informed by principles of innovation, openness, transparency, and efficient utilization of space based on research and driven by faculty and student input.
c. Identify and prioritize areas where public seating should be upgraded or installed to ensure the comfort of students.
d. Conduct public washroom condition assessment and inventory to establish a baseline of information to be used for washroom renovation prioritization planning.
e. Review Campus Pedestrian tunnels Security Services' CPTED audit and address specific recommendations
f. Establish a project committee to oversee and coordinate the planning process for the renewal of the Harry Arthurs Common that is inclusive (student centric) and representative of the Keele campus community. This project committee should have institutional leadership and include major stakeholders including York University Development Corporation, CSBO, the Office of the VPFA, student representation and other key stakeholders and should be co-chaired by a student.

f. In order to facilitate engagement with student organizations, ensure that large meeting spaces are equipped with built-in AV equipment.

g. All renovations to student-oriented space should engage students as part of the consultation and design process. This may involve the respective student representative body (e.g. College Council) and/or a partnership with the Division of Students.

h. With the principle purpose of overnight stay to facilitate academic work, develop an agreement with the Schulich Executive Centre, to permit students to use the overnight facility at a reduced rate affordable to students. Other short-term accommodation opportunities should be explored with Housing Services that optimize available student apartments in Passy Gardens, and elsewhere on campus.

MID TERM (18 TO 36 MONTHS)

a. Public lounges should be re-envisioned to create flexible, creative spaces in which to socialize, organize, and study.

   i. Identify flexible modular student lounge/study/creative space projects for both Keele and Glendon campuses to expand on the available inventory of these in demand public shared spaces. Using the Scott Library "Collaboratory Learning Commons Hub" and the new Bergeron Centre for Engineering Excellence's "Sand pit" as models for collaborative and flexible individual and group study space[1],

   ii. Working with Advancement Services, identify potential funding model for the renewal and addition of public lounge space. The funding model may include donor recognition approach similar to naming of classrooms at Schulich and Osgoode

   iii. Identify opportunities for staff and faculty lounge space improvements. One possibility may be to re-purpose some of the existing Senior Common rooms. Inventory and assess condition of existing staff lounges and develop a plan for the development of staff lounges (where these are not presently available) or

[1] *Also known as "Makerspaces" which are characterized as flexible creative spaces that have a "do it yourself feel", where occupants can move seating, tables and other furnishings around to adapt to the demands of the situation. Such spaces are intended to allow creativity, invention, and cross pollination of ideas*

improvements to existing staff lounges.

iv. Identify common spaces in locations (such as libraries and traditional cafeterias) that can be transformed into innovative engaging spaces that bring together diverse groups such as faculty, grads, undergrads, members of community

v. Under the housing strategy, Student Housing and Residence Life in consultation with residents should explore and advance additional opportunities to enhance residence common space. A similar initiative should be carried out for the York Apartments.

b. Review space booking procedures for individual/group study use and student/departmental events.

 i. Establish a formal and easily accessible reservation process for students to book classrooms during off peak periods for group study, an applicable model might be that deployed by the University of San Diego, see URL: http://www.sandiego.edu/maps/. Optimize discoverability, access and use of existing spaces across both campuses through development of a mobile app or other technology that brings together data around locations, availability and bookability.

 ii. Revamp university space reservation systems, processes, and governance to streamline and simplify. Ensure an accessible visual scheduler for the campus (as exists at U of T or the York Student Centre) which requires the user to contact respective offices searching for space in advance of the TUUS process.

c. Develop spaces more specifically with commuters in mind. These spaces would have amenities to support active engagement outside of the classroom.

 i. Investigate opportunities for providing support mechanisms for commuter students. Such supports could include: rest/napping spaces, lockers, showers, microwaves, fridges, stations to prepare and warm up food

 ii. Set up bike stalls outside, and examine providing showers in, buildings to facilitate bike commuting to campus

 iii. Develop a new food services strategy that addresses the immediate needs of improving dining options and experience for both commuters and students in residence. The food services strategy should investigate the opportunity to re-envision the Winters College and Stong College dining halls to create more inviting and more flexible student spaces that provide an enhanced dining experience but also create lounge and create inviting space for individual and small group study

d. The Harry Arthur Common planning process should be in a position to articulate specific planning vision for the re design of this important university public shared space move toward implementation of the plan.

e. Improve way finding systems at the University. Way finding should be enhanced and simplified, student centric, and accessible to make navigation around campus and within campus buildings more user friendly.
   i. Investigate, and where feasible install electronic signs in strategic locations such as Vari Hall, College Complex 1 and the Dahdaleh Building to assist with interior way finding.
   ii. Expand on the existing York University Mobile Safety App to add way finding using geo location, or using existing campus WIFI network for triangulation on campus.

f. Strengthen the planning framework for maintenance of space, furnishings and building services to better enhance the on-campus experience and to demonstrate the university's pride of ownership.
   i. Develop a more engaged and consultative approach to renovations of space, furnishings and building services

g. Improve custodial service delivery standards

LONG TERM (36 PLUS MONTHS)

a. Stewardship and accountability for public shared spaces (including but not limited to: washrooms, class rooms, areas outside lecture halls, corridors, student lounge spaces, pedestrian walkways, courtyards and other public spaces) needs to be clearly defined. Roles and responsibilities need to be clearly defined and resourced to address public shared spaces.

b. Since 2007 there has been a net reduction of custodial staff across both campuses due to budgetary realities. This, coupled with an increase in the net assignable space through the creation of new buildings, has resulted in increased stress and demand on the university's custodial services and its ability to meet the needs of a growing community. A gap between the capacity of Custodial Services to address this increased demand for cleaning and the level of cleanliness achieved in public shared spaces is now clearly evident to the community. To bridge this gap, a thorough review and assessment of the current level of cleaning, and the standards applied to custodial services in public shared spaces is needed.

c. Adopt planning principles for new buildings and major renovations related to public shared spaces maintenance including furnishing that incorporates planned renewal as part of total cost of maintenance and total cost of new construction projects or major renovations
    i. Expand on existing Building Standards developed to establish a baseline for new building and major renovations. Building standards should be enhanced and enforced for all new construction on campus

d. There is a lack of permanent student involvement in new building and major renovation planning. Students, as a major stakeholder group on campus should have representation in the campus planning process. This involvement would likely improve our students' sense of ownership and pride in the institution they would help shape.

e. The University Secondary Plan provides broad framework principles for growth. There is a need to provide detail around outdoor public shared space such as the Harry Arthur Common, courtyards, pedestrian walkways, bicycle paths, public recreational space, and the university's gateways.

f. Re-establish a permanent Landscape Planner/Architect position to help facilitate planning and coordination of outdoor public shared space.

g. University should seek ways to improve its 'curb appeal'; to make university space comfortable, inviting and pleasant. Buildings and spaces must be seen as attractive to students as well as attractors for future students.

h. As part of a larger consultation, identify the needs for Athletics and Recreation and develop a proposal for university support.

i. Reimagine College Complex 1 as a LA&PS complex, moving Faculty student services (e.g. advising, LA&PS mentoring programs, learning supports, club spaces) to create a real curricular and co-curricular hub.

j. Reimagine the first floor of the Ross Building as a central hub for the Student Success Centre including a relocation of the Career Centre to join with Student Community & Leadership Development, and the Atkinson Centre for Mature and Part Time Students.

OPERATIONAL INITIATIVES

(Generally relating to short term recommendations)

a. Shared Public Spaces

i. Conduct survey and/or focus group meetings to solicit and gather additional information from students on their perceptions of current, and needs for future public shared space
ii. Replace old worn-out outdoor and interior benches, and review existing placement of this type of seating
iii. Work with Advancement Services to re-introduce the "Campus bench and tree donation initiative". This donor recognition program fundraised resources in support of creating additional public space bench seating and tree planting as part of a donor recognition program
iv. Complete at least two major student lounge space renovation projects (East and West Bear Pits in Central Square and room 018 HNES) that will add significant public shared space for individual and group study, as well as student lounge space for socializing and food consumption
v. Install additional bench seating outside lecture halls in Steadman, Curtis, and other buildings to address immediate student seating needs. Coordinate with the Office of the Registrar to gather data to identify additional lecture halls, labs, studios and classrooms with significant student occupancy as

target areas for additional bench seating

i. Close access to the Vari Hall basement for lecture halls A and B and install new accessible seating at the ground floor entrance level of Vari Hall. This change will prevent students in wheelchairs from having to use the elevator to go down to the basement of Vari Hall to access the two lecture hall's accessible seating

ii. Decide which pedestrian tunnels should remain open to the public and which should be restricted to authorized staff, ensuring that for those tunnels which remain open for public use, there is appropriate signage and video surveillance and that other recommendations to improve security of these public shared spaces are implemented.

iii. A call for community input (particularly form students) through a survey and/or focus group meetings should be set in motion to collect student opinions, ideas and vision for the redesign of the Harry Arthur Common. Where appropriate these this student input should contribute to the planning process

iv. Analyze the total square footage of the Keele and Glendon campuses over the last 10 years and compare to the total budgets for maintenance and custodial services and the associated staff complements.

b. Academic Experience

i. Identify high impact areas for renovation and upgrades to the Keele and Glendon Campus informed by classroom utilization data and program design.

ii. Immediately address highly cited pain points that were observed during site visits and feedback from open forums held. Some examples include:

1. At the Glendon campus, need for adequate student club space that is inclusive and accessible
2. ensure greater access to alternate power outlet solutions (e.g. power towers, charging stations etc.,)
3. Refresh academic spaces with modern colour palettes
4. improve lighting throughout
5. Improve seating in academic spaces

i. Analyze classroom use data to identify opportunities for creating study space in non-use periods, specifically for LA&PS students.

ii. Develop an agile implementation plan with an emphasis on prototyping innovative classroom spaces which should be published to the community.

iii. Propose a policy or protocol to inform academic scheduling to ensure optimal use of available academic spaces.
iv. Develop a communication strategy to raise awareness on existing academic and learning spaces across the Keele & Glendon campuses.
v. Establish a pan-University process for booking and scheduling academic space
vi. A new Academic Space governance body will oversee audit of spaces - classrooms libraries, colleges and develop prioritized schedule and shall Have an ongoing role in continually reviewing, assessing, and planning for longer term requirements
vii. Optimize and integrate existing data sources and tools (such as R25, door access controls, space inventory etc.) to provide one-stop information to students and the York community at large to view available bookable spaces.

C. Taking Care of Space

i. Life cycle planning of infrastructure (based on building age; usage) should be the overarching focus for maintenance of buildings, contents and building services to move maintenance regimes from reactive to proactive
ii. Develop preventative maintenance schedules and share with building occupants (stakeholders), allowing stakeholders to know when maintenance projects can be expected for their respective spaces
iii. Review and map existing custodial processes to identify opportunities for process improvement through the use of agile and lean business processes. These process reviews to result in improvement to operational efficiencies within CSBO to allow for more nimble customer service
iv. Improve resource allocation of existing custodial services
v. Improve reporting of custodial services (inform community of frequency of cleaning tasks –when are flooring, washrooms, desk surfaces, garbage, etc.,)
vi. Look at different custodial models that would complement existing service provision, such as an expanded role of part time staff, roving crews, and other service delivery models or combination of opportunities.
vii. Design of space within buildings should be considered with student centric approach and accessibility and inclusivity as priorities

viii. Building maintenance and cleanliness should be forefront and demonstrable and at all times create sense of pride of ownership and commitment to the community.

ix. Consistent approach to design and building improvements so that all space looks and feels to a certain standard (varying standards between buildings and Faculties should be discouraged)

x. Improve accountability and stewardship of space by all community members

xi. Develop interior building way finding that will improve building interior signage to identify building name, room numbers, etc., within corridors

xii. Colour code buildings (and corridors)

xiii. Revise the Keele campus way finding by zone of interest or by compass corridors (NSEW)

xiv. Revise campus maps to identify areas of interest and remove numbering system which does not align with actual building name or street number

xv. Consider digital direction routing (i.e., smart phone app which would allow community member to navigate from one point on campus to another)

xvi. Larger building exterior signage to be more accessible

xvii. Identify pedestrian flow across campus and through campus buildings at all times of the day and on all days of the week. Utilize this information to improve access through buildings. Consideration should be given on how to improve access and pedestrian flow through campus buildings.

xviii. Buildings which are closed off after certain times of day create unnecessary obstacles. Review current building closure practices to ensure student access is granted when required while observing the need for safety and security of space

xix. Design of new space and renovation of existing space must make accessibility a priority

c. Co-Extracurricular

i. Addition of audio video equipment to large spaces (e.g. built in screen, projector, computer, audio plugin and speakers). Large spaces like the Founders Assembly Hall and Winters and Stong College Dining Halls are currently limited in their use by student organizations due to the lack of a dedicated audio video setup. These spaces to be enhanced with built- in systems for audio and video use with a focus on the most utilized space, the Founders Assembly Hall

OUTCOMES

FROM SHORT TERM RECOMMENDATIONS:

a. Student survey results that can inform and refine specific recommendations for shared public space
b. Address immediate needs for seating in public shared spaces
c. A sustainable source of funding for ongoing renewal and addition of bench/lounge seating in public shared spaces that can complement university funding
d. Baseline information of current washroom state of repair that can inform a multi-year planning process for ongoing renewal of this public shared space
e. Net new student lounge space in high occupancy high pedestrian traffic areas Central Square and HNES
f. Improved underground tunnels and basements with more limited access.
g. Planning for the Harry Arthurs Common commenced.
h. New academic space governance body in place overseeing space audit with measures introduced to improve space use efficiencies and planning process underway for the development of a more innovate approach to academic spaces.
i. Analysis of custodial and maintenance services completed

FROM MID TERM RECOMMENDATIONS:

a. Planning including budget requirements for a number of new flexible student individual and group study space
b. A sustainable funding process through donor recognition for student lounge space that can complement institutional funding for this public shared space
c. An online classroom reservation system that allows students to book available classrooms for individual or group study through an interface between the university's enterprise space reservation solution (presently R25) and a layer of the on line dynamic campus map
d. Planning underway to address more clearly the unique needs of commuter students.
e. Planning for the Harry Arthurs Common is complete and work commenced.

FROM LONG TERM RECOMMENDATIONS:

a. Clear definition of accountability and stewardship for public shared space and academic space. This clarification should include specific roles and responsibilities leading to transparency and to accountability for space that is not evident today
b. Documentation and enforcement of minimum public shared space requirements as a building standard for new building and major renovation results in pubic shared space no longer being treated as an afterthought but an important planning consideration
c. Refinement of university's plan to address outdoor public shared space providing direction for pedestrian walkways, recreational space, bicycle lanes, the Harry Arthur Common redesign, and the university's gateways and other public shared spaces
d. A permanent Landscape Planner/Architect position provides direction and helps action the university's plan, can lead the redesign of important outdoor public shared spaces, as well as ongoing planning for new building and major renovations
e. Specific outcomes these academic space initiatives are meant to achieve, situated in the context of how they will advance institutional objectives as set out in the UAP, IIRP, Strategic Mandate Agreement, White Paper, etc.
    i. Flexible learning spaces will support e-learning strategies (blended, problem-based approaches, etc.)
    ii. Build community - students collaborating will naturally develop connections that will extend learning and connections outside the classroom
    iii. Extend time on campus - students working and/or socializing together outside the classroom environment;
    iv. Students making connections in revitalized spaces will have a positive impact on retention and reputation
    v. Students achieving outcomes will reaffirm teaching approaches of faculty and instructors

METRICS FOR SUCCESS

- Undergraduate student Retention data
- Course evaluations could include questions about learning spaces
- Increase in students staying on campus after classes - can be measured through utilization of ad hoc use of space; increase in demand for library/study spaces; increase in use of sales- food vendors;
- External Awards and recognition
- Improved student engagement = students stay on campus; and want to stay on campus;
- Increased student retention = students who enjoy the York experience will stay at York for longer than one year
- Improved community engagement = space is used more broadly by larger community
- Improved reputation = less personal injuries, personal safety incidents
- Increased external funding = Alumni become more engaged and want to contribute to York's future
- More strategic use of York funds = less emergency work; long term planning to know when a building has been and will be maintained and or renovated

APPENDIX: Background

PROCESS FOR DEVELOPING RECOMMENDATIONS/REVIEW OF WORK DONE TO DATE

Briefly outline the process followed to develop the recommendations and operational initiatives

DOCUMENTATION/LITERATURE/RESEARCH CONSIDERED

Provide a list of relevant references, surveys conducted or consulted, benchmarks, etc. used to develop the recommendations and operational initiatives

- Inventory of Physical Facilities of Ontario Universities 2013-14, Council of Ontario Universities/Coseil Des Universities De l'Ontario
    - o Space classifications including the following subcategories: 14.2 "Recreational Facilities and Services", 14.3 "Lounge and Service Spaces", 5.4 "Study Space under the jurisdiction of the University Library System, 5.5 "Study Space not under the jurisdiction of the University Library System". Subcategory 16.2 "Other Non-Assignable Areas" (this subcategory includes public washrooms).
- Student Personas package, research conducted by Office of the Registrar
- VPFA, Space Priorities presentation

- University Master Plan
- York University Student Centre users and clubs surveys

COMMUNITY CONSULTATION

Each sub-group met individually on at least a bi-weekly basis within the context of the wider Working Group bi-weekly meetings and provided detailed reports to the Working Group, as well as seeking feedback from the all members. Sub-Group leads, along with the Working Group co-chairs held separate coordinating meetings to review processes and overlapping issues. A survey of approximately 150 students was carried out by the Academic Experience Sub-Group. On 31 March 2016, the Working Group hosted a very successful public forum in the Founders Assembly Hall attended by over 65 community members.

IIRP WORKING GROUP:
Quality Administrative Services
September 6, 2016

Report for Community Consultation on Implementation

EXECUTIVE SUMMARY

York University has grown to become one of Canada's largest Universities and like many large organizations, York's approach to growth has been "organic", adding administrative support and service delivery capacity, as it was needed, to existing organizational units and structures. This type of growth has resulted in a tendency to replicate structures and functions across units and to be less effective than it could be in sharing and adopting best practices and ensuring the adoption of common, unified processes and/or enabling technology. The AAPR Administrative Report noted:

> *Even when documented, some processes are extremely complex and reflective of the rapid, organic and iterative growth that characterizes many of our administrative activities. This complexity limits the ability to track true resource inputs, assess outcomes, efficiency and ultimately, makes any revision of process an overwhelming prospect*. (Administrative AAPR Task Force, 2014, p. 28)

Both of the recent major reviews of administrative services, PRASE (Price Waterhouse Coopers, 2011a) and AAPR (Administrative AAPR Task Force, 2014), highlighted the opportunity to improve administrative services at York. Common to the recommendations of the two reports was the need to move beyond the paradigm of "centralized" and "distributed" parts of the University and adopt new approaches to service delivery that contemplated different organizational structures and addressed root causes such as unwieldy, outdated processes and gaps in enabling technology. The PRASE report in particular pointed to the potential of adopting a shared service model for service delivery.

Building on the previous reports, the University IIRP set out expectations for a reorganization of service delivery taking a shared services approach that included:

- Enhanced quality and effectiveness of service to students, faculty, and staff through better coordination
- Enhanced sense of vision, mission and priorities among all staff
- Potential for significant financial savings in the delivery of "core" administrative service

In a shared service partnership delivery model, a single provider absorbs transactional activity previously performed by generalist staff across campus. Through process simplification, elimination of duplication, consolidation and automation, these task-specialized models leverage economies of scale to increase service quality of the "back office" function while reducing administrative costs to reinvest in academic priorities. Typical administrative support services provided by shared services are human resources, information technology, finance and procurement; other functions may be considered in a later phase (Auerbach & Edmonds, 2013)

The working group looked at York's services and considered a broad scope of services within Finance/Procurement, HR and IT for their potential to benefit from shared services (that is, work characterized as transactional, high-volume and currently performed in a distributed manner). This review, along with an examination of the experiences of other University's in relation to York led the group to the conclusion that York could indeed benefit from a shared services approach. Service quality would be the most likely areas for near term improvement with the potential for cost efficiencies in time.

A further conclusion from the work of this group and from the lessons of other Universities is the critical importance of gaining a very good understanding of the current state of service delivery prior to embarking on a transition to a shared services organization. As with other organizational and process change efforts (reengineering, restructuring, TQM or other process management), a shared services change effort must be based on good data.

The working group's recommendation is to embark on introducing shared services as a new mode of service delivery as an alternative to central or non-central delivery. The introduction of shared services should be done through a gradual transition, likely beginning with a small pilot implementation that will develop organizational confidence and support and provide a platform for expansion.

It is recommended that the University implement a shared service model for service delivery through the following steps:

- Define shared services scope based on a business case
- Develop and demonstrate executive level commitment to the shared service model
- Establish an "advisory board" to guide and champion change
- Hire a senior leader to champion the creation of the shared service center
- Provide the shared services leader with dedicated support capability
- Finalize the shared services design and move to implementation beginning with a limited pilot

A move to a shared service organization is but one strategy in a move towards improving services and as such it is important to understand shared services as not THE single answer but as part of a broader re-envisioning of service delivery at York. Many of the tenets that apply to shared services, including a focus on clients, process reengineering, technology enablement, a continuous improvement culture and service excellence – individually or in combination – have the potential for improving administrative service delivery more broadly.

There must be effort made to better understand the dimensions of the broader scope of administrative services and to affect improvements in efficiency, quality and experience across all areas of service delivery. These broader efforts at service improvement can draw on a large body of knowledge and experience in areas such as total quality management and "lean". The eventual goal is to widely train staff in continuous improvement techniques and establish a customer orientation, with the shared aim for service excellence and continuous improvement.

It is recommended that the University put in place the capability to effect widespread service improvement through the following initiatives:

- Introduce organizational capability for process improvement beyond the shared services initiative
- Improve institutional understanding of administrative service delivery processes, costs and distribution of effort
- Action recommendations of the AAPR administrative report around improving service measures – pan University.
- Pursue a broad based program to foster service excellence

A final recommendation builds on the directions set out in the AAPR administrative report. The institution should commit to measuring/tracking the investment in and performance of administrative services on a regular basis. This exercise will be easier to accomplish once the journey towards shared services is well underway, as the scope and complexity of change will be reduced as some of the existing services are transitioned to shared services. Using such a model will complement or may even be necessary to set goals and measure progress of the shared service initiative.

Finally, it must be recognized that a move to introduce a shared services model and efforts to foster broader service improvement represent significant organizational change initiatives. As such attending to the change and its impact through active management – communication, transparency and community engagement will be vital to the success of the initiatives.

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RECOMMENDATIONS

INTRODUCTION AND BACKGROUND

PROBLEM SUMMARY

York's mission is centered on its core activities of teaching and learning and research. The University's administrative work in turn enables the fulfillment of the University's core mission. This administrative capacity is comprised of our people and enabled by the processes, structures and technologies that have been made available to them.

York University was founded in 1959, with Murray Ross setting up a desk in the middle of a field. From these humble beginnings, York grew at a fast pace to become an institution that educates about 50,000 students each year making it one of Canada's largest universities. Like many large organizations, York's approach to growth has been to add support and service delivery capacity, as it was needed, to existing organizational units and structures where the growth was directly apparent (i.e. within Faculties). This type of growth has had two effects. First, it led to York developing a culture that fostered decentralized work and decision making, with Faculties and Colleges serving their students with relative autonomy. Second, like many other growing organizations, York added new capacity in the way in which it knew how: at the local level using systems and procedures that were suited for the processing of work in that particular organizational unit, rather than the University as a whole (please see Appendix 4 for details on capacity types).

This type of organic growth in organizations often results in a tendency to replicate structures and functions across units. For example, virtually all organizational units at York have people responsible for financial, human resource and procurement related tasks. Also, the growth of these distributed functions and structures typically come with the growth of "generalist" types of roles – people who perform a range of tasks that may span multiple, different functional competencies. Research (described in Appendix 4) has shown that such structures can result in service provision that is less effective and efficient than might be otherwise achievable. This diverse, highly distributed state also tends to be less effective than it could in sharing and adopting best practices and ensuring the adoption of common, unified processes and/or enabling technology. The AAPR Administrative Report noted:

> *Even when documented, some processes are extremely complex and reflective of the rapid, organic and iterative growth that characterizes many of our administrative activities. This complexity limits the ability to track true resource inputs, assess outcomes, efficiency and ultimately, makes any revision of process an overwhelming prospect.* (Administrative AAPR Task Force, 2014, p. 28)

York's type of growth has also resulted in disconnects and tensions between central and non-central[1] parts of the organization, a phenomenon that is common to other institutions as well. While administrative processes span the entire organization, views differ between central and decentralized

[1] The Terms "central" and "non-central" as used in this report are not meant to distinguish between central administration versus Faculties or Colleges; it rather differentiates between administrative units whose core function it is to provide a particular service (e.g., Finance employees in Finance) versus units who have support staff that perform that function (e.g., employees within UIT or HR that do finance).

parts of the organization with respect to how to best organize to achieve efficient, responsive, and effective service delivery that balances the needs of University with sensitivity to different units' needs. ,

The dynamic described above was observed in the assessment of the AAPR Administrative Report:

> *Strong themes surfaced related to the way that service delivery is organized in our institution. Most notably the Task Force found high levels of distributed service, spanning across several units. In many cases this distribution is characterized by overlap and duplication. These arrangements suffer from an absence of governance – a lack of clarity regarding roles/responsibilities, authority and accountability – leading to compromised outcomes and tense relationships.* (Administrative AAPR Task Force, 2014, p. 1)

Both of the recent major reviews of administrative services, PRASE (Price Waterhouse Coopers, 2011a) and AAPR (Administrative AAPR Task Force, 2014), highlighted the opportunity to improve administrative services at York. Common to the recommendations of the two reports was the need to move beyond the paradigm of "centralized" and "distributed" parts of the University and adopt new approaches to service delivery that contemplated different organizational structures and addressed root causes such as unwieldy, outdated processes and gaps in enabling technology.

SHARED SERVICES DEFINED

A very early finding of the working group was that, despite the concept being surfaced in reports and discussed, a good understanding of "shared services" – its characteristics, underpinnings and distinction from centralized services – was missing. The term has also, at York (e.g. in some discussions related to the SHARP budget model) and elsewhere, sometimes been used to describe "central services," resulting in some potential confusion. A shared understanding of the meaning of "shared services" is vital to the evaluation of its potential here at York.

In a shared service partnership delivery model, a single provider absorbs transactional activity previously performed by generalist staff across campus. Through process simplification, elimination of duplication, consolidation and automation, these task-specialized models leverage economies of scale to increase service quality of the "back office" function while reducing administrative costs to reinvest in academic priorities. Typical administrative support services provided by shared services are human resources, information technology, finance and procurement; other functions may be considered in a later phase (Auerbach & Edmonds, 2013)

The shared service concept stands on four legs (Chazey Partners, 2015). If any one of them is removed, the effort turns into a regular process design concept. The four legs comprise the following:

- Process standardization and measurement based on Total Quality Management/Six Sigma principles;
- Technology support, preferably via the University's ERP rather than side systems;
- Client focus by ensuring that the clients' needs are properly understood and served in a structured way, with a view to service excellence, and
- People, including skilled leadership, teams' alignment with the appropriate values and processes, a focus that resonates throughout the shared services literature.

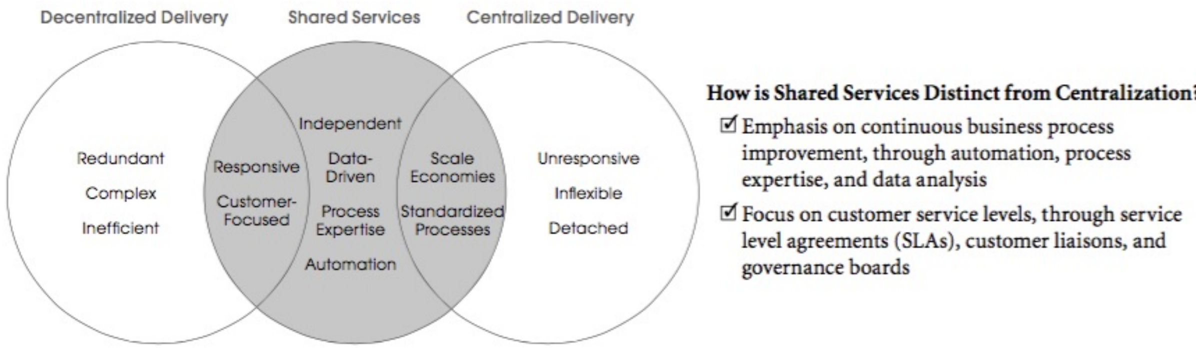

Figure 1: Decentralized versus Shared versus Centralized Service Delivery
(Source: Miller, 2009, p. 3)

The integration into a shared service model using the concepts illustrated above holds the promise of breaking the central / non-central paradigm and improving service delivery efficiency and quality.

THE SHARED SERVICE OPPORTUNITY

The University IIRP set out expectations for a reorganization of service delivery taking a shared services approach that included:

- Enhanced quality and effectiveness of service to students, faculty, and staff through better coordination
- Enhanced sense of vision, mission and priorities among all staff
- Potential for significant financial savings in the delivery of “core” administrative service

In considering a move to shared services it is important to gain some understanding of the improvements York might expect on both the quality and efficiency dimensions and to assess which services may be a good fit for shared services. Appendix 7 (p. 45) provides a framework for selecting such services, with a focus on the ability to make gains in quality and efficiency based on the aggregation of work and its execution through standardized processes executed/supported by specialized resources (staff and IT).

EXPECTATIONS AROUND IMPROVEMENTS IN EFFICIENCY

Appendix 5 (p. 33) provides details of an attempt to understand patterns of administrative expenditures at York. Most often this analysis looks at expenditures on staff, which make up the great majority of administrative costs and indeed represents a critical part of our collective capacity for administrative service delivery.

Review of data published by CAUBO (Canadian Association of University Business Officers, 2015) appear to show that, at an organizational level, York’s investment in staff expense is on par with comparable large Canadian Universities (including McMaster, University of Ottawa, Simon Fraser and others). Appendix 5 contains a summary of CAUBO data, comparing various categories of expenditures as a percentage of total operating costs show that York spends slightly less than other Universities in aggregate and is comparable to peers on administrative salary categories. Though this is very high-level data, it raises the question of whether York’s absolute expenses are the issue or whether we are using our resources to the greatest impact.

The PRASE review found that 8% of University’s operating expenses (about $63M at the time – 2010) were invested in staff supporting ALL Finance, HR, IT and Procurement processes across the entire University. Of the $63M, approximately $39M related to Finance, Procurement and HR processes. While it is difficult to find broad trends around the level of efficiencies gained from a move to shared services, presentations and other materials available to the working group have cited savings in the order of 10-15% on existing costs. On this basis, and assuming that some portion (assume 40%) of the HR and Finance process expenditures would not be candidates for a shared services (e.g. labour relations, treasury functions), a very rough estimate of the potential savings from a shared service model (before transition costs) would be in the small single digit millions (in the order of $2-3.5M annually, or even lower given that improvements have occurred since 2010), casting significant doubt on the assumption that a move towards shared services is suitable for *dramatically* improving financial efficiencies.

Finally, it is worth noting that experience at other institutions has shown that the savings can prove difficult to identify and consolidate and that savings are not immediate, taking several years to achieve. An EAB review (Auerbach & Edmonds, 2013, p. 4) of the experience of nine institutions' shared services initiatives concluded that:

> ***Shared services initiatives do not yield immediate cost savings; shared services administrators should not present shared services initiatives as short-term cost- cutting measures.*** *Upfront implementation costs (e.g., new space, staff trainings) prevent cost savings immediately after shared services transitions. Contact institutions typically adjust savings estimates throughout the course of shared services implementations due to revised timelines and unexpected costs (e.g., construction projects).*
>
> ***Shared services require four to five years to implement.*** *The transition to shared services occurs in phases: change management, building shared services infrastructure, implementation, and optimization. Gradual transfer of functions reassures non-client units that SSCs function effectively and encourages new clients to participate in shared services initiatives.*

Taken together, the transitioning of a set of existing processes to shared services must not be seen as an exercise in cost cutting, particularly since expenses will need to be incurred to set up the shared service infrastructure and for analyzing, improving, moving and supporting processes to or within the shared service unit.

EXPECTATIONS AROUND IMPROVEMENTS IN QUALITY

In general, experience at other institutions, based on information available to the working group, has shown that shared services can indeed have a positive impact on perceptions around service delivery. The EAB review of shared services initiatives summarized their collective experience (Auerbach & Edmonds, 2013, p. 4):

> ***Shared services centers (SSCs) consolidate transactional processes (e.g., payroll) and improve customer service to clients.*** *Contact administrators at all profiled institutions report that initial faculty and staff resistance to the shared services model dissipates within a year after initial implementation. Campus constituents praise faster processing times, the responsiveness of SSC staff to client unit needs, and high standards of customer service. Service level agreements (e.g., agreements between IT staff and academic faculty) serve as contracts between shared services center staff and clients to guarantee service standards.*

In York's case estimating the potential for improvement on the dimension of administrative service quality is made difficult by a general lack of data and measurement. The AAPR administrative report noted this stating:

> *… very few programs are able to set that data into a meaningful comparative context of like programs, either within our own institution or other similar institutions. The Task Force notes that similar program areas, such as Deans' Offices and Colleges are without a common set of benchmarks for assessing quality or efficacy. (*Administrative AAPR Task Force, 2014*, p27)*

The consequence of this situation is that users of a service develop expectations in something of a vacuum while service providers struggle to manage these expectations with inadequate measures of output or performance. This is a critical gap that must be addressed to inform any progress on service improvement again something that was noted in the AAPR process:

> *Ensuring a high quality, sustainable administrative infrastructure is severely hindered by the absence of measurement and therefore, the Task Force considers addressing this deficit of critical importance. (*Administrative AAPR Task Force, 2014*, p. 27)*

"CANDIDATE" SERVICES

As noted earlier, a shared services approach is suited to high volume, transactional services. Examples of transaction-based accounting-centric shared service center functions at other universities include the following (Auerbach & Edmonds, 2013, p. 5):

- Accounting: SSC staff prepare monthly budget reconciliation reports for client units and prepa client budget requests prior to annual budgeting.
- Payment Card (P-Card) Administration: SSC staff process all statements, payments, and records for client unit p-card activities.
- Purchasing: SSCs process client unit purchase orders for supplies and equipment.
- Travel: SSC finance staff process reimbursement requests and per diem reports for staff traveling on university business.
- Onboarding: HR SSC staff process new employee paperwork and hold general orientation sessions for new staff.
- Payroll: Finance SSC staff process employee timesheets and oversee payroll for client units.
- Grant Management: Research administration SSC staff document expenses and distribute revenue associated with external grant funding.

A high level review of shared services at other universities (see Appendix 6, p. 39) shows this same pattern with Finance and HR related services being most common (though opportunities can extend to IT and research support services).

The PRASE analysis found that administrative work at York was distributed across the University with many individuals involved who did not spend the majority of their time on any single type of administrative work (i.e. either spent a minority of time on one type of work or their job is divided amongst different types of work - see Appendix 5, p. 33). This was particularly the case of Finance/Procurement and HR. The PRASE review showed that some types of work were quite distributed – including finance, human resource and procurement work (e.g. only about 25% of "finance" work takes place in the Finance department). A 2011 internal audit review offered similar findings and showed that about 50% of administrative staff (defined as CPM and YUSA staff) worked in the academic division (Faculties and other units of the VPAP division).

A further breakdown done as part of the PRASE analysis showed the following high-level service areas in HR and Finance to involve the greatest effort and apparent distributed effort (no similar analysis was done by PRASE for the IT domain):

- Finance
    - Budget and Planning
    - Accounts Payable
    - Accounts Receivable

    - Travel and Business Expense
    - General Accounting and Reporting
- HR
    - Recruiting
    - Talent Management and Performance
    - HR Operations and Technology

The working group looked at York's services and considered a broad scope of services within Finance/Procurement, HR and IT for their potential to benefit from shared services (that is, work characterized as transactional, high-volume and currently performed in a distributed manner).

The group developed a list of candidate processes that clearly aligns with both the experience at other institutions and the PRASE analysis. Candidate services (analysis is detailed in Appendix 8, p. 50) that were considered included:

- Finance -
    - Travel and expense management (including travel advances, claim processing, booking of travel etc.)
    - Procurement of routine purchases
    - Payment /Journal processing (including PCard, invoice, wire payments, journal and budget transfers)
    - Client access (issue PCard, Travel card, account set up etc.)
    - Financial analysis and support for budget function
    - Training and Education for Orientation and ongoing (Finance related)
- HR
    - HR Core Functions
        - Recruitment
        - Onboarding of new employees
        - Training as it relates to onboarding
    - Updating employee records
- IT
    - Identity management
    - End user workstation/device support

For the purpose of this report, two potential services were selected for detailed examination in order to attempt to validate their suitability for shared services. The two services that were examined were HR onboarding of new, non-academic employees and IT Identity management (issuance and management of credentials for IT system access and authorization). Summary reports on the investigations into those processes are available in Appendix 9 (p. 54, Onboarding) and Appendix 10 (p. 65, IT Identity Management). Key conclusions from the examinations include:

- The process of onboarding was found to be appropriate for inclusion in a shared service model. Onboarding as an extension of the hiring process begins once an individual has signed a contract and involves many transactional processes that could be streamlined and coordinated by trained shared services staff. Transactional processes such as generating an employee number, gaining PPY access, signing up for benefits, completing and tracking mandatory training such as WHIMIS, etc., could be completed by trained shared services staff leaving the strategic unit-specific onboarding to decentralized units and more complex expert-driven items such as pension issues to central HR. As a pan-university initiative, recruitment and onboarding will soon move from a paper-based system to one using the latest Applicant Tracking & Onboarding software, providing a further enabling element to succeed within a shared service model.

- Only some activities within the HR onboarding process appear suitable for a shared service (see Figure 15, p. 55). This demonstrates that detailed process analysis must be conducted in order to determine, with any confidence, whether a service is well suited to a shared service approach. Other key findings from the onboarding example include that a proper definition of the service under investigation is needed, baseline data needs to be collected (even beyond what was done for this report – to address current costs and specific roles involved) and that key performance indicators need to be established for the current and future states. The benefits outlined in Appendix 9 are numerous, but almost exclusively related to performance improvements (vs cost savings). This finding reinforces the explanation of expectations discussed earlier in this section.
- The IT Identity management process, though certainly something that needs improvement, would benefit most from process streamlining and technology enablement – less so from a reorganization of work (I.e. into a shared service). This example shows that an initially distributed process that appears suitable for shared services, once redesigned and enabled with technology, may become sufficiently streamlined and automated that the key qualifiers for the process to be suitable for shared service delivery no longer exist. In essence, not all services or processes that need to be improved demand a shared services approach.

To determine an appropriate set of services for a shared services initiative to begin with, detailed analyses of those services with the highest prospects for gains in quality and efficiency should be made, documenting the current state of these processes (volume, location of services, service quality/satisfaction) as well as the future conceptualization, both from end to end (Appendix 7, p. 45 provides some guidance; the Total Quality Management / Lean Management / Six Sigma literatures provide detailed tools).

THE POTENTIAL FOR SHARED SERVICES

The assessment of previous work at York (most notably PRASE), and examination of the experiences of other University's in relation to York leads to a conclusion that York could indeed benefit from a shared services approach. Service quality would be the most likely areas for near term improvement with the potential for cost efficiencies in time.

A further conclusion from the work of this group and from the lessons of other Universities is the critical importance of gaining a very good understanding of the current state of service delivery prior to embarking on a transition to a shared services organization. As with other organizational and process change efforts (reengineering, restructuring, TQM or other process management), a shared services change effort must be based on good data.

The move to a shared service model and the transition of any service will require detailed data and an in-depth analysis of the underlying processes as experienced by the service providers and service clients. York does not currently have the detailed and comprehensive understanding of its services that is necessary (i.e. who does what, how do they do it, in what volume and how well?) to confidently define expectations for improvement (in quality or efficiency) or to identify the services and activities that would be best suited to a shared service approach.

This work group relied significantly on data gathered in the context of PRASE a number of years ago. The PRASE approach and data resembled the kind of assessment and information required, however, it was somewhat limited in scope and detail (and the data is reasonably felt to be outdated). A vital first step in our move to implement shared services must be to gather detailed and comprehensive information on the current state of services at York and use that data to confirm the case for change and set our outcome expectations.

QUALIFICATIONS

Because the focus of Shared Services is on *distributed high-volume transactional processes*, only a subset of administrative processes at York University may be suited for this delivery model. In addition, the scope of the services that the work group was charged with investigating included only Finance/Procurement, HR, and IT, leaving out some domains that could also be suited to a shared services model as well (these additional service domains were detailed in the PwC PRASE report).

A move to a shared service organization is but one strategy in a move towards improving services and as such it is important to understand shared services as not THE single answer but as part of a broader re-envisioning of service delivery at York. Table 1 (Grover, 1999) describes some of the well known approaches to service improvement (shared services draws on many of these concepts).

	Rightsizing	**Restructuring**	**Automation**	**TQM**	**Reengineering**
Assumptions Questioned	Staffing	Reporting Relationships	Technology Applications	Customer Needs	Fundamental
Focus of Change	Staffing, Job Responsibilities	Organization	Systems	Bottom-Up Improvements in Many Places	Radical Changes Over Broad Core Entities
Orientation	Functional	Functional	Procedures	Processes	Processes
Role of IT	Often Blamed	Occasionally Emphasized	To Speed Up Existing Systems	Incidental	Key
Improvement Goals	Usually Incremental	Usually Incremental	Incremental	Incremental	Significant
Frequency	Usually One Time	Usually One Time	Periodic	Continuous	Usually One Time

Table 1: Reengineering and Other Change Programs
Source: Grover, 1999, p. 37

Many of the tenets that apply to shared services, including a focus on clients, process reengineering, technology enablement, a continuous improvement culture and service excellence – individually or in combination – have the potential for improving administrative service delivery more broadly. The introduction of a shared service model, as well as addressing specific service issues, can also serve to model a transition to a culture of continuous improvement and service excellence.

RECOMMENDATIONS & OPERATIONAL INITIATIVES

The work done to date by the working group validates earlier assessments, particularly the PRASE analysis, that York shares the organizational traits where one might expect a shared services delivery model to be beneficial. Of the domains within scope for this report, effort particularly related to some HR, Finance and Procurement processes are widely dispersed and involve “generalists” – hallmarks of opportunities for a shared service unit.

The working group’s recommendation is to embark on introducing shared services as a new mode of service delivery as an alternative to central or non-central delivery. The introduction of shared services should be done through a gradual transition, likely beginning with a small pilot implementation that will develop organizational confidence and support and provide a platform for expansion.

The recommendation to move forward with a shared service implementation is being done without perfect information. We do not have all of the detailed data on service costs and quality that would make a recommendation a complete certainty so a shared services move comes with risk. The risk is worth taking however. The PRASE report identified the potential of shared services delivery and AAPR made a number of recommendations that emphasized the need for change – opportunities for service improvements are clearly evident – and we must take action to find new delivery structures.

As we begin to take steps towards the implementation of shared services we must move in parallel to close the gaps in data and our understanding of service delivery at York in order to validate our direction, inform our plans and set benchmarks for future benefits assessment.

Finally, the recommendations of this report are also being made while the University is transitioning to the new SHARP budget model. It is notable that the expected outcomes of SHARP include a greater transparency around administrative service costs and service commitments and a greater capability around measurement and benchmarking. All of these attributes are held in common with the concepts behind a successful shared services model.

The recommendations set out below – not only the creation of a shared service unit, but also the broader adoption of process improvement, improved measures and data gathering, and the development of a culture of service excellence – are consistent with and indeed complement the University’s move to the SHARP budget model.

RECOMMENDATION 1:
INTRODUCE A SHARED SERVICE MODEL FOR SERVICE DELIVERY

The following initiatives support this recommendation:

1.1. Develop and demonstrate executive level commitment to the shared service model

The introduction of a shared services model must be understood and supported at the most senior levels including the President and Vice Presidents. The meaning, potential, and the limitations of the shared service model must be understood by all, including the leadership at the Decanal and AVP levels. The early phases of an implementation may not touch all areas, however it will certainly gain the attention of most everyone and closely be watched. The implementation would also come at a challenging time of change (e.g. the implementation of the SHARP budget model) and in the wake of years of examination and expectation. A move to shared services will require a multi-year, sustained change effort that will require broad and strong leadership support as well as resilience and advocacy with the broader community.

The academic and practitioner literatures (e.g., Ahadi, 2004; Andriola, 2014; Biehl, 2007a; Chazey Partners, 2015; Gardner & Lemaster, 2013; Ulbrich, 2006; Vantaz, 2012) abound with data and advice that show that a very strong commitment by the senior leadership is absolutely crucial to the success of any major change initiative and the implementation of shared services in particular. This commitment will require continued engagement with all stakeholders as well as occasional difficult decision-making (Vantaz, 2012) to keep such a major change initiative on track. (Ulbrich, 2006).

1.2. Establish an "advisory board" to guide and champion change

The existence of a "governance" group of shared service users is a critical part of the shared services model. This group would be formed from representatives of the partner groups that will be using the SSC and functional leaders currently supporting the central element of the services (e.g. AVPs, Executive Officers of major clients, Director level).

In the formative stage this group will provide vital guidance and support to the shared services, including being involved in the hiring of the senior SSC leader, and evolve with the initiative into an important group for ongoing dialogue, planning and ensuring service accountability. This recommendation is in line with recommendations that were made in the PRASE and AAPR reports.

1.3. Hire a senior leader to champion the creation of the shared service center

With senior leadership support and the beginnings of an advisory framework in place York should then move to hire dedicated, experienced leadership to implement the change. This leader would have to have key competencies in relationship management, service excellence, change management and process improvement. This role, likely at the AVP or Director level, would have to be positioned within the organization in such a way that they have appropriate senior sponsorship but also access to operational support at least in the early start up phase.

1.4. Provide the shared services leader with dedicated support capability

In the initial planning phase, the leader of the SSC should be given resources to hire external expertise with experience in shared services in a higher education to support the processes of data gathering and solidifying the initial scope and design of the shared services organization based on an in-depth analysis of end-to-end processes of likely candidates and a redesign of those processes to reflect their desired states. Part of this analysis would be to establish at least rough key performance measurements pertaining to the current and desired processes (see Appendix 7, p. 45, for examples of such performance measures).

In order to operationalize the transition, the University also needs to put in place a core of expertise integrated into the shared services group of possibly 4-5 staff that would provide the capacity needed for working with stakeholders to define service improvement opportunities, analyzing existing end-to-end processes from the perspective of the service provider and service client and lead the organizational change to transition services. It will be important to focus not only on process expertise but also change management capabilities. The experience of other Universities points to the fact that a move to shared services is a major organizational change initiative that requires a significant amount of effort and expertise in order to plan and manage successfully.

1.5. Define shared services scope based on a business case

This report, the PRASE analysis and the experience of other institutions point to a variety of candidates for possible transition to a shared service model (see Appendix 7, p. 45, Appendix 6, p. 39 and Appendix 8 p. 50). A determination of an appropriate scope for the shared services initiative will require analysis based on more detailed and current service data that was available or could be gathered by the work group. Potentially working within the broad data gathering exercise recommended below

(Recommendation 2.2) the shared services team should conduct an in-depth investigation, gathering detailed activity and transactional data for the candidates services. It would be expected that this data gathering would likely be supported by external expertise.

This investigation will allow the shared services leader to prepare a case for change that will describe the near and potentially longer term scope of the initiative along with anticipated benefits and costs.

1.6. Finalize the shared services design and move to implementation beginning with a limited pilot

Building on the approved shared services business case the shared leader would go through a process to finalize recommendations, define the shared services centre (SSC) operating model and begin the process of communicating and affecting change.

It is recommended that the initial implementation of shared services be done in a limited "pilot" effort among a group of "client" units within York's administrative areas (e.g. the VPFA division and perhaps other central administrative units). Further administrative and academic units should follow once the SSC has completed its initial implementation and one-year review phase and as its capabilities increase. There are a number of reasons for this incremental approach:

First, a tightly specified set of initial services and administrative clients allows the SSC to set up and become operational relatively quickly, then work with those clients on technical and non-technical improvements in a focused way. Starting out with fewer units allows the shared service unit to address start-up issues for a particular service with a smaller client base before expanding the volume of operations. The limited scope would also ensure that any issues either within the SSC or with its clients could be addressed quickly and effectively.

Second, adding other administrative and academic units to an already functioning SSC ensures that the SSC will be able to increase its scope while continuing to focus on service excellence. These additional units would be added as the SSC grows capable of providing the required services levels (Miller, 2009). Such a gradual transition is recommended by Gardner & Lemaster (2013). Experience from UC Davis shows that the onboarding of academic units is more complex than that of administrative units, but that academic units are open to onboard a select list of services once the SSC is known to provide high quality services[2].

This recommendation is in line with change management and industry practice. The latter indicates that, in university settings, "most administrators select an initial client unit or group of units to participate in program launch and plan to add additional units in later years" (Gardner & Lemaster, 2013, p. 10).

Finally, as has been noted earlier the move to shared services is a significant change initiative and, projects of this scope tend to encounter challenges. Many of them are discussed in the academic and practitioner literature. Appendix 11 (p. 67) provides an overview and advice.

RECOMMENDATION 2:
PUT IN PLACE THE CAPABILITY TO EFFECT WIDESPREAD SERVICE IMPROVEMENT

As has been noted, not all services may be immediate or even eventual candidates for shared service delivery. A shift to a new delivery model, while bringing the promise of improved service quality and

[2] Interview with Megan Villasenor, Operations Manager, UC Davis Shared Service Center, May 24, 2016

efficiency in some areas, does not represent a complete response to the potential for service improvements. There must be effort made to better understand the dimensions of the broader scope of administrative services and to affect improvements in efficiency, quality and experience across all areas of service delivery. These broader efforts at service improvement can draw on a large body of knowledge and experience in areas such as total quality management and "lean". The eventual goal is to widely train staff in continuous improvement techniques and establish a customer orientation, with the shared aim for service excellence and continuous improvement.

The following initiatives support this recommendation:

2.1. Introduce organizational capability for process improvement beyond the shared services initiative

The success of a service being part of the shared service delivery is predicated, in part, on the improvement and streamlining of the services' underlying processes. Beyond shared services this discipline of understanding the importance of processes, and being able to identify and act on process improvement opportunities can serve to have broad impact in process improvement.

The University should aim to have continuous process improvement become part of York's culture – providing widespread access to the knowledge and tools to identify process improvement opportunities and create a "center of expertise" and service unit to support units and staff in their improvement efforts.

This new unit would be established as a central resource, integrated into York's administrative structure as a service provider. This group would share traits of a shared service unit: it would have a community-based advisory board, functional resources (business analyst and change management experts) and become regarded for its competence and service excellence. Its mandate would be to respond to demand from the community for training or support of process improvement initiatives. Given the similarities of this new unit with the planned Shared Services Centre, consideration may also be given to elements of this unit be used to form the initial core of the SSC.

2.2. Improve institutional understanding of administrative service delivery processes, costs and distribution of effort

Despite the assessments done by the PRASE initiative and the work of AAPR the discourse around how to affect change in service delivery is conducted, in large measure, in the absence of a shared understanding of how services are delivered today, what they cost, how well they perform and how they compare to peers. Genuine progress on improving service delivery, and indeed measuring progress, will be possible only if the University invests in gaining a greater understanding of itself through a regular process of measuring service performance and investment. This data gathering process should be comprehensive – as noted earlier, a shared service initiative is only a partial solution. We need to have data to guide the shape and progress of the shared service initiative, but we also need data on all of the other services and processes as well.

This data collection exercise should leverage any existing service framework(s) or classification system(s) that exist in order to aid comparison and benchmarking. It is also critical that these frameworks go beyond our functional structures and account for the end-to-end, pan-University nature of service delivery processes.

Finally, this broad data gathering exercise may serve as an "umbrella" to a more detailed effort around specific shared service candidate processes.

2.3. Action recommendations of the AAPR administrative report around improving service measures – pan University.

The AAPR administrative report made several comments regarding both the lack and inconsistencies in program (service) measures leading to two recommendations:

> *Recommendation #13: The Task Force recommends that programs be required to develop valid, meaningful and manageable metrics that are linked to assessing quality and efficiency, as well as accountability and performance. This should be done in conjunction with service clients and partners but also be framed with clear alignment to strategic priorities, in addition to being guided by external frames of reference where possible. Similarly, it is recommended that a coordinated approach be taken across like programs.*
>
> *Recommendation #14:The Task Force recommends that, informed by the findings regarding service delivery architecture, a thoughtful approach be taken in considering how best to support the data and measurement needs of the administrative functions of the University. Leveraging the existing resources in OIPA, the approach should provide comprehensive and institutionally coordinated support to programs in terms of shaping requirements, tools, providing coordination over broadly utilized data such as the National Survey of Student Engagement (NSSE) and other sector performance markers.*
> *(Source: AAPR Administrative Report, p23).*

The University must embrace these recommendations and action them. The initiative must also recognize the limitations of the programs as defined within AAPR and that an effort to improve service measurement/tracking be pan-University – accounting for the distributed nature of service delivery.

This recommendation is a natural extension of recommendation 2.2. That recommendation would seek to describe the current state of service quality and investments. This recommendation would see measures taken to put a performance metrics discipline in place across all service delivery units at York. These service measures would be made available through their integration into service commitments/agreements, a direction consistent both with shared services best practice and the expectations of SHARP.

2.4. Pursue a broad based program to foster service excellence

The initiatives outlined above take the foundational qualities of a shared service approach and apply them more broadly – working towards developing the mindset and capabilities necessary for widespread service improvement. This final initiative brings in a further shared service attribute – client focus and a view to service excellence. To this end the University should pursue a broad based training and development program for all staff with the goal of making service excellence part of York's culture.

RECOMMENDATION 3:
BEYOND THE IIRP WORK GROUP ON QUALITY ADMINISTRATIVE SERVICES

The mandate for the work group was limited to the investigation of shared services as a mechanism to deliver administrative services. As has become clear in this report, while a number of services can be transitioned to this model, a large number of administrative processes are not suited for this concept. Given the work group's name (and despite its limited mandate), we feel compelled to reiterate recommendations made in the PRASE and Administrative AAPR reports that call for a review of the University's overall service delivery configuration. For example, the AAPR report puts forth the following recommendations:

> *Recommendation #1: The Task Force recommends that a review of service delivery architecture be undertaken with a view to ensuring the optimal arrangement of structure and process by service need or priority. Opportunities for service provision utilizing shared, laddered and integrated approaches should be considered, particularly as means to streamline and strengthen services that are currently duplicated or uncoordinated across units.*
>
> *Recommendation #2: The Task Force recommends that a review of service delivery architecture or any further analysis of effective service delivery be unbound by current definitions of "programs" or solely within existing functional streams.*
>
> *Recommendation #3: The Task Force recommends that a review of service delivery architecture should ultimately become part of a cyclical review to ensure the evolution and renewal of our administrative infrastructure.*
>
> *(*Administrative AAPR Task Force, 2014*, p. 17)*

The broader scope of these recommendations should be acted upon. First, a strategic level review that takes an encompassing view with regards to the value the various functions deliver to the institution's strategic mission either directly or indirectly, and the organizational or contractual structures through which they are delivered. Second, a service-based review of the (potentially reorganized) functions using a similar framework as the one used for the shared service model (i.e., end-to-end outcome-oriented processes; client-oriented; people focused; ERP-supported) to ensure proper functioning.

The institution should commit to measuring/tracking the investment in and performance of these services on a regular basis. This set of exercises will be easier to accomplish once the journey towards shared services is well underway, as the scope and complexity of change will be reduced as some of the existing services are converted to shared services. Using such a model will complement or may even be necessary to set goals and measure progress of the shared service initiative.

The result needs to be a change in the institution's culture to be focused on managing and working towards its core mission, with outcome measurements and the continuous improvement of end-to-end processes. The focus on the mission will help ensure the internally and externally validated value of what we do, the continuous improvement mindset the effective delivery of services.

PROCESS FOR GOING FORWARD & TIMELINES

ACTIVITIES AND TIMELINES

The above recommendations, and in particular Recommendation 1, contain a sequencing of implementation steps, along with references to who is involved in these steps. It should be noted that this sequencing was arrived at solely within the framework of this report rather than with knowledge and consideration of other initiatives within the wider IIRP framework or beyond (e.g., SHARP). As a result, the start times for Recommendations 1 and 2 are set for 2016/2017 recognizing that the start time particularly of Recommendation 1 may have to be adjusted to accommodate the University's capacity and resource constraints as well as interactions with the other initiatives.

In essence, Year 1 should be spent with establishing an advisory board, hiring and SSC leader and experts and the beginnings of defining the scope for the pilot (investigation of candidate services, construction of business case and design of new services). Given that transitioning a single service takes between one and four months (Gardner & Lemaster, 2013), the planning will carry over into Year 2 (2017) and be complemented with work on setting up the SSC (finding space, hiring and training staff, setting up IT, etc.). Given the narrow scope of the pilot, it should be possible to go live with the SSC at the beginning of 2018. Figure 2 shows the timeline and Table 2 provides further detail.

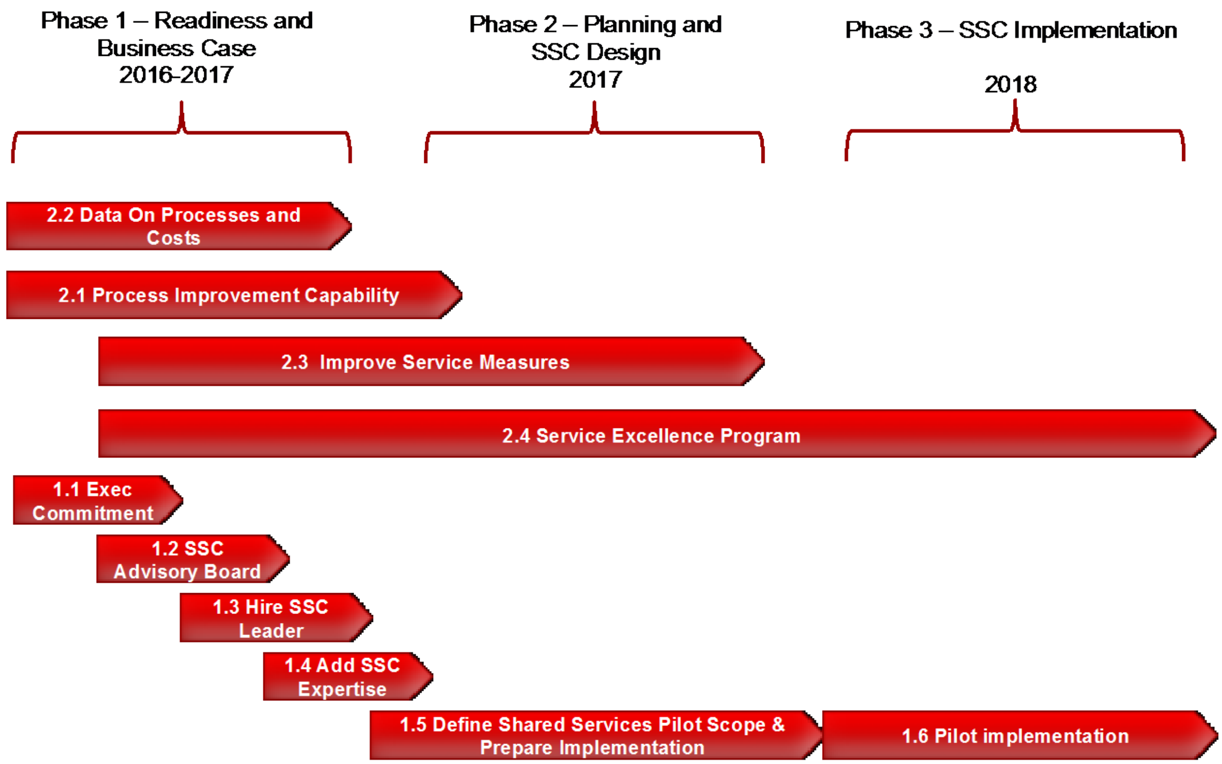

Figure 2: Potential Implementation Timeline for Recommendations 1 and 2

Timeframe	Activities	Responsibility	Notes
Immediate	Senior Leadership to commit to the Shared Service Concept Establish the advisory board Hire a shared services leader and staff	President and Vice Presidents	
2017 Preparation	Data gathering and process analysis of highly likely candidate services, including the assessment of current key performance measures	SSC Leader & Team and potential clients	
	Determine location of new SSC (plan for growth but keep in mind that not all personnel need to work in this location)	VPFA and SSC Leader	
	Design desired state of selected services, estimate key performance targets, complete business case	SSC Leader & Team and potential clients	
	Finalize the initial scope for the pilot project	VPFA and SSC Leader	
	Prepare implementation of the SSC by setting up the physical space, negotiating service agreements with clients, implementing support technology and hiring & training personnel (duration: ~5-6 months)	SSC Leader & Team plus support from various departments	
2018 Pilot	Go live and start tracking performance and client satisfaction	SSC Leader, SSC Staff, SSC Team	
	Engage in continuous improvement to achieve service excellence (i.e., services provided at / above promised levels; easy to use for clients; client-oriented attitude & service excellence)	SSC Leader, SSC Staff, SSC Team, with input from Clients	
	Start analyzing and planning additional potential shared services	SSC Leader & Team, with input from potential clients	
Starting in 2019 Improvement & Growth	Perform an end-to-end review the SSC services and affect further improvements	SSC Leader/Staff/Team; consultant; involvement of clients	
	Once major corrections have been completed, start organic growth of SSC by adding new services as determined by the SSC and advisory board; continue improvements to achieve a reputation of service excellence	SSC Leader, SSC Staff, SSC Team plus support	

Table 2: Implementation Details for Recommendation 1

In parallel, the institution should start improving its process improvement capability, starting in Year 1, with the help of a service unit specializing in teaching process improvement and change management methods and supporting such initiatives (see Table 3 for details). Fundamental to the success of process improvements and, more generally, the management of the institution, is the need to collect more reliable data on processes, including financial and non-financial performance measures. This work should also begin as soon as possible through an institutionally coordinated approach. In doing so, it will be important to relate any process-based performance measures back to the institution's strategic goals and key performance indicators.

Timeframe	Activities	Responsibility	Notes
Immediately	Introduce organizational capability for process improvement beyond the shared services initiative through setting up a service unit and advisory board	President and VPs, involving all employees	The commitment to and implementation of a SSC can serve as a powerful takeoff point for the development of this capability
	Improve institutional understanding of administrative service delivery processes, costs and distribution of effort	President and VPs, involving all employees	The shift of processes into the SSC will reduce the number of administrative processes comprised in this set
Starting in 2017	Action recommendations of the AAPR administrative report around improving service measures – pan University.	President and VPs, involving all employees	Input and output measures should be linked to the institutional goals and strategy (e.g., IIRP), with an eventual view towards the University's academic mission
	Pursue a broad based program to foster service excellence	President and VPs, involving all employees	

Table 3: Implementation Details for Recommendation 2

Last but not least, we recommend enacting Recommendation 3 by commissioning a separate task force with the mandate of reexamining the institution's administrative structures. This work could commence in perhaps 3 or so years, once initial gains have been made towards achieving Recommendations 1 and 2.

Timeframe	Activities	Responsibility	Notes
2019	Conduct a strategic level review of the value the various functions for the institution's strategic mission either directly or indirectly, and the organizational or contractual structures through which they are delivered	Senior Management, with input from relevant stakeholders	
2020 – 2022	Undertake a service-based review of the (potentially reorganized) functions using a similar framework as the one used for the shared service	President and VPs, with help of consultants and University stakeholders	The capabilities acquired through the implementation of Recommendations 1 and 2 will be crucial in supporting the execution of this recommendation The shift of processes into the SSC will reduce the number of services comprised in this review

Table 4: Implementation Details for Recommendation 3

COMMUNICATIONS

The introduction of the shared services concept and, indeed, any change management process, involves a large number of stakeholders. At the very minimum, the assessment and redesign of a process requires information from and collaboration with the process providers and clients. Open and transparent communication will help to limit those stakeholders' anxiety while undergoing the investigation, redesign and implementation phases.

Beyond that, Ronn Kolbash (2016) recommends that key internal and external stakeholders be identified. While communications need to be open and transparent at all times, a stakeholder impact assessment allows the institution to expend different levels of communications and consultation efforts depending on how impactful and influential those stakeholders are. Figure 3 shows typical stakeholder groups (based on position titles common in the United States) and the recommended communications approaches.

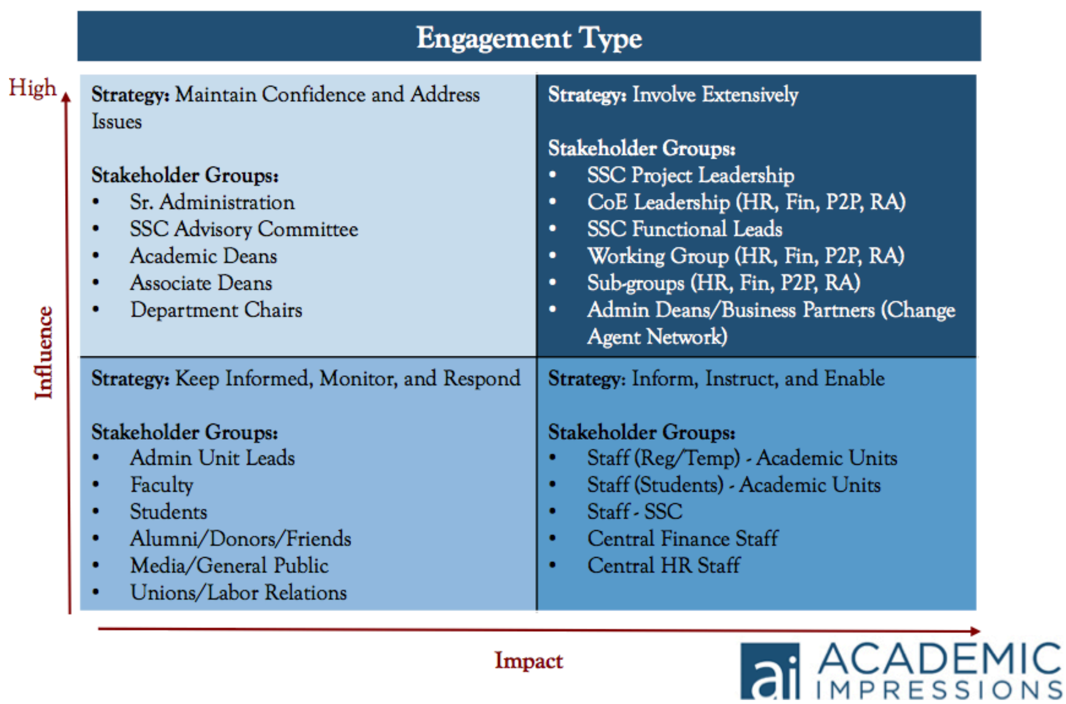

Figure 3: Stakeholder Impact Assessment
Source: Kolbash, 2016, p. 23

The type of messaging is important as well. While it is true that many educational institutions face financial pressures, the discussion on expectations around efficiency (p. 11) clearly shows that the introduction of shared services has only a long-term financial impact, rather than providing a quick fix. As a result, the messaging would be most effective if focused on the need to improve the quality and speed of service delivery and a refocusing on the institution's academic mission. In other words, any communications should be rooted in the institution's overall goals and strategy and informed by the SSC's values and ambitions.

In the context of Recommendation 2, which calls for a very wide participation in process improvement, the messaging could provide a way to call for a large-scale, participatory process that benefits everyone either directly (service quality) or indirectly (job satisfaction). The message will be validated by establishing linkages with the wider community through the SSC's and process improvement service unit's advisory boards.

METRICS FOR SUCCESS & OUTCOMES

METRICS

As outlined above, the effort needs to begin with an in-depth assessment of the current state of processes eligible for the SSC and beyond. Only if clear outcome measures exist can we determine any improvements and achievements based on the recommended initiatives.

York has engaged in a level of assessment through the PRASE initiative. While this is a good start and enough to determine that changes are required, those measurements are largely not detailed and accurate enough to assess the performance of any one service. The data may be used to help set an initial scope for the SSC, but will have to be complemented through the documentation of current process states (mapping with input measures (effort) and output measures (performance)) as well as the redesign of those processes into a future state (mapping and estimates of measures).

The literature is very clear that any outcome measures need to relate to the institution's strategic goals and key performance indicators. While this may not always be possible to accomplish directly as services, at least during the first two phases, will be restricted to the division of the VPFA, the academic mission should nevertheless be kept in mind as the eventual goal to support. External comparators should be used as well, if possible.

Typical measures for service performance include the following:

Input measures:

- Direct costs of providing a service
- Number of staff employed
- Overhead costs

Output measures:

- Turnaround time
- Error rate
- Client satisfaction

Effectiveness (output) and efficiency (input / output) measures can be constructed by relating the above measures to each other. The SSC and other services should strive to improve their performance over time and achieve a high level of service excellence by improving competence and adopting a client orientation.

The institution (or parts thereof) may also conduct periodic surveys to assess the overall performance of its administrative services and to track performance improvements over time. This would allow York to relate those improvements to other key performance indicators, such as the number of applications to York programs, student retention, external research funding received, etc. Again, it is recommended to establish a baseline measure even before any changes are implemented so that progress can be tracked.

OUTCOMES

Expected outcomes are discussed in detail on pages 11 and the following pages. The Administrative Services IIRP Work Group is convinced that, with a focused and swift commencement of the shared services concept, along with a wider effort to enhance our community's process-related competencies and focus towards service excellence, York can transform itself into an institution that becomes the envy of its peers. The time to commence this long journey is now, and with the right encouragement, support and guidance, we will be able to achieve this goal together.

APPENDIX: Background

APPENDIX 1: PROCESS FOR DEVELOPING RECOMMENDATIONS / REVIEW OF WORK DONE TO DATE (DONE TO DATE?)

The IIRP Work Group on Quality Administrative Services ("WG") first met on January 14, 2015. At its first meeting the co-chairs presented the context for this work and the group discussed its mandate. The WG then adhered to a fortnightly meeting schedule, with work completed between meetings.

The WG spent the first few meetings reviewing and discussing academic and practitioner literature pertaining to shared services. This allowed the WG to better understand the fundamental mechanisms underlying the concept of shared services and create a common understanding and departure point for the following work.

The AVPs for Finance, HR and IT were invited to provide overview presentations on their departments and the services they provide, as well as share their thoughts on what they saw as processes potentially suitable for inclusion in a shares service center. OIRA was also invited to provide background on historical initiatives relating to the WG's mandate.

The WG then proceeded to refine a methodology for identifying potential shared services. It established three sub-groups – one for Finance, one for HR and one for IT – charged with collecting information on processes in these departments and rating likely candidates. Based on the results of these ratings, two example services were chosen for a deeper investigation. The purpose of this deeper investigation was to validate the methodology and collect experience in analyzing candidate processes in the York environment. The three sub-groups reconstituted themselves into two sub-groups to carry out this work. While the sub-groups investigate the two processes, the co-chairs started writing the report, compiling further information, and preparing the WG meetings.

Besides scanning the academic and practitioner literature, the WG also reached out to the University of California at Davis and interviewed the University's SSC Operations Manager. As well, members of the WG participated in a webinar that shared experience from implementing shared services in the Government of Ohio, Yale University and the University of Chicago. As a result, the recommendations in this report are informed by the history of York's first two initiatives geared towards improving administrative services (PRASE and AAPR), the WG's own experiences, the academic and practitioner literature and practical experiences from other universities.

APPENDIX 2: RECOMMENDED LITERATURE

To develop an understanding of the mechanisms underpinning shared services:

Roy Shapiro, “Designing, Managing and Improving Operations,” Harvard Business School Core Curriculum Series, Boston, 2014.

Shared Services concept and implementation advice for Higher Education:

Auerbach & Edmonds, 2013

Chazey Partners, 2015

Gardner & Lemaster, 2013

Miller, 2009

Implementation Advice & Lessons Learned:

Ahadi, 2004

Andriola, 2014

Ulbrich, 2006u

Vantaz, 2012

Please refer to the Bibliography (Appendix 13, p. 70) for full references.

APPENDIX 3: COMMUNITY CONSULTATION

Given the limited scope of the shared service concept (particularly initially), only a small range of consultations was undertaken. The working group membership consisted of AVPs and several Executive Officers and experienced administrators, plus a small number of faculty members, all of whom had relevant experience.

In addition, the co-chairs presented the SSC concept and the list of first potential services at a meeting of Executive Officers. Their feedback was discussed by the WG and informed this report.

Lastly, the sub-groups conversed with and obtained information from functional experts in the relevant administrative departments.

In addition to these internal consultations, the WG engaged in a one-hour video conference with the Operations Manager of UC Davis' SSC.

As outlined in this report, deeper and wider consultations will be necessary once the SSC pilot is prepared. The SSC advisory board(s) will provide a natural linkage with the community that will facilitate any communications.

APPENDIX 4: CONCEPTUAL UNDERPINNINGS OF SHARED SERVICES

Like many other management trends, the shared service concept is not an intrinsically new management method. Rather, it consists of bits and pieces of existing concepts that were combined in a particular way to most effectively address a particular problem. It is, however, important to understand the concepts underlying the shared service approach in order to select appropriate applications, anticipate implementation requirements and estimate outcomes.

Chasey Partners (2015) lay out four categories of success factors that are important to the implementation of shared services: the process, technology, the client and people (see Figure 4). In addition to those factors, in this section we also discuss structural choices for a shared service model.

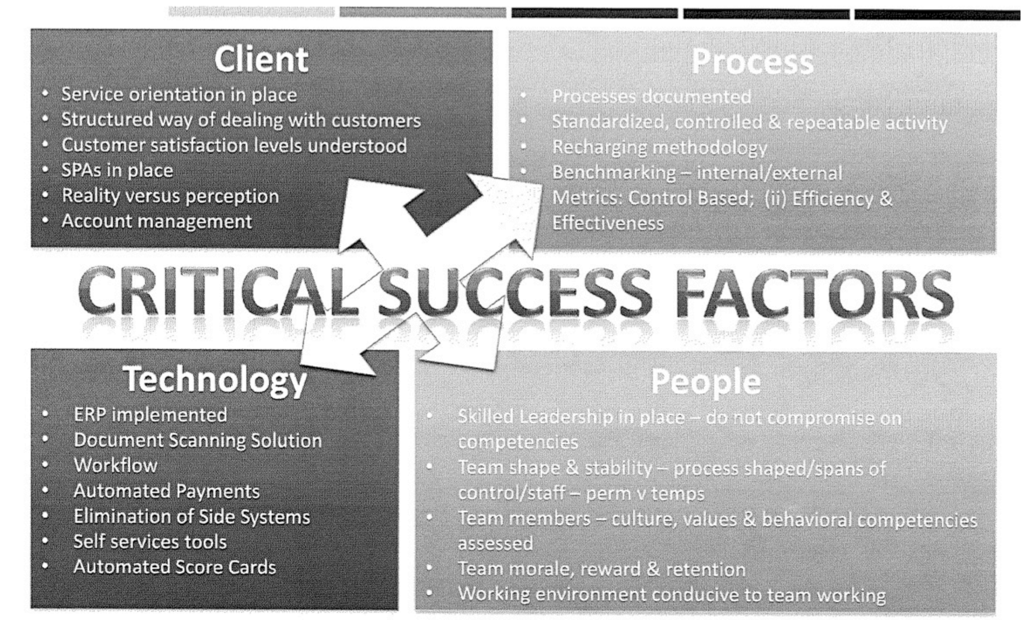

Figure 4: Critical Success Factors for Implementing Shared Services
Source: Chazey Partners, 2015, slide 10

PROCESS MANAGEMENT

Shared services aim to provide transactional services that are aggregated from a number of service providers into a more central location. The underlying concept that describes this situation is referred to as the Product Process Matrix (Hayes & Wheelwright, 1979) which matches process types (from job shop to continuous processes) and resources types (flexible to specialist) to demand volumes. The product process matrix is shown in Figure 5. While this concept emanates from manufacturing, it is equally applicable to services.

Currently, many of the service providers that reside in non-core units (e.g., expense claim processing, budgeting, ETF submissions, computer purchasing, etc.) perform some of those tasks for a relatively small fraction of time. The result is similar to that of multitasking, which really is a form of sequential processing in quick succession. The literature shows that, while multitasking can improve task performance when done sparingly, at higher levels (e.g., if a person has to do many different things) it leads to poor outcomes in terms of processing time and quality (Singh, 2014). As processing times decrease, the effect on the total completion time (including wait times) decreases exponentially (Narayanan, 2003).

Taking the Product Process Matrix as a guide one can conclude that the aggregation of transactional (i.e. repeatable) tasks results in the elimination of setup or switchover times, thus reducing processing time. Processing time will also be reduced because specialist resources (both staff and IT or other support systems) will be performing the task, rather than a generalist. This, again, is associated with a higher quality (i.e., more consistent) result emanating from the process (Hayes & Wheelwright, 1979). On the downside, as these specialized resources are relatively inflexible in what they can do, it is worth aggregating tasks from multiple units only if the resulting transaction volume is high enough to warrant the investment in those specialized resources (both capital investments and training) and those specialized resources can operate at a high utilization rate (Gray & Leonard, 2009).

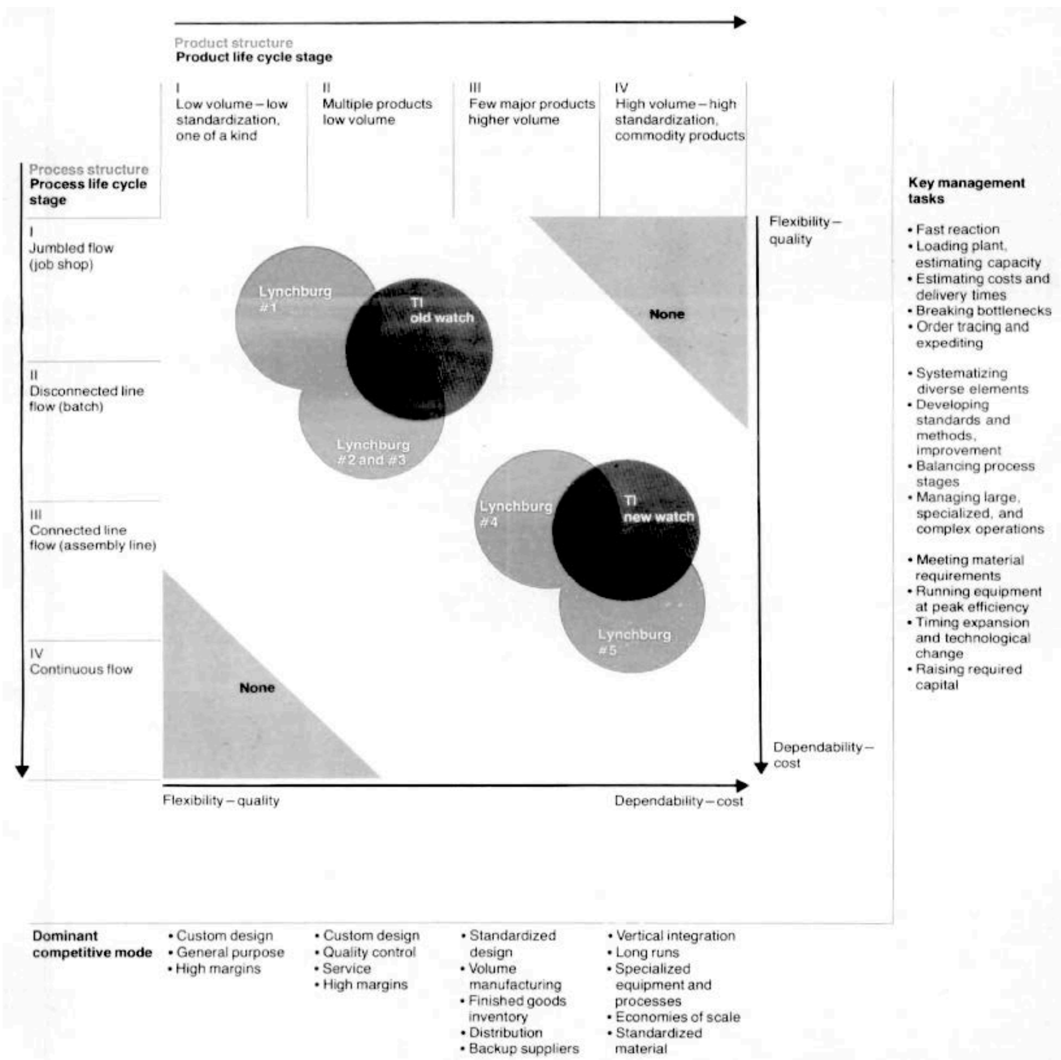

Figure 5: Product Process Matrix
Source: Hayes & Wheelwright, 1979, p. 133

When considering the redesign of a process, it is important to define the process boundaries not too narrowly. According to Ahadi (2004) it is not uncommon to significantly improve a focal process while impacting related processes negatively enough for the overall organizational performance to deteriorate. Ahadi recommends that processes be "broadly defined in terms of cost or customer value in order to improve performance across the entire business unit" (p. 6). In contrast, processes that are too broad may end up being badly planned and too complex to implement. A good tradeoff between these two extremes needs to be found, with interactions to other processes kept in mind.

TECHNOLOGY ENABLEMENT

In keeping with the above, high volume processes are best operated with specialized resources. In a service environment, besides highly trained specialists, this includes support of the processing tasks typically through information systems. It is an enabling force in process improvement projects (Ahadi, 2004). The use of properly designed information systems has various benefits. First, it further increases the service rate and, with that, the turnaround time. Second, it ensures consistency in how the task is performed. Third, records are entered and kept in machine-readable format, which means that they can easily used for analytic and reporting purposes. Ideally, there would also be just a single master copy of any record[3], thus providing an authoritative and unambiguous view of the University's data and facilitating interactions between different components of the organization's enterprise systems.

Experience from implementations of ERP (and other Management Information) Systems shows that those implementations are most successful if the underlying processes are well defined and standardized. For example, in the context of e-procurement, the redesign (i.e., simplification) of business processes as well as users' conformance to those processes via the purchasing system was shown to be a significant contributor to project success, whereas lack of system integration, software immaturity and lack of standardization significantly challenged the successful implementation (Chtioui, 2009). This finding is theoretically supported by (Morton & Hu, 2008). Oftentimes IT systems are also seen as tools for standardizing business processes and the resulting organizational change (Grover, 1999). This shows the tight interaction between the process management dimension and the technology enablement dimension of the shared service model.

ORGANIZATIONAL CHANGES

Process simplification and technology support need to go hand in hand with, and often result in, organizational changes. The Total Quality Management (TQM) and Lean/Six Sigma literatures provide some principles for such change. Those principles include the removal of bottlenecks and process reengineering (JIT), competitive benchmarking, process capability measurements and continuous improvement (TQM) and self-directed work teams with a flexible, cross-functional work force (HRM, Shah & Ward, 2003). The empowerment of employees, along with internal and external benchmarking with the purpose of continuous improvement, require that employees are well trained and supported but also held accountable. Accountability makes it possible to reduce the organization's extensive control mechanism (Delbridge, Turnbull, & Wilkinson, 1992), thus further simplifying the process in question.

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3 Exceptions to this rule include replications for the purpose of faster data access. There would, however, be only one master record anywhere at the institution.

CLIENT FOCUS

Process change touches a large number of people. Given its extensive overlap with TQM, Shared Service models have adopted a strong focus on the process' clients (see Grover, 1999 and p. 12), a concept that is a precursor to service excellence. The providers of the current process need to be consulted not only to document the current state of the process but also consulted in the redesign effort. Equally important, however, are the process clients, i.e., the users of a process, and other employees or stakeholders that are affected by the process change (e.g., employees who work in or are users of processes that are affected by the change of the focal process). The lack of wide consultations typically through cross-functional teams and, in particular, an early involvement of users and end user training, have been identified as an important inhibitor to success in the introduction of major information systems (Biehl, 2007b).

STRUCTURAL OPTIONS

At its root, a shared services model is geared towards aggregating routine (transactional) tasks from a large number of distributed locations into a centralized (but not central) location (Knol, Janssen, & Sol, 2014; see Figure 6).

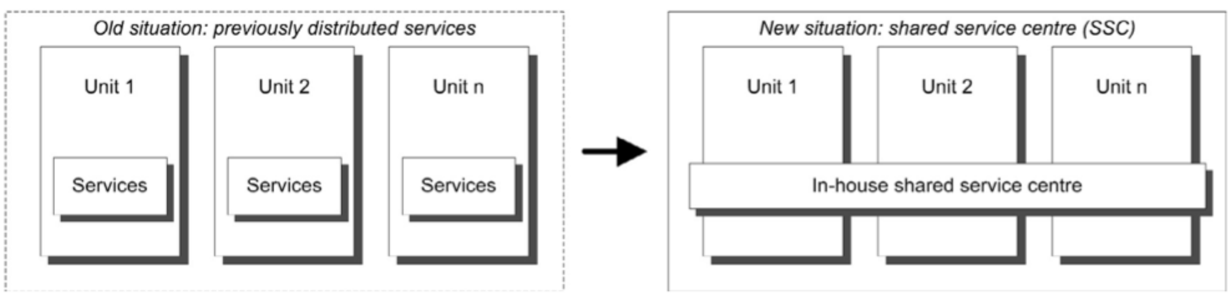

Figure 6: Transition to an In-house Shared Service Center
Source: Knol et al., 2014, p. 92

The internal structure of Shared Services mirrors the discussion on the standardization versus localization of global supply chain and information technology systems (e.g., Braithwaite, 1993), with neither extreme being effective or efficient. At the macro level, according to Miskon, Fielt el al. (2013), shared services may be set up in a separate organizational entity, this being the default option due to the shift in focus from functional competence to service excellence. The "sharing boundary" could span a single location or multiple locations or, conversely, a centralized shared services center or the latter with shared service center employees posted in decentralized locations of the organization (see Figure 7). This would be justifiable or on occasion even desirable if enough transactional volume could be generated at each one of the decentralized locations. Last, the shared service provision could involve only internal resources (staff, systems, infrastructure), a combination of internal and external resources or exclusively external resources. These assertions are in line with practice as observed at a number of universities that have already implemented shared services, with a range of models used to fit the particular need of the clients (Gardner & Lemaster, 2013).

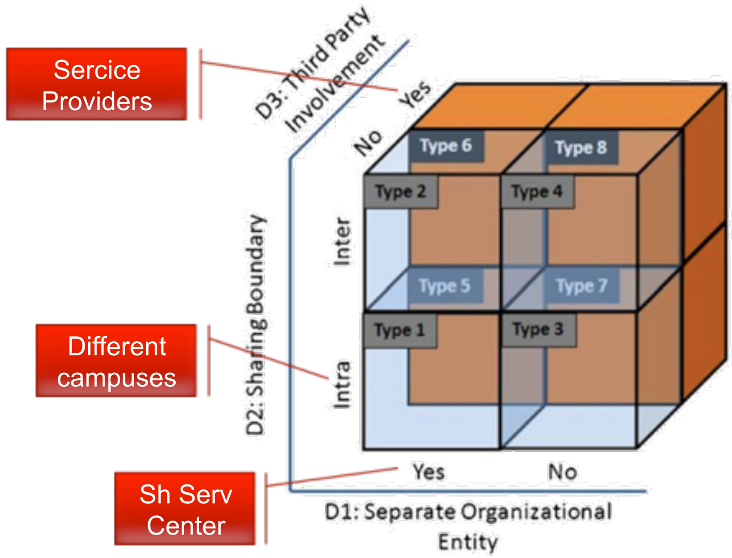

Figure 7: Structural Options for a Shared Service Implementation
Source: Miskon et al., 2013, p. 154

Within the framework of a University, this points to two options (also see Miller, 2009, p. 25). In some instances Shared Services could be delivered entirely through the single location of the Shared Services unit. This would be appropriate for services that are relatively low volume (for a shared service), easy enough to standardize and require central delivery in order to achieve the required aggregation of volume. Alternatively, Shared Service employees could be working in distributed locations as long as enough volume can be generated at each location to keep those employees occupied. For example, Shared Service employees could directly serve a particular Faculty or small number of Faculties, while reporting to and receiving training and support from the Shared Service unit. Slight discrepancies in need (i.e., in process) could also prompt a distributed delivery of Shared Services. The term 'slight' needs to be emphasized, however, as a high degree of standardization is a precursor to aggregation of volume.

APPENDIX 5. ADMINISTRATIVE WORK AT YORK

York's mission is centered on its core activities of teaching and learning and research. The University's administrative work in turn is important in enabling the fulfillment of the University's core mission. This administrative capacity is comprised of our people and enabled by the processes, structures and technologies that have been made available to them.

In the beginning of the 21st century what does our enabling administrative structure look like?

A number of reviews have been done over the recent past in an attempt to understand and create a case for improvement in our administration capability and this IIRP task force is able to draw on this work to gain an understanding of the potential for shared services.

WHERE DOES "ADMINISTRATIVE" WORK HAPPEN AT YORK?

Administrative work happens across the University – About 50% exists in the Faculties and other units of the VP Academic and Provost. Thinking about improving administrative services demands that we consider activity across the institution.

A July 2011 internal review defined, reasonably, administrative work as that done by those employees in the CPM and YUSA staff groups. At that time there were 2,148 staff in these two groups. Figure 8 shows the distribution of both the staff and their salaries across the divisions that existed at the time.

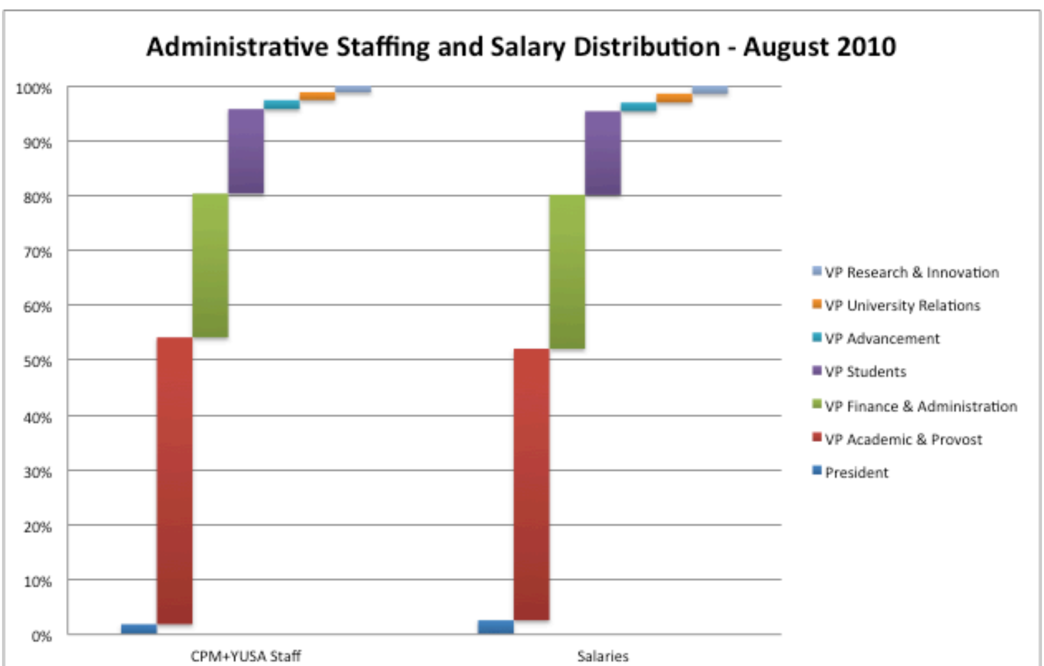

Figure 8: Distribution of Non-Academic Staff and Salaries 2010
SOURCE: Internal Audit Review – July 2011

Exactly comparable data for a more current period is not available, however, York Fact Book information shows that overall staffing levels between 2010 and 2015 are comparable (a seven percent growth over those years across all categories). It is assumed that this change would be unlikely to materially change the distribution of staff across the University seen in the 2010 data.

WHAT DO OUR ADMINISTRATIVE STAFF DO?

Using some assumptions based on job title, 34 percent of staff are likely engaged directly or in part in the work (HR, IT, Finance/Procurement and General Administration) within the scope of this working group's report.

The July 2011 review mentioned above did analysis by job title in order to gain some insight into the kind of work done. The results of that analysis are shown in Figure 9, below.

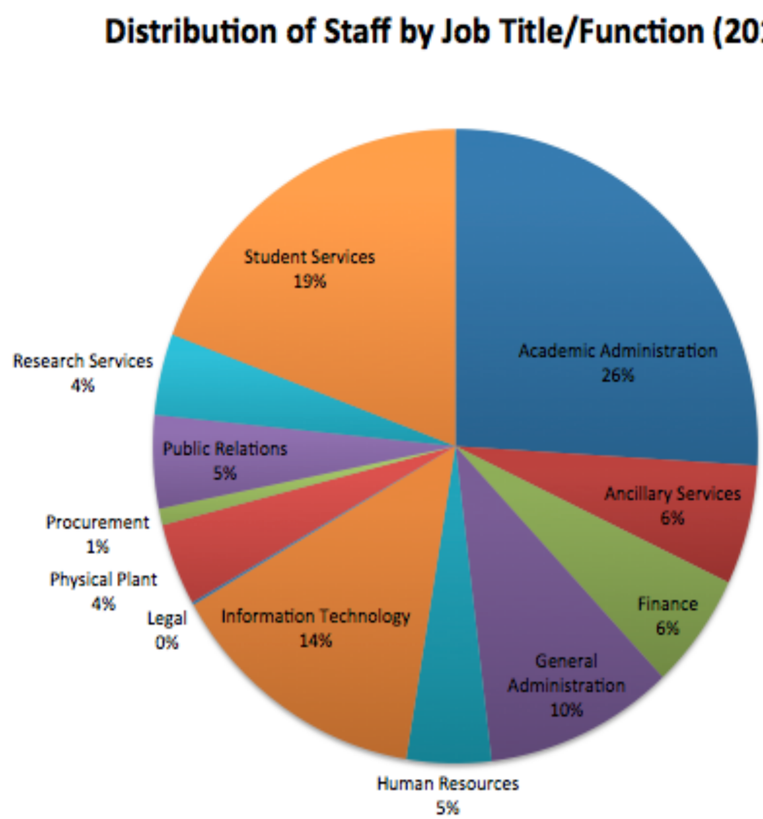

Figure 9: Distribution of Staff by Job Title/Function (2010)
Source: Internal Audit Review – July 2011

The scope of this task force review is to look at the Finance/Procurement, HR and IT functions. If one incorporates the "general administrative" function with those functions then the total staff involved in these groups of administrative activity is 761 and approximately $48M in salaries. This represents the University investment in the enabling capacity in these areas.

Data gathering done as part of the PRASE initiative also showed that administrative work happened across the University and was very distributed in particular for Finance, HR and Procurement activity.

The work done by the PRASE review provides a further insight into administrative functions. As part of the PRASE work a high level analysis was done of the kind of work that people did (see Table 5).

LOE Category	Finance	Human Resources	Information Technology	Procurement Services	CSBO - Physical Plant	CSBO - Ancillary Services	Student Services	Research Services	Comms.
>=90% of Time	57	81	299	20	149	405	263	10	41
<90% but >=75% of time	15	11	12	7	13	15	59	11	10
<75% but >=50% of time	48	34	30	4	18	22	88	15	13
<50% but >=25% of time	150	83	30	28	29	65	146	35	40
<25% but >=0% of time	618	499	201	381	202	287	307	143	336
Total Responses	**888**	**708**	**572**	**440**	**411**	**794**	**863**	**214**	**440**
FTEs Identified	**210**	**208**	**293**	**69**	**210**	**506**	**433**	**53**	**103**
Staff to FTE Delta	**678**	**500**	**279**	**371**	**201**	**288**	**430**	**161**	**337**
% of Staff with >75%	**8%**	**13%**	**54%**	**6%**	**39%**	**53%**	**37%**	**10%**	**12%**

Table 5: Proportion of Time Spent by Administrators
Source: Price Waterhouse Coopers, 2011a, p. 45

The work of a total of 2085 FTEs is broken down in this analysis - in the same range as the counts of the internal review. Of these there are 780 doing Finance, HR, IT and Procurement work - greater than found in the analysis of job title. The clear conclusion from the table above is that administrative activity is dispersed across the University – particularly for Finance, HR and Procurement activities where only a relatively small number of people spend over 75% of their time on of their time on this work. Also many more people perform some of these administrative activities than one might expect based on job title – finance, HR, IT and procurement work forms a small part of what many people do.

Data collection at the "process category" level show that a subset of processes accounts for much of the distributed finance and HR work across the University

The data collection efforts performed as part of PRASE sought to further break down the effort within each function into high-level process areas. The results for pan-University Finance and HR activities are shown in Table 6 and Table 7 respectively, below. No similar report for IT was produced.

Unit / Faculty	Budgets & Planning	Accounts Payable	Accounts Receivable	Fixed Assets	Travel & Business Expense	General Accounting & Reporting	Insurance & Risk Mgmt Services	Pension Investment Management	Research Accounting	Taxation Services	Treasury
AVP Finance	0.6	0.1	0.0	0.0	0.0	0.4	0.1	2.0	0.1	0.0	0.2
CSBO	5.5	8.4	3.3	0.6	0.2	10.4	2.2	0.0	0.1	0.1	0.9
Education	1.4	1.1	0.4	0.0	1.3	0.9	0.0	0.0	0.2	0.0	0.0
Environmental Studies	0.7	0.1	0.0	0.0	0.2	0.3	0.0	0.0	0.2	0.0	0.0
External Comm	0.3	1.4	0.2	0.0	0.3	0.6	0.0	0.0	0.0	0.0	0.1
Finance	3.3	9.3	0.2	0.1	0.3	12.3	1.3	0.3	8.3	0.3	2.3
Fine Arts	2.6	1.6	0.5	0.1	0.4	2.2	0.3	0.0	0.1	0.0	0.0
Glendon	2.3	1.3	0.3	0.0	0.5	4.1	0.0	0.0	0.1	0.0	0.0
Graduate Studies	1.7	0.5	0.0	0.0	0.2	1.3	0.0	0.0	0.1	0.0	0.0
Health	3.1	1.2	0.9	0.0	0.6	1.8	0.1	0.0	0.3	0.0	0.1
Human Resources	0.1	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Internal Audit	0.4	0.4	0.0	0.0	0.6	0.3	0.1	0.1	0.3	0.0	0.2
IT	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
LAPS	7.8	3.7	1.1	0.0	2.9	3.5	0.2	0.0	0.7	0.0	0.8
Library	2.2	0.6	0.0	0.0	2.8	0.5	0.0	0.0	0.0	0.0	0.0
Osgoode	3.0	2.9	0.7	0.2	2.1	3.1	0.2	0.0	0.3	0.0	0.0
Other	4.6	1.4	0.2	0.0	1.1	1.4	0.1	0.0	0.1	0.0	0.0
Procurement	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Research	1.6	0.6	0.4	0.0	0.9	0.6	0.1	0.0	0.1	0.0	0.0
Schulich	1.9	1.2	0.3	0.0	4.9	0.3	0.0	0.0	0.0	0.1	0.2
Science & Engineering	3.7	1.1	0.1	0.0	1.0	2.7	0.1	0.0	1.7	0.0	0.1
Student Services	8.9	2.4	3.8	0.1	1.3	4.8	2.9	0.0	0.0	0.1	0.4
VPFA	0.3	0.1	0.0	0.0	0.0	0.0	0.0	0.1	0.0	0.0	0.1
Total	**56.2**	**39.1**	**12.4**	**1.2**	**21.7**	**51.4**	**7.6**	**2.5**	**12.5**	**0.6**	**5.2**

Table 6: FTE Level of Effort by Finance Process Area and Unit
Source: Finance Current State Report, Price Waterhouse Coopers, 2011b, p. 59

Faculty/ Function	Strategy	Recruiting	Talent and Performance	Learning & Development	Total Compensation	HR Operations & Technology	Total HR FTE
Human Resources	**9.85**	**6.01**	**3.14**	**4.04**	**3.39**	**56.33**	**82.76**
Non-Human Resources Faculties/Functions:							
LAPS	3.15	8.51	2.29	2.43	1.07	5.41	**22.85**
Student Services	2.71	2.07	8.44	5.41	2.59	0.80	**22.02**
CSBO	0.92	1.43	3.62	1.60	0.93	0.23	**8.74**
Health	1.41	2.04	2.21	1.98	0.91	0.00	**8.56**
Osgoode	0.00	0.00	0.00	0.00	0.00	5.43	**5.43**
Schulich	1.50	0.50	1.19	0.77	0.05	1.06	**5.07**
Research	0.37	0.73	0.28	1.10	0.00	2.49	**4.97**
Science & Engineering	0.64	1.29	0.68	0.24	0.10	1.68	**4.64**
Glendon	0.54	0.37	0.35	0.08	0.26	2.88	**4.48**
Library	1.76	0.51	0.08	0.08	0.43	1.17	**4.03**
Fine Arts	0.66	0.58	1.49	0.71	0.25	0.20	**3.88**
Education	0.30	1.37	1.03	0.21	0.06	0.69	**3.67**
Other*	0.87	1.25	1.05	0.80	0.08	2.55	**6.61**
Non-HR Totals	**14.82**	**20.66**	**22.71**	**15.41**	**6.74**	**24.60**	**104.94**
Grand Total	**24.67**	**26.67**	**25.85**	**19.45**	**10.13**	**80.92**	**187.69**
Total % by Functional Area	**13.14%**	**14.21%**	**13.78%**	**10.36%**	**5.40%**	**43.11%**	**100%**

Table 7: FTE Level of Effort by HR Process Area and Unit
Source: Human Resources Current State Report, Price Waterhouse Coopers, 2011c, p. 26

WHAT ARE THE COSTS ASSOCIATED WITH ADMINISTRATIVE SERVICES?

Based on review of expense data from CAUBO, York's investment in administrative capacity (as measured by administrative salaries as a percent of operating expenses) is in line and perhaps slightly lower than Canadian University comparators.

It is possible to gain some insight into the University's investment in administrative services and do come comparisons at a very aggregate level through use of expense data published by CAUBO for Canadian Universities.

Every year CAUBO publishes a variety of data for every Canadian University. One of these reports includes breakdowns of operating expenses by salaries, benefits and other categories. The report also discloses expense by some very aggregated categories two of which include "Computing and Communications" and "Administrative and Academic Supports". The chart below (Figure 10) shows several expense categories including salaries for these two categories as a percentage of total operating expenses.

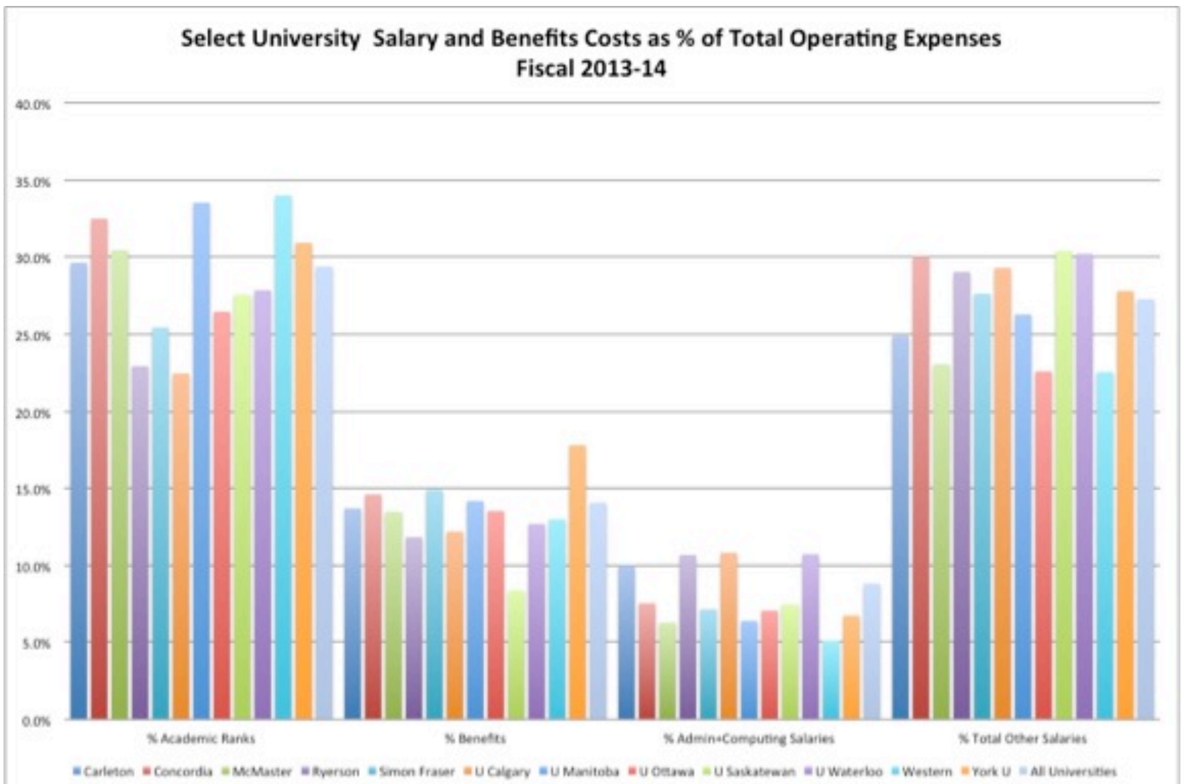

Figure 10: Select University Salary and Benefit Costs
Source: Canadian Association of University Business Officers, 2015

The chart compares York to a selection of Canadian University comparators. The total administrative salaries as a percentage of operating expenses is lower that the figure for all universities in aggregate and is comparable to McMaster and the University of Manitoba. The data may indicate that the main driver for service change is less expense reduction (since expenses are in line with comparators) and more on service quality – including realigning resources to work that provides greater value.

Estimates prepared for the PRASE report in 2010-11 show that the functions in scope for this IIRP working group represented a $63M investment in staff. In the case of Finance, HR and Procurement processes the majority of those costs sat outside of the "functional group proper".

A move to a shared service delivery model aims to improve service efficiency across the University. Analysis done through the PRASE exercise in 2010-11 provides an uncommon view into pan-University expenses. The PRASE analysis of staff costs is shown in Table 8, below.

Category	Area/Unit	Finance	Human Resources	Information Technology	Procurement Services	CSBO - Physical Plant	CSBO - Ancillary Services	Student Services	Research Services	Comms.
FTEs	Functional Group Proper	44	83	185	11	197	470	223	20	32
	Other Central Areas / Units	73	56	16	29	5	9	9	1	24
	Faculties	93	70	92	28	8	27	201	32	47
	Totals	210	208	293	69	210	506	433	53	103
Personnel Cost ($000's)	Functional Group Proper	$ 4,007	$ 6,572	$ 15,606	$ 761	$ 15,532	$ 26,152	$ 16,503	$ 1,454	$ 2,606
	Other Central Areas / Units	$ 5,569	$ 4,616	$ 1,258	$ 2,085	$ 429	$ 676	$ 704	$ 34	$ 1,833
	Faculties	$ 7,246	$ 6,106	$ 7,252	$ 1,994	$ 662	$ 1,571	$ 18,345	$ 2,600	$ 4,196
	Totals	$ 16,821	$ 17,294	$ 24,115	$ 4,840	$ 16,622	$ 28,399	$ 35,551	$ 4,088	$ 8,635
FTE %	Functional Group Proper	21%	40%	63%	16%	94%	93%	52%	38%	31%
	Other Central Areas / Units	34%	27%	5%	42%	2%	2%	2%	1%	23%
	Faculties	44%	33%	31%	41%	4%	5%	46%	60%	46%
	Totals	100%	100%	100%	100%	100%	100%	100%	100%	100%
Personnel Cost ($000's)	Functional Group Proper	24%	38%	65%	16%	93%	92%	46%	36%	30%
	Other Central Areas / Units	33%	27%	5%	43%	3%	2%	2%	1%	21%
	Faculties	43%	35%	30%	41%	4%	6%	52%	64%	49%
	Totals	100%	100%	100%	100%	100%	100%	100%	100%	100%

Table 8: Distribution of Staff FTEs and Costs For Major Administrative Functions
Source: Price Waterhouse Coopers, 2011a

The Universities investment in staff to support finance, HR, IT and procurement across the University was, in 2010, $63M. This figure represents the total potential expenditures that could be in scope in a discussion of seeking efficiencies through shared services.

APPENDIX 6: SHARED SERVICES AT OTHER INSTITUTIONS

The Working Group gathered information about existing universities that have implemented coordinated shared service activities and found that the most common are in the areas of Finance, Human Resources and Information Technology.

Table 9 provides an overview of the findings. Please also see the section on "Candidate" Services on page 9 for a list of processes typically found within a university-based SSC.

The purpose of the exercise was to identify the range of shared services that other universities have implemented, to help guide and inform the selection and implementation strategy for coordinated shared services at York.

The analysis was limited to general observations of coordinated shared services at other universities and their implementations, and to identify potential activities for consideration at York.

Summary	Service	Yale University	University of Chicago	University of Michigan	UC Berkeley	UC Davis	UC San Francisco
Finance and Procurement	Procurement	X			X	X	
	Accounting	X		X	X	X	
	Accounts Payable	X		X		X	
	Accounts Receivable			X			
	Travel and Expense			X	X		
Human Resource & Payroll	Recruitment			X	X	X	X
	Benefits, Leaves & Compensation				X	X	X
	Employee Relations				X		
	Workforce Coordination			X		X	X
	Payroll				X	X	X
	Onboarding				X	X	X
Information Technology	IT Service Desk		X				
	Data Networking		X				
	IT Service Management		X				
	Device Procurement				X		
	Device Provisioning				X		
	Infrastructure services				X		
	Application Support				X		
Research Administration	Research Administration				X		

Table 9: Summary of Shared Services Implemented by Other Universities

In addition, the following pages show the list of SSC Services the University of California at Davis had implemented as of May 2016.

UCDAVIS
OFFICE OF THE VICE CHANCELLOR AND CHIEF FINANCIAL OFFICER
Shared Services Center

Services Provided

UC Davis Shared Services Center (SSC) is a single, service-oriented unit that provides a range of finance, human resources, and payroll services to campus administrative divisions. We are able to deliver a broader range of business services to a greater number of departments at a lower cost.

Please note the Shared Services Center team can provide transitional support, if needed.

Finance

- *Procurement:*
  - Agreements (requisition submission to Contracting Services): Blanket, No Cost, Facility Use, Online Subscription, Catering/Lodging/Event, Revenue
  - Purchase/Order of Goods: Automatic Purchase Orders, Purchasing Card, UCD Buy, Gift Cards, UC Davis Purchase Orders, Purchase Order Including an Asset, Orders with Restricted Commodity Codes
  - Services Orders
  - Repair Orders
- *Accounts Payable:*
  - Invoice Payment
  - Employee Damage Payments
  - Employee Reimbursements
  - Copyright, Regulatory Bank/Licensing Fees
  - Fellowship Stipend
  - Freight
  - Honorarium (Non-Employee)
  - Professional Memberships & Dues
  - Professional Certifications & Licenses
  - Refunds
  - Registration (Non-Travel)
  - Uniform/Tool Allowance

Human Resources

- *Recruitment:*
  - Updating and submitting position descriptions in PeopleAdmin and Aggie Job Link
  - Requisition preparation
  - Application screening for staff recruitments
  - Interview scheduling for staff recruitments
  - Preparing offer letters and employment contracts

- Appointment extension requests
  - Background check scheduling
  - Pre-Placement Physical scheduling
  - DMV Pull Notice registration
  - Onboarding
  - Benefits Orientation scheduling
- *Equities, Reclassifications and Stipends:*
  - Updating position descriptions in PeopleAdmin
  - Reclassification, stipend and equity actions in PeopleAdmin
  - Preparing and submitting payroll salary actions to SSC Payroll
  - Preparing template notification letters for stipends, reclassifications and equity adjustments
- *Department Personnel File Management:*
  - Process content addition and deletion requests
  - Schedule appointments to view personnel file contents
  - Retrieval and copying personnel file contents as appropriate
- *DMV Employer Pull Notice Program:*
  - Register new and existing employees in the program
  - Notify departments of employee driving record incidents reported by DMV
  - Remove employees from the program
- *Workforce Reporting:*
  - Benefits eligibility inquiries
  - Employment status inquiries
  - Employment documentation (ex: Employee Development Plan)

Leaves

- *Client Service:*
  - Coordinate the following type of leaves: Employee's own serious health condition, Pregnancy Disability, Parental bonding, Family member's serious health condition, Military leave, Personal leave, Administrative, Furlough's and Workers' Compensation leave.
  - Provide direction regarding leaves request via phone, email and in person regarding leave.
  - Coordinate with the Workers' Compensation office during employee industrial leaves.
  - Coordinate with DMS (Disability Management Services) for industrial and non-industrial leave.
  - Coordinate with SSC Payroll and Central Payroll to ensure employees are placed in paid/unpaid status during the employee's absence.
  - Verify Leaves eligibility (own serious, Pregnancy, Parental bonding, Family care, Military, Personal, Administrative, Furloughs and Workers Compensation):
  - Timesheet calculations during employees' leave (paper and electronic)

- Enter, manage and approve (as supervisor) time during the employees' leave

- *Benefits Services::*
  - Complete and send (EDD) Employment Development Department forms at the request of the UC Benefits office.
  - Complete the Departmental Notice of Short Term Disability
  - Provide the Benefits office with the completed Staff Leave Request for Benefit continuation
  - Answering Liberty Mutual questions in regards to employees leave
  - Complete Parental Bonding EDD form
  - Provide the job description per Liberty Mutual request
- *Department Personnel Leave File Management:*
  - Manage all documents for employees' file while on leave. Once complete, place in secure location.
- *Furloughs:*
  - Coordinate with the department to ensure the employees are not paid during an employee's furlough.
  - Provide Central Benefits office and (E&LR) Employee and Labor Relations with appropriate forms during furlough.
- *Workers' Compensation:*
  - Coordinate with Workers' Compensation office in regards to all industrial leaves for employees that are not accommodated or off duty due to industrial injury.
  - Provide leave accrual balances and adjust leave as instructed by Workers' Compensation during the leave.
- *Medical Separation:*
  - Complete Medical Separation form questions as requested by (DMS) Disability Management Services.

Payroll

- *Scope of Services includes Staff, Academics and Students*
- *Payroll processing and review, including:*
  - Timesheet calculations (paper and electronic, TRS, Maximo)
  - Mandatory review of Payroll/Personnel transactions
  - One time payments
- *TRS Departmental Time Administrator (DTA) Services:*
  - Set up and maintain supervisor, schedule and compensatory information
  - Return timesheets to supervisor
  - Assist with resolution of Inquiries regarding supervisor or employee access to TRS timesheets
  - Escalate TRS technical issues to the TRS Help Desk and facilitate resolution
- *Payroll/Personnel transaction Processing::*
  - Hires, reclassifications, promotions, appointment and distribution extensions
  - Funding changes

  - Home department code changes
  - Employee name changes
- *Student employment actions:*
  - Work study processing
  - Student increases (longevity and special recognition)
  - Appointment extensions
- *Separations:*
  - Calculate final hours for final check, submit separation check request to Central Payroll
  - Process transfers to other UC campuses and Health System departments (in PPS)
- *Alternate home department code access:*
  - Provide alternate home department code access to UCD Campus and Health System departments requiring PPS access to a unit supported by the SSC
- *PPS/OPTRS/DRS access maintenance*
- *Other:*
  - Complete Employment Development Department (EDD) unemployment audits
  - Vacation accrual code maintenance (monitor/update accrual codes based on years of service)
  - Employment Service Credit audits & inquiries

Service Desk

- *Customer service:*
  - Provide primary support via phone, email and case management system to UC Davis clients and external vendors
  - Trained in all of our functional areas (Finance, HR and Payroll)
- *Incident analysis & resolution:*
  - Research reported problems to determine root cause and resolution
- *Reporting:*
  - Schedule case management system reports for clients to allow visibility into a department's activity
- *Website maintenance*
- *Knowledge base maintenance*
- *Case Management System experts:*
  - Serve as business co-application owners of our case management system
  - Direct user acceptance testing for system enhancements
  - Troubleshoot client issues within the system
- *Training (Process & Systems)*

APPENDIX 7: SELECTING AND EVALUATING PROCESSES FOR SHARED SERVICES

As evident from Appendix 4, shared services are provided for high volume, transactional processes that are widely distributed across the organization. The wide distribution helps ensure that a sufficient degree of volume aggregation can be achieved. Figure 11 checks whether value is added by a process, whether it is distributed, transactional, and supportable by York's ERP. If all those conditions are met, the process is a suitable candidate for being transitioned to a shared service model.

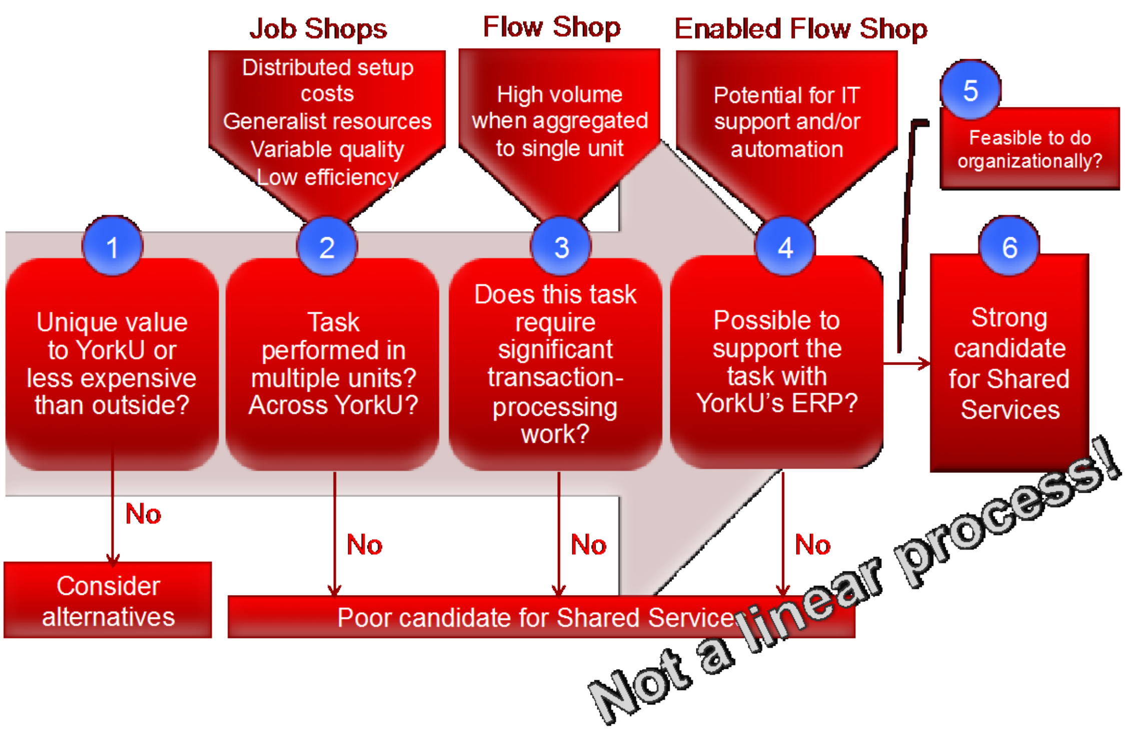

Figure 11: Selection Chart for Shared Service Candidates
Source: Based on Gardner & Lemaster, 2013, p. 6

The balance of this appendix comprises a manual for and explanation of how sample processes were qualified and evaluated based on effort to transition and expected benefits. Its major dimensions are as follows:

1. Process name and description
2. Suitability for shared service delivery
3. Ease of implementation of the NEW process (i.e., shared service process)
4. Impact of process once converted to a shared service

The following recommendations were made to groups when thinking about the candidate processes:

- Please let each group member complete this exercise independently, i.e., not within the group. The benefit of doing so will be that you will be able to compare how close the estimates are to one another. Experience shows that, if the estimates are close, they tend to be fairly reliable. If they are far apart, this indicates that it is unclear what the effort will be.
- Another trick is the following. Once you have estimated the time it takes to do something that is not directly in your domain and you are doing routinely, multiply the estimate by two. If the estimate is for a complex process, multiply by three. This recommendation is based on the fact that we tend to underestimate the effort required for projects that we don't really know very well.

SUITABILITY FOR SHARED SERVICE DELIVERY

The three dimensions for suitability for shared services (degree of dispersion, transaction processing and supportability via IT) come straight from the EAB document, as you will recognize. They are rated using the same scale – from 4 (very high / very transactional / very supportable via IT) to 0 (not a good candidate along this particular dimension).

When thinking about processes along these lines, you may link back to some of the overview data presented in previous meetings that showed measures of **dispersion**, plus use your own experiences.

When thinking about dispersion, you may also think ahead to the number of people that would be impacted by the new shared service – a measure captured later on. You can think of this number in terms of the service providers that would no longer perform this service (or part of it), in terms of new service providers, and in terms of service clients whose providers would change.

When thinking about **transaction processing**, please keep in mind the product/process matrix. In the current process, some providers may have a job shop setup, but the question is whether the work that is currently performed within this process can be made repeatable and more efficiently performed by specialists (i.e., people who would specialize in performing this process) through cutting out setup times and reducing processing times, for the client and the provider.

When you think about this dimension, you may also think ahead towards the impact of restructuring this process – how much time would be saved per transaction, and how would the accuracy of the service provision be impacted? What would this mean in terms of end-to-end speed from the point of view of the service client, i.e., from the time I think about doing this to the time I've actually completed it? What would be the per-transaction cost for the client now and then? For the service provider(s)? Please also take into account salary costs. All these will be rough estimates, but that's OK.

The **degree of possible IT support** links back to how much the process can be simplified. A rule of thumb is that a simple process can supported via IT relatively easily, whereas a complex process requires complex solutions that often don't work very well. Enterprise Resource Planning systems (ERPs) have standard business processes built in, so the more we can standardize processes, the more the ERP will be able to support them out-of-box. YorkU uses PeopleSoft as an ERP. It is already implemented to support central Finance and HR functions, but generally not rolled out to support Finance or HR processes outside the core units.

Again, when thinking about this dimension, please think forward to the time and investments it would take to support the redesigned process in a shared service model. Roughly, if we can turn a process into a standard business process, then investments will be minimal, requiring mostly time for implementation. Otherwise, we may incur investment costs for purchasing add-ons or extending the functionality of the existing system.

The **overall suitability** of a process is calculated as the cubic root of the product of the three ratings. This penalizes low ratings more than high ratings. When all three ratings are the same, it returns the "average" of these ratings.

Note: A low suitability again pretty much rules out a process. For processes with a low suitability, there is no need to estimate any other ratings.

EASE OF IMPLEMENTATION THE NEW PROCESS (I.E., SHARED SERVICE PROCESS)

Here some useful things to think about when trying to determine the effort required for planning and implementing a shared service solution:

- What level of change is required by the client/end user (none/low/med/high)?
- How visible is the service provider to the end user (none/low/med/high)?
- How important is "location" of the service provider perceived to be (none/low/med/high)?
- How difficult will it be to standardize the process (none/low/med/high)?
- How difficult will it be to make the necessary supporting technology available (none/low/med/high)?
- How many service providers' roles will be affected?

Given your responses to the above questions, please try to translate this into the following ratings.

Ease of designing and implementing an effective end-to-end process. This is a technical rating only that gets looks at process redesign and management. Processes whose outcomes have wildly different outcomes and / or use very different methods for processing may be unique and very hard to standardize. Processes where clients have very similar expectations in terms of process outcomes and service providers use fairly similar methods to service their clients should be very easy to redesign and implement within the framework of a shared service model. Most processes will fall somewhere in-between these boundaries. When thinking about this dimension, please think back to your findings in the dispersion and transaction processing categories. This dimension is not attempting to depict IT support or organizational difficulties – please just focus on the process.

Ease of implementing supporting technology. Please think back to the dimension of possible IT support. If a new process needs very little IT support or is very easy to support (e.g., through a simple extension of functionality contained in PeopleSoft or the purchase of a specialized software package), this dimension will be rated highly. If the new process needs lots of intervention from IT specialists for re-programming and customization in order to adapt existing software or write something from scratch, then this dimension will receive a very low rating. If this happens, please also re-examine whether the new process is really well designed or whether it is suitable for a shared service.

Ease of organizational changes. If a process is locked down due to regulatory or collective agreement or similar constraints, then the organizational changes required would be very hard to carry out. Such a process would receive a low rating. If clients and current service providers are on board with switching to a shared service, then this process would obtain a very high rating.

Similar to the overall suitability**, the overall Ease of Implementation** of a process is calculated as the cubic root of the product of the three ratings. If any one of these dimensions turns out to be overly difficult, the new process will be hard to plan and implement.

EXPECTED IMPACT OF CONVERSION TO SHARED SERVICE PROCESS

This section attempts to get at the financial and non-financial consequences of converting a process to a shared service. Service Quality (i.e., the non-financial dimensions) consist of four dimensions:

- The potential to improve the speed of service
- The potential to increase the accuracy and reliability of the service
- The expected impact on perceived client satisfaction.

These three ratings are multiplied with the volume of transactions to arrive at the total impact on service quality.

When thinking about improvements in the **speed of service delivery**, please think about it from the point of view of the client (how much more quickly will I be done with this thing?) and from the point of view of the service provider (how long does someone work on it at the moment vs. in the newly structured process). The thinking you have done within the category of the suitability of a process for shared services will help you in determining this rating.

Accuracy is the degree to which an outcome can be replicated. This gets to another key dimension of the service. **Reliability** includes that the service is available when needed and consistently delivers results with accuracy and in a timely manner. I.e., reliability is more encompassing than accuracy. Please think about this dimension mostly from the point of view of the service client.

Client satisfaction should be a logical outcome of the prior two dimensions, but is focused solely on the client rather than a mix of client and service provider. Please think about the entire service encounter, from the time the client starts preparing for the service (e.g., getting receipts ready) to having concluded the service encounter (e.g., seeing the money in her bank account). As this measure is subjective, please put yourself into the shoes of the client.

The fourth dimension is the **number of people affected** (i.e., how widespread the changes would be) and the **number of transactions** per year (i.e., the total volume of service provision). If both are very high, then the impact is low. If one is high and the other low, then we find ourselves in a gray area. With a high transaction volume but few clients, the service likely was at least somewhat aggregated to start with, thus reducing the impact based on its redesign to a shared service process. With many clients but a low transaction volume, the potential for benefits from aggregation are limited which, similarly, reduces the overall impact at the level of the institution. If both are low, we have to question where we went wrong in the Suitability category.

The **overall impact on service quality** is calculated based on the average of the first three service quality dimensions, multiplied with the volume dimension.

The last input in the impact category is the **estimated change in costs** of the service delivery. For this variable, please think about the shared service in its steady state, i.e., a few years after implementation. Based on the estimates you have already made based on processing times, personnel involved currently and in the new model, etc., please try to put a number on the change in the operating cost of the service. Please ignore capital costs as those are one-time investments.

The **overall impact of the shared service implementation** for a process is the average of the changes in service quality and changes in operating costs.

PUTTING IT ALL TOGETHER

The following matrix should help us determine which processes to focus on for immediate or longer-term conversions. It is self-explanatory.

High impact	Major Projects (Complete as possible but manage carefully)	Quick Wins (Focus on these first)
Low impact	Hard Slogs (Don't bother)	Fill Ins (Complete if spare resources available)
	Difficult implementation	Easy implementation

Source: http://www.timeanalyzer.com/lib/priority.htm

APPENDIX 8: AREAS OF OPPORTUNITY FOR YORK

ADMINISTRATIVE PROCESSES AT YORK

The very name “shared services” points to the level at which potential opportunities for change may exist – not at the overall level of the “function” but rather at the service level (e.g. a recruitment service rather than the overall HR function). Earlier it was noted, based on examination of other University’s use of shared service models that some services generally have more potential to work with a shared service model than others.

Finance	Human Resources	Information Technology	Proc. Services	CSBO - Physical Plant	CSBO - Ancillary Services
Budgets & Planning	Strategy	Strategic Planning & Governance	Planning & Analysis	Grounds, Fleet & Waste Mgmt	Custodial Services
Accounts Payable	Recruiting	New Development	Strategic Sourcing	Energy Management	Parking Services
Accounts Receivable	Talent & Performance	Sustainment	Procurement	Maintenance	Environment Design & Sustainability
Fixed Assets	Learning & Development	Incident Management	General Delivery & Stores	Facilities Development	Printing Services
Travel & Business Expense	Total Comp.	Provisioning (Service Request)	Payment	Planning & Renovations	Mailing Services
General Accounting & Reporting	HR Operations & Technology				Housing Services
Insurance & Risk Mgmt Services					Food & Vending Services
Pension Investment Mgmt					Security Services
Research Accounting					Bookstore
Taxation Services					YU Card
Treasury					

Figure 12: Administrative Functions and Services
Source: PwC PRASE Cost Baseline Report, p40

Services by function for consideration within a shared service model by as identified by the working group.

<table>
<tr><th>Human Resources</th><th>Finance and Procurement</th><th>Information Technology</th></tr>
<tr><td>HR Core Functions
Recruitment
Onboarding of new employees
Training as it relates to onboarding
Updating employee records</td><td>Transaction processing
Budget journals
Bank deposits
Invoice processing
Travel claims
Routine procurements
Travel claim preparation and processing
Travel advances
Booking travel and related requirements (hotels, cars etc.)
PCard transactions and reconciliations
Invoices to third parties (accounts receivables
Wire payment
General accounting and reporting
Cost accounting
External reporting
Staff training and orientation
Orientation -
Issue PCards
Issue travel cards
Create PER accounts
Create new internal research accounts
Education and training on Finance systems and policy familiarization
PCard
Smart Buy
Concur
eReports
Planning and financial management
Budget analysis</td><td>Identity management (on-boarding, off-boarding)
Desktop support and/or device support
End user provisioning (set-up)
Hardware Purchasing and Tracking/Inventory
Software Purchasing and Tracking/Inventory
Helpdesk/Self-serve
Web authoring support</td></tr>
</table>

Table 10: Services for consideration within a shared service model by as identified by the working group

QUALIFYING AND EVALUATING YORK PROCESSES

The work group proceeded to use the above table and guidelines outlined in Appendix 7 to evaluate seven York processes that were deemed to be potential candidates for shared services. The following table shows the results:

Process Identification		Suitability for Shared Service Delivery			
Process Name	Short Description	Degree of dispersion among service providers	Degree of transaction processing by providers	Degree to which process can be supported by an enterprise systems	**Overall Rating of Suitability (out of 4)**
IDENT MGT	IT	2.5	3.5	4	**3.3**
DEVICE MGT	IT	4	3	3	**3.3**
T&E	FINE	3	3	3.5	**3.2**
Routine Procure	FINE	2.5	2	3.5	**2.6**
Oboarding	HR	3	2	3	**2.6**
Recruitment	HR	3	2	4	**2.9**
Off-boarding	HR	3	2	3	**2.6**

Process Identification	Ease of Implementation				Change in Experienced Service Quality					Change in Costs	Summary Impact
Process Name	How easy is it to design and implement an effective end-to-end process?	How easy is it to put enabling technlogy in place (if none required, rate it 4)?	How easy are the organizational changes required (roles affected, resistance by clients/current providers, legal limits, etc.)?	**Overall Ease of Implementation (out of 4)**	Potential to improve speed of service (end-to-end)?	Potential to increase accuracy/reliability of service?	Expected impact on perceived client satisfaction	# transactions & # people impacted [per year]	**Overall impact in Service Quality (-4 to +4)**	Potential for Savings (per year, once fully implemented)	**Potential to improve service and save costs**
IDENT MGT	4	3	4	**3.6**	2.5	4	3.5	2.5	**2**	**2**	**2**
DEVICE MGT	2.5	3	2	**2.5**	2.5	3	2.5	4	**3**	**3**	**3**
T&E	4	4	3	**3.6**	3	3	4	4	**3**		**3**
Routine Procure	2.5	3	2	**2.5**	3	2.5	3	3.5	**2**		**2**
Oboarding	2	3	1	**1.8**	4	4	4	2	**2**	**2**	**2**
Recruitment	2	3	1	**1.8**	3	3	3	2	**2**	**2**	**2**
Off-boarding	2	3	1	**1.8**	4	4	4	2	**2**	**2**	**2**

Table 11: Ratings of Top Services

As a result of these ratings, the top candidates for a shared service transition are Travel & Expense, Device Management, Procurement and Identity Management. Recruitment, Onboarding and Offboarding are also attractive candidates.

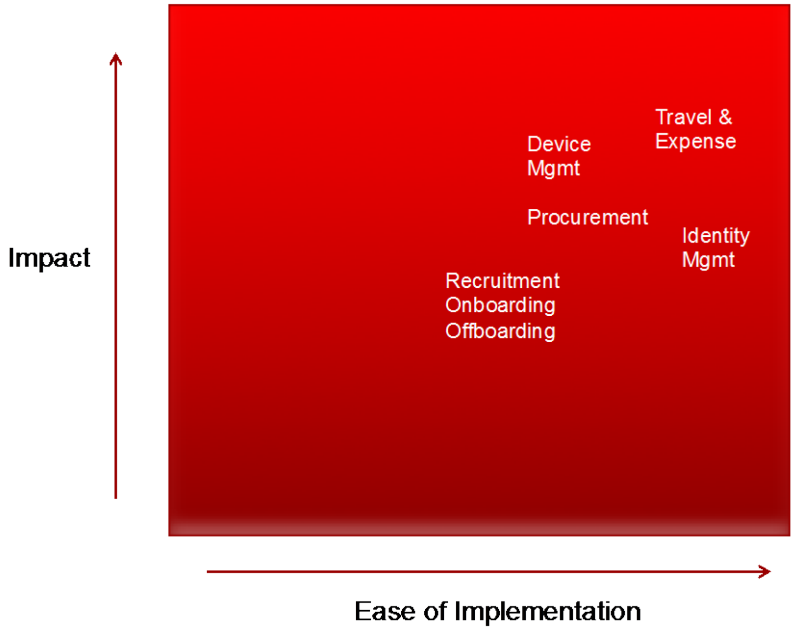

Figure 13: Rating York Processes for a Shared Service Implementation

APPENDIX 9: EXEMPLAR 1: HUMAN RESOURCES ONBOARDING PROCESS

Service Feasibility – Employee Onboarding

After a review of the HR activities, considering other alternatives including recruitment of employees, the recommendation is to focus on Employee Onboarding (non-academic) as an example of a shared service as it meets accepted shared services criteria; activities that are transactional and performed for each new hire that occur frequently across the University. While this example will focus on non-academic hires, in order to realize efficiencies, once best practices and processes are established, onboarding of academic employees (post offer acceptance) could be reviewed.

Factors evaluated which meet accepted share service administrative practices include:

1. Transactional service which occurs in all units across the University for both non-academic and academic hires and performed by a variety of generalists from many Faculties and departments
2. The service is performed frequently. In areas where the activities are performed less frequently, there are likely inconsistent results and service delays due to gaps in knowledge
3. Existing processes lack consistency through no commonly agreed set of best practices
4. Processes will benefit from automation

Onboarding - Definition

Onboarding is the process of welcoming and acclimatizing new employees into an organization. Successful onboarding ensures that new employees have the appropriate resources, information, training and knowledge in a timely fashion to be successful in their role and be engaged with their colleagues and the University. Therefore, effective onboarding starts soon after a candidate accepts the employment offer to ensure an employee feels welcomed and confident that they are becoming part of an efficient organization. Onboarding is not just a series of administrative tasks undertaken to allow the employee to commence their job duties, but continues with management mentorship so that new employees are fully integrated into the culture of their new unit and the University. Since the recommendation is for a shared services unit to assume focus for the transactional activities of onboarding, the examples will be limited to that scope.

Current State - Overview

Onboarding activities relating to an employee's first interactions with the University are performed primarily by administrative staff in the local departments liaising with the new employee's direct manager, Human Resources and UIT. Onboarding activities are often not completed in the most efficient manner as there are knowledge gaps, responsibilities are unclear, and the staff member assigned to complete the activity may lack the authority to approve steps which creates delays. The result is that employees arrive on their first day of employment (and often for several days thereafter) without having access to key resources and systems, frustrating their ability to integrate effectively into their new position and providing an impression that they have just joined the disorganized University. They may not have been provided with basic organizational knowledge to connect with internal partners and are hesitant to ask their new Manager what they may perceive as rudimentary questions. They may have also missed out on mandatory training which puts the new employee and the University at risk.

Currently, central HR, Faculties and units work together to coordinate the employee onboarding process, however, there are no existing systems or appropriate technologies in place to help streamline the onboarding process and best serve new employees.

Under the current model, the hiring managers and/or designate manage most of the employee onboarding process independent of central HR. An example of the current employee onboarding process is shown in Figure 14.

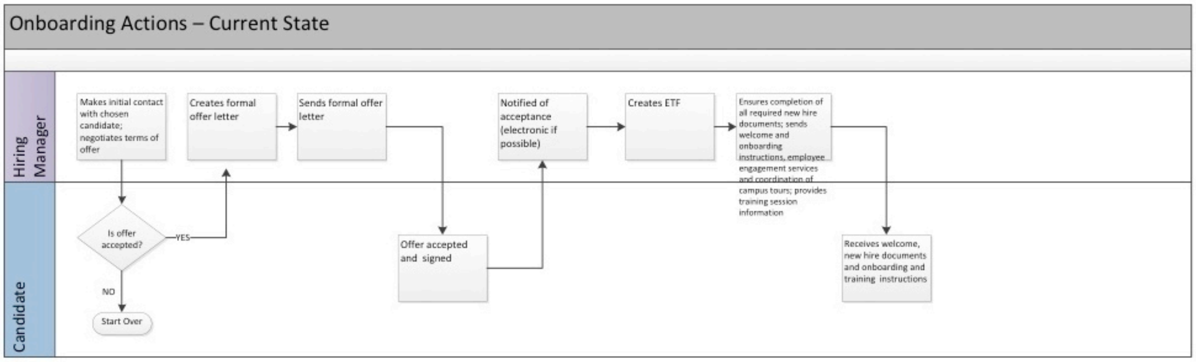

Figure 14: Onboarding Process – Current State

Future State – Proposed

Technology will be able to provide key advantages and improvement in process and customer service onboarding activities. Recommendations were made in the PRASE report regarding the need for technological improvements and provided some evidence-based opportunities to address core HR technological issues. New technologies should raise the quality of customer service by providing efficiencies and process standards for employee onboarding activities. The proposed future state mode for employee onboarding alleviates responsibility from the hiring manager and/or delegate. Under the new model the shared service would coordinate the majority of onboarding activities directly with the new employee. A proposed future state employee onboarding process is shown in Figure 15 and a comprehensive list of Employee Onboarding Actions is shown in Table 12.

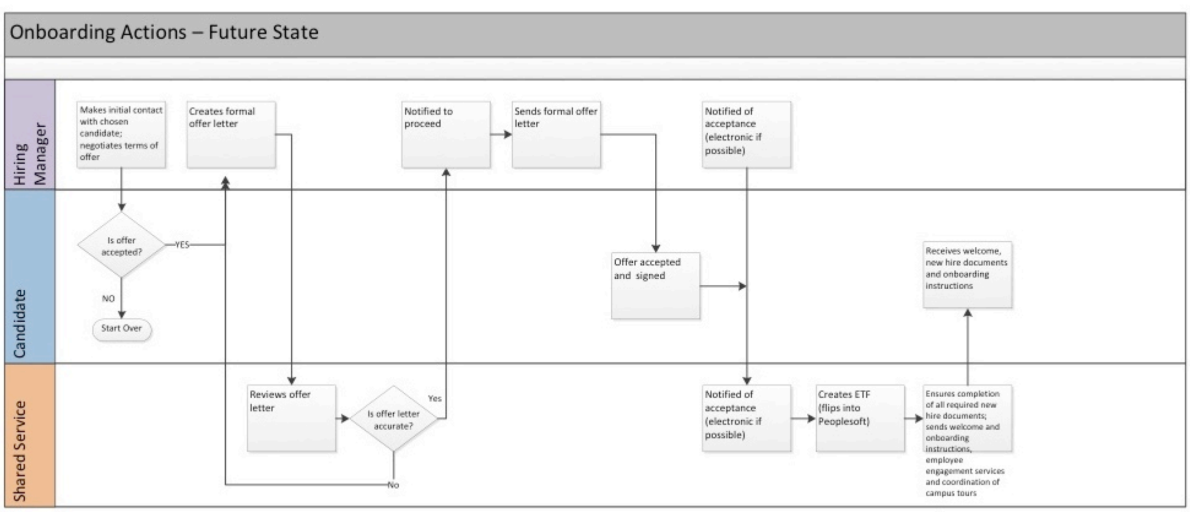

Figure 15: Onboarding Process – Future State

Data Collection

Key process users in Athletics & Recreation, CSBO, Scholarships & Bursaries, Talent Acquisition & Development and the University Library were asked to provide information on the volume of full-time, student and casual employee hires, and the level of effort spent on onboarding each new employee group.

The units' surveyed hire between 280 – 1000 employees per year covering all non-academic employee groups each requiring various levels of onboarding. Time spent on onboarding ranged from 2-4 hours to 20 days depending on the employee group and unit requirements.

Even though time spent on onboarding varied between employee groups the feedback when asked which activities take the most time to complete and which posed the most difficulty was uniform across the board and is as follows in no particular order:

- Generating employee #
- Passport York (PPY) and computer access
- Access to systems, services and information
- Mandatory Training – time to coordinate and need for each employee to have PPY access
- Coordination between central and decentralized units was also mentioned as was the need to eliminate manual ETFs

As most of the activities listed above are transactional in nature, performed for each new hire and occur frequently across various units, onboarding would appear to be a good candidate for inclusion as a shared service. More in depth analysis is required to evaluate the impact on cost, efficiencies to be gained and quality of service.

Onboarding Service Explained

In a shared service delivery model, onboarding specialists could provide onboarding tasks for multiple departments, Faculties and non-academic units. They would be responsible for coordinating and orchestrating various steps for newly hired employees and would have extensive knowledge and skills including but not limited to:

1. University organization and governance
2. HR practices (e.g. benefits entitlements, payroll schedules, Standard Operating Procedures (SOPs)
3. Systems knowledge to ensure workflows are proceeding (e.g. ATS, PeopleSoft) and to assign accounts and system permissions
4. Training requirement s and learning sessions
5. Problem solving skills
6. Excellent communication and interpersonal skills
7. At least one French language proficiency

Challenges to Operationalize

Implementation challenges include:

1. Lack of baseline data and key performance metrics for current status
2. Non-central units – protecting current employees, control, job fractionalization
3. Training will be required for new roles in the new shared services unit

Cost and Quality Dimensions

There is no baseline data available for employee onboarding activity at the unit level and it is difficult to determine potential cost savings at this time.

Benefits

A shared service delivery model for employee onboarding could benefit the university by providing for: risk mitigation; centralization of onboarding roadmap; standardized information; accountability for process owners; automation; improved employee engagement; standardization and optimization of business processes, streamlined service delivery and commitment to service quality; continuous improvement and increased productivity; employee retention; increase efficiency and effectiveness in the delivery of HR services; cost savings (eventually); and greater customer satisfaction.

Next Steps

1. Review all onboarding activities and select/define final list
2. Review all processes and modify for maximum efficiency
3. Determine who/where activities are occurring currently (activity analysis, job fractionalization)
4. Set KPIs and metrics

Note: Job fractionalization occurs when an employee has a part of a task embedded in their overall responsibilities. For example, an Administrative Assistant may spend 10% of their job performing onboarding activities but will still have a .9 FTE job remaining. This would provide some relief to perform higher-level work but would not necessarily be a cost saving measure. This may be true of many jobs in the organization. It will be necessary to review how all of these jobs could change and whether further efficiencies could be gained in reassigning and reorganizing responsibilities.

Onboarding Activities

Time-frame	Onboarding Action	Responsibility Current State	Responsibility Future State
Pre-Arrival			
	Complete the Employee Transaction Form (ETF) - https://etf.apps06.yorku.ca/[1] - and forward the required documents to the Designated Recruiter	Hiring Manager	SSC
	Once ETF has been approved and an employee number assigned by Central HR, instruct employee to set up their Passport York (PPY) and central email account www.mms.yorku.ca http://computing.yorku.ca/faculty-staff/passwords-passport-york-access/	Hiring Manager	SSC
	Once PPY username is established and available under "My Staff Members" on https://yulink.yorku.ca, arrange for the following system access: • Computer • Voicemail • Email • Network shared drives • Printer(s) • eReports - https://ereports.uit.yorku.ca/ereports/ • http://computing.yorku.ca/service-request-forms/ or contact your local IT Support • http://computing.yorku.ca/faculty-staff/	Hiring Manager	
	Set up the workstation and clean out desk/drawers	Hiring Manager or Designate	
	• Order office supplies - http://smartbuy.info.yorku.ca/ or http://bookstore.yorku.ca/ • Keys - http://security.info.yorku.ca/keys-and-key-control/ • Door Access Cards • Name plate	Hiring Manager	
	• Business cards and stationary - http://printing.info.yorku.ca/ • Other equipment or tools as required	Hiring Manager	
	Update York Atlas, and any listserv or contact lists Refer to designated contact to update the Atlas - http://mocha.yorku.ca/pb/designate_list.htm To update CPM and Managers' listserv, email csreid@yorku.ca	Hiring Manager	SSC
	Gather reference materials (i.e. Business/IRP, University Academic Plan, Provostial White Paper, Mission Statement, Faculty/Unit Plans, transition notes from predecessor, updated organizational chart, voicemail instructions, job description, manual, policies, etc.) • Business/UAP Implementation Plan: http://vpacademic.yorku.ca/UAP/index.php • Provostial White Paper: http://vpacademic.yorku.ca/whitepaper/ • Governance: http://www.yorku.ca/secretariat/index.html	Hiring Manager or Designate	SSC

Time-frame	Onboarding Action	Responsibility Current State	Responsibility Future State
	• Voicemail Instructions: http://www.yorku.ca/telecom/facultystaff/meridian.html		
	Prepare to welcome staff member e.g. Create a welcome sign, buy a card, York gift or arrange a small gathering to welcome new employee on their 1st day	Hiring Manager	
	Email new hire a few days before start date to welcome them and inform them of: • Faculty & Staff website to view, policies, procedures, benefits, services, & public transit/parking info closest to work location and provision of a 1 day parking pass (if applicable) • Parking: http://www.yorku.ca/parking • Public transit: http://www.yorku.ca/transportation • Campus Maps: http://maps.info.yorku.ca/ • Appearance/dress etiquette • Lunch with you(if applicable) on their first day • Ask if they have any questions	Hiring Manager	SSC
	Announce the new employee's arrival in accordance with the department's practice (e.g. an email announcement)	Hiring Manager	
	Create a list of key contacts for the new employee to meet during their 1st 90 days	Hiring Manager	
	Ensure new employee is scheduled for New Employee Orientation (date provided by Recruitment) and prepare for onboarding https://yulink.yorku.ca/group/manager-resources/onboarding-employees	Hiring Manager or Designate	SSC
	Create activity schedule (calendar) for the 1st week, including any meetings they should be attending with the hiring manager/designate	Hiring Manager	
	Assign a buddy and discuss his/her responsibilities. Refer to the Hiring Manager's Guide for Onboarding a New Employee https://yulink.yorku.ca/group/manager-resources/onboarding-employees	Hiring Manager	
First Day			
	Ensure you are present to greet the new employee and accompany him/her to the workstation.	Hiring Manager	
	Introduce new employee to the assigned buddy, staff and team members/co-workers or arrange a small gathering	Hiring Manager	
	Coordinate a site/office tour including: Lunchroom/Lounge • Office supplies and storage • Notice boards • Mailroom, photocopier, fax, printer • Information about building access • Washroom facilities • Restricted areas (if applicable) • Emergency exits & evacuation procedures, personal safety & Working Alone Program	Hiring Manager	

Time-frame	Onboarding Action	Responsibility Current State	Responsibility Future State
	• Location of the First Aid Kit and fire extinguisher		
	Campus Tour	Hiring Manager	SSC
	Meet with the new hire to discuss: Agenda for the 1st week • Payroll schedule • Process cycles (e.g. vacation accruement) • Computer login information • Access cards/keys • Contact numbers (i.e. helpdesk, office fax) • Attendance Management Program and how to account for absences	Hiring Manager	
	Meet with the new hire to discuss: • Onboarding checklist, training schedule and New Manager Onboarding Guide	Hiring Manager	
	Central HR Staff Orientation & information required of them	Hiring Manager	
	Provide the new hire with a copy of the Ontario Employment Standards poster, "What you need to know", version 6.0, or email the new hire the link to the poster https://yulink.yorku.ca/group/employee-resources/esa-what-you-need-to-know.	Hiring Manager	SSC
	Encourage the new employee to obtain YU card - http://www.yorku.ca/yucard/	Hiring Manager or Buddy	
First Week			
	Ensure buddy and new employee are meeting and establishing a productive relationship	Hiring Manager	
	Ensure employee completes the required online Health and Safety Orientation Training. • For new employees with managerial and/or supervisory responsibilities, this training MUST be completed within the first week of hire. • https://yulink.yorku.ca/group/employee-resources/required-training • (Full list of required training is located at the end of this checklist.)	Hiring Manager	SSC
	Ensure workstation is set up ergonomically - http://ergo.info.yorku.ca/	Hiring Manager	
	Discuss York's Emergency Preparedness Program and local Health & Safety Bulletin Board - http://www.yorku.ca/epp/ Safety Programs: https://yulink.yorku.ca/group/employee-resources/what-safety-programs-are-available	Hiring Manager or Area H&S officer	SSC
	Employee/Manager meet to discuss: Job description, responsibilities and expectations of the job	Hiring Manager	

Time-frame	Onboarding Action	Responsibility Current State	Responsibility Future State
	• Department's overall function, team member responsibilities/tasks, and internal customers • Departmental policies, procedures (e.g. reporting sick, requesting vacation time, regularly scheduled meetings) • Expectations of behavior and conduct • Budget process, cost centres and responsibilities • Department's organization including: organization chart, relationships to other departments etc. • How his or her role fits with the goals of the organization • Business UAP, IRP and Faculty/unit goals and priorities • University policies and any applicable SOP's • What the new employee needs from you to be successful		
	Manager/Employee meet to discuss and identify any necessary training required for the job (e.g. Lotus Notes, SIS, ARMs etc.) and develop a learning plan to ensure the employee is appropriately trained. (eReports as appropriate to job function)	Hiring Manager	SSC
	Schedule meetings with key contacts	New Employee	
	Attend Central HR New Employee Orientation - https://yulink.yorku.ca/group/employee-resources/employee-orientation	New Employee	
	Participate in a campus tour- http://futurestudents.yorku.ca/tours#facultytours	New Employee	SSC
	Complete required training (covered in New Employee Orientation) https://yulink.yorku.ca/group/employee-resources/required-training (Full list of required training is located at the end of this checklist.)	New Employee	
	Provide a list of key contacts for the new employee to meet during their 1st 90 days	Hiring Manager or Designate	
	Register for Onboarding Learning Sessions on York Employee Learning Calendar (Full list of sessions is located at the end of this checklist.)	New Employee	SSC (to ensure learning occurs)
	Review security information and goSAFE at York (Note: campus-wide security and goSAFE is covered in Central HR Orientation) - http://www.yorku.ca/security/	New Employee	
	Review the York Brand Toolbox for university templates - http://toolbox.info.yorku.ca/resources/templates/	New Employee	SSC
First Week – Additional Tasks for New Managers Only			
	Schedule meetings with direct reports one-on-one and as a group	New Manager	
	Complete required training for managers - https://yulink.yorku.ca/group/employee-resources/required-training • (Full list of required training is located at the end of this checklist.)	New Manager	

Time-frame	Onboarding Action	Responsibility Current State	Responsibility Future State
	Review applicable Collective Agreements for your staff • https://yulink.yorku.ca/group/employee-resources/collective-agreements-and-procedures	New Manager	SSC
	Review PMP program	Hiring Manager	
First Month			
	Manager/Employee meet to discuss University culture, practices	Hiring Manager	
	Continue to schedule and meet with key contacts	New Employee	
	Meet for ½ hour to discuss initial experiences and solicit feedback from manager. Refer to the Hiring Manager's Guide for Onboarding a New Employee – Evaluation Check-in Questions - https://yulink.yorku.ca/group/manager-resources/onboarding-employees	Hiring Manager	
	Review Employee Resources on YU Link to learn about support and services for employees - yulink.yorku.ca	New Employee	SSC
First Month – Additional Tasks for New Managers Only			
	Meet with direct reports to learn about the work processes in the unit	New Manager	
	Review Manager Resources on YU Link to learn about your roles and responsibilities - yulink.yorku.ca	New Manager	
Second Month			
	Continue to meet with key contacts	New Employee	
	Review the various faculty websites - http://www.yorku.ca/yorkweb/faculties.htm	New Employee	
	Manager/Employee meet to discuss available learning and professional development opportunities - https://yulink.yorku.ca/group/employee-resources/internal-learning-opportunities	Hiring Manager	
	Meet for ½ hour to discuss experiences, review progress and feedback from manager. Refer to the Hiring Manager's Guide for Onboarding a New Employee – Evaluation Check-in Questions - https://yulink.yorku.ca/group/manager-resources/onboarding-employees	Hiring Manager	
Second Month – Additional Tasks for New Managers Only			
	Discuss any department labour relation concerns with Manager, Local HR and/or ER representative	New Manager	
Third Month			
	Review the Performance Management Process and develop goals and objectives - https://yulink.yorku.ca/group/manager-resources/performance-management-program-pmp	Hiring Manager	

Time-frame	Onboarding Action	Responsibility Current State	Responsibility Future State
	Meet for 1 hour at the end of the 90 days for progress report and to discuss any outstanding items. Refer to the Hiring Manager's Guide for Onboarding a New Employee - Evaluation Check-in Questions - https://yulink.yorku.ca/group/manager-resources/onboarding-employees	Hiring Manager	
	Continue to attend Onboarding Learning Sessions	New Employee	
Post 90 Days			
	Review the Performance Management Process and develop goals and objectives - https://yulink.yorku.ca/group/manager-resources/performance-management-program-pmp-	Hiring Manager	
	Attend remaining Onboarding Learning Sessions	New Employee	
	Meet for 1 hour for progress report, to discuss any outstanding items, and sign off on this Onboarding Checklist. Refer to the Hiring Manager's Guide for Onboarding a new Employee - Evaluation Check-in Questions - https://yulink.yorku.ca/group/manager-resources/onboarding-employees	Hiring Manager	
	Feedback Form/Survey to measure SSC performance		SSC
Required Training			
	Accessibility for Ontarians with Disabilities Act (AODA) – Accessible Customer Service	Online	SSC
	Access-Ability at York - Knowledge Brochure	Online	
	Time Reporting Tool (TRT) – Using Self Service	Online	
	Health and Safety Orientation	Online	
	Workplace Hazardous Material Information System (WHMIS) Level I OR Workplace Hazardous Material Information System (WHMIS) Level II	Online	
	Job Specific Health & Safety Training (if applicable)	In-class	
Required Training - New Managers Only			
	Accident Investigation	Online	SSC
	Time Reporting Tool (TRT) – Using Manager Self-Service	Online	
	Occupational Health and Safety Act for Supervisors	In-class	
	Workplace Inspection	Online	
	Job Specific Health & Safety Training (if applicable)	In-class	
Onboarding Learning Sessions			
	Access to Information and Protection of Privacy @ York U (FIPPA) Manager would need to identify which of these training programs is necessary and the SSC could monitor the progress.	Online	SSC
	Introduction to the Centre for Human Rights	In-Class	
	Copyright @ York U	In-Class	

Time-frame	Onboarding Action	Responsibility Current State	Responsibility Future State
	Finance @ York U	In-Class	
	Procurement @ York U	In-Class	
	Respect, Equity, Diversity and Inclusivity (REDI) Tutorial	Online	
	Understanding Governance @ York U	In-Class	
	Intro to Sm@rtBuy	In-class	
	Travel and Expense (Concur)	In-class	
Onboarding Learning Sessions - New Managers Only			
	Absence Management @ York	In-Class	
	Employment Equity & Retention Practices*	In-Class	
	ER Connections	In-Class	
	Connecting York's Priorities and the Integrated Resource Plan (IRP) to Your Performance Goals (PMP)	In-Class	
	Managing at York U Within a Unionized Environment	In-Class	
	Overview of Job Evaluation & Compensation Guidelines	In-Class	SSC (to coordinate, track and monitor)
	Pay, Pension and Benefits: Understanding Your Role and its Impacts	In-Class	
	Providing Accommodations & Increasing Accessibility*	In-Class	
	Recruitment @ York U	In-Class	
	Risk Management and Legislative Requirements	In-Class	
	Sexual Harassment Prevention in the Workplace* *The three courses that have an asterisk are part of a Human Rights Professional Development Managers Certificate Program. Managers who attend all 3 sessions will obtain a certificate from the Centre for Human Rights (CHR).	In-Class	

Table 12: Detailed List of HR Onboarding Activities

APPENDIX 10: EXEMPLAR 2: IT IDENTITY MANAGEMENT

Identifying a viable shared services candidate in Information Technology

A smaller working group was established to look at service candidates for a central shared services within information technology. IT services considered included: desktop support and/or device support; end user provisioning (set-up); hardware/software purchasing and tracking/inventory; helpdesk/self-serve; web authoring support.

Identity and access management (IAM) is the security discipline that enables the right individuals to access the right resources at the right times for the right reasons (*"Gartner IT Glossary > Identity and Access Management (IAM)". Gartner*. Retrieved 10 June 2016.*)* IAM emerged as the best candidate shared service because, of the IT services considered, it most closely met the criteria of the "Selecting Tasks for Shared Services" framework.

IAM is performed in multiple units across the organization. IAM involves systems administrators in UIT and various Faculty and Academic Units. It involves managers of various kinds who approve the granting and revocation of rights, also at various levels in the University.

IAM require significant transaction-processing (gathering requests, getting approval for requests, implementing requests).

IAM has potential for automation. The work can be made repeated and supported by simple systems (identifying systems and the varieties of access, identifying who can authorize the granting and revocation of rights, following workflows to connect requests with approvals and assignments).

Assessing the current state of IAM at York

To assess the current state of IAM at York, the working group sought to collect data about workload distribution, process efficiency and rework. A survey was assembled and distributed to IT Council, membership which includes IT representatives from each Faculty. The IT Council members in turn distributed the three surveys within their Faculties. It is estimated that 75 survey invitations were made in total, making the response rate approximately 50%. Note that non-academic departments were not included in this survey.

Feedback from Systems Administrators

The 16 systems administrators surveyed typically (10 responses) spend less than 2 hours a week implementing approximately 6 to 10 IAM (10 responses) requests per week. 14 respondents agreed or strongly agreed that they had a clear set of rules to determine whether authorization is required for system access.

When asked if process improvements could be made, the comments centered on:

- Improvements to coordination between UIT and decentralized computing in ticketing
- The desire for decentralized computing units to have admin level access that is currently restricted to UIT staff
- Making clearer distinctions between employee classes at the origin of IAM requests
- Linkages to the onboarding process where IAM processes for new staff can be delayed by the wait for an employee number

Feedback from Approvers

The 5 approvers surveyed typically (4 responses) spent less than an hour a week on IAM requests, receiving less than two responses per week (4 responses). Their confidence that they received all information necessary to approve IAM requests varied from 25% to 90%. Their satisfaction with the existing IAM processes at York vary from unsatisfied to very satisfied.

Comments centered on the sometimes extremely long delays in getting IAM requests completed, and the need for an employee number delaying part-time faculty with the need to set up online courses.

Feedback from Requestors

The 17 requestors surveyed submitted IAM requests anywhere from less than once to a maximum of ten times a week, devoting no more than two hours a week to the effort.

Comments centered on:

- More employee number issues, delays setting up contractual employees, etc.
- Delays introduced when feedback between central and decentralized units is not in place, e.g. tickets are completed but there is no email to inform person waiting
- The need to follow up many times

Analysis

An analysis of the data collected demonstrates that:

- Identify Management is distributed across the university and job types;
- Identity Management work is only a very small part of many jobs;
- Processing time varies across levels of expertise and job type; and
- Initial Identity Management is necessarily linked to the generation of an employee ID, and therefore, HR functions.

Possible Solutions

There were several challenges identified in the comments sections that suggest:

- Standard forms for the submission of IAM requests would alleviate the need for rework and follow up;
- Predetermined and fixed approvals paths would reduce processing time; and
- Prompts to IT from HR for each new hire would ensure seamless ID set up for most requirements.

Conclusion

Room for improvement exists in the current IAM process at York. The working group recommends investing in the use of a computerized system to track requests, and ensure that they are routed appropriately for approvals and implementation. This measure does not require pursuing a shared service model for IAM processes, but could be enabled by analysis and implementation by a Shared Services unit mandated with process improvement.

Out of scope of a narrow review of IAM at York, feedback strongly encouraged better integration between human resources onboarding tasks and IAM onboarding tasks. This integration would best be pursued by a Shared Services unit.

APPENDIX 11: IMPLEMENTATION ADVICE

STRUCTURE

Two models exist for implementing Shared services (Kaplan & Norton, 2006):

1. Strategic Partner Model. In this conceptualization, a service agreement (which could be a balanced scorecard) between the SSC and the client govern the relationship, which is viewed as a partnership from both sides. Figure 16 illustrates the structure of such a relationship.
2. Business-in-a-Business Model. Rather than using service agreements, the SSC competes against externally available services for business. (Internal) units are viewed as business clients.

UC San Diego went the first route.

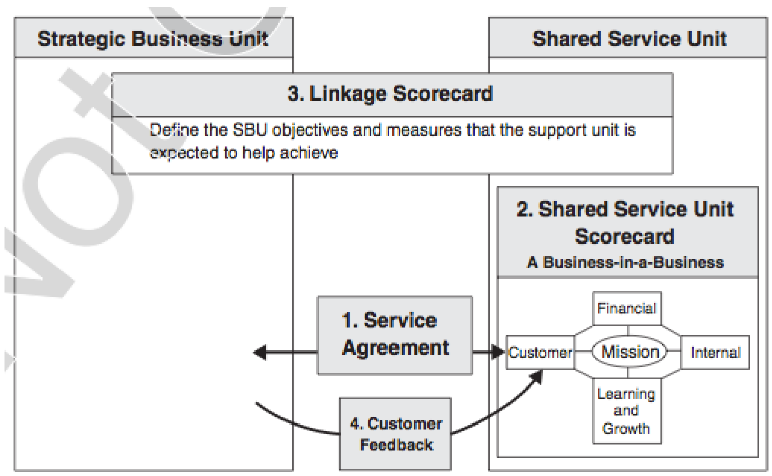

Figure 16: Strategic Partnership Model
Source: Kaplan & Norton, 2006, p. 3

Most universities investigated by the work group chose the first route (including US San Diego and UC Davis). The partnership model also allows the SSC to focus on servicing clients rather than the acquisition of new clients. A measured, progressive, voluntary transfer of functions to the SSC (as its capabilities increase) reassures non-client units and minimizes service disruptions (Gardner & Lemaster, 2013).

In order to ensure buy-in and a smooth transition, “shared services administrators emphasize potential service quality improvements rather than cost-saving goals” and “conduct interviews with unit staff and evaluate transaction data to create unit work profiles prior to service migration” (Gardner & Lemaster, 2013, p. 4). After the implementation, some universities hired “hire external staff with human resources backgrounds to oversee transaction processing and serve as dedicated advisors to client units” (Gardner & Lemaster, 2013, p. 7)

IMPLEMENTATION STEPS

The practitioner literature provide advice on which steps to take when implementing shared services.

Step	Actions
1. Determine what job or jobs customers are trying to get done and support	• Scan customer-firm touch points for insights on why current services are hired • Ask the right questions of customers. Deeply probe to reveal what customers are trying to achieve
2. Determine whether the jobs for which customers are hiring current services are part of a larger process	• Determine if the jobs for which current services are hired are part of a more encompassing job process • Identify beginning and end points of the job customers are trying to get done • Break down the customer job into a series of steps through job mapping
3. Determine what opportunities exist to help customers get these jobs done	• Capture customer outcomes at each step in the entire customer job • Ensure outcomes are forward-looking measures of success from a customer perspective • Determine which customer outcomes are important, but poorly satisfied
4. Invest time, talent, and resources in value creation that will be most meaningful to customers and most differentiated from competitors	• Focus firm time, talent, and resources on unmet customer needs • Consider innovations both in how services are delivered and what services are delivered • Transform the customer's role from the buyer to a more active contributor in the value creation process • Harness customer competence to provide symbiotic benefits to both organizations

Table 13: Four step job-centric service innovation model
Source: Bettencourt, Brown, & Sirianni, 2013, p. 20

APPENDIX 12: WORK GROUP MEMBERSHIP

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IIRP WORKING GROUP: Revisioning Graduate Studies

September 6, 2016

Report for Community Consultation on Implementation

Working Group: Revisioning Graduate Studies

Members: Barbara Crow, Margaret Hough, Melissa Judd, Steve Bailey, Daniel Cohn, Jen Gilbert, Don Hastie, Sushanta Mitra, Adrienne Perry, Marlis Schweitzer, Katherine Chung, Marva Milo

Context:

Over the last two decades in Canada, the numbers of graduate students, graduate programs, and graduate scholarships have increased tremendously. In the last decade alone, the number of doctoral students has doubled in the province of Ontario, graduate students are getting younger, and there has been an increased demand for professional master's degrees.[1] Moreover, many of these younger students now attending graduate school have experienced more student-focused undergraduate services and thus have similar expectations at the graduate level.

Since the inception of the Ontario government's *Reaching Higher* (2005) strategy, York has struggled to meet its recruitment and scholarship targets. In the last decade, York's domestic graduate applications have declined by 17 percent. At the same time, our international graduate applications have increased in a provincial context that does not fund international students. Moreover, with the most recent CUPE 3903 labour dispute, the inclusion of a higher international tuition offset means that we will be taking in fewer international students. With declining domestic applications, and creating conditions that do not allow us to admit a higher proportion of international students, York has neither met its provincial targets nor attended the minimum proportion of domestic and international graduate students to be considered a research-intensive university.[2]

Over the last three years, the Faculty of Graduate Studies (FGS) has changed how we support scholarship applications and we have increased our success rates by 100

[1] See Vicky Maldonado, Richard Wiggers, and Christine Arnold. So You Want to Earn a PhD? The Attraction, Realities and Outcomes of Pursuing a Doctorate, Ontario: HEQCO, 2013, http://www.heqco.ca/en-ca/Research/ResPub/Pages/Issue-Paper- No-15-Informing-policy-through-analysis-of-current-research.aspx.

[2] Metrics for provincial differentiation for graduate education include: number of graduate degrees awarded; number of graduate awards/scholarships; number of graduate degrees awarded to undergraduate degrees awarded; graduate to undergraduate ratio; and PhD degrees awarded to undergraduate degrees awarded Ratio of international to domestic graduates used by Times Higher Education Rankings.

percent.[3] In 2016, we were successful in securing two Trudeau fellowships with another external candidate bringing his award to York. This meant that York received three of the fifteen national awards.[4] We know that we have talented graduate students doing innovative and provocative research. Despite these successes, the allocation context for the Tri-Council scholarships has changed. It will no longer be the case that our students can compete based on their merit alone. The Tri-Council has introduced a new form of allocation determined partially by the amount of Tri-Council funding faculty members secure. As a result of our decline in faculty Tri-Council funding, we lost seven SSHRC master's fellowships for the 2017-2018 competition.

Many external factors that partially explain our declines in applications include increased provincial competition for graduate spaces, CUPE 3903 strikes, shifting graduate funding models, and the changing demographics of graduate students. Most recently, HEQCO's second report on differentiation identified the University of Toronto as "internationally competitive," six universities were designated as research-intensive, and York was designated as a "regional" or "in-between" university with Carleton, Ryerson and Windsor.[5] This has serious implications for how the provincial government may support graduate education in the future.

Finally, the Shared Accountability and Resource Planning (SHARP) budget model will be in full implementation in 2017-2018. With this model, parts of graduate funding that were located in FGS will be fully transferred to individual Faculties.[6] As a result of this change in budget allocation, Faculties will have more overt responsibility for graduate education. The Working Group was asked to reflect on what academic and non-academic tasks should continue to be shared between FGS and the Faculties, which should be separated, and which eliminated.

York's commitment to being a comprehensive and research-intensive university requires that ten per cent of the student population be full-time domestic graduate students (University Academic Plan, 2015-2010 and Strategic Research Plan, 2013-2018). Graduate students constitute the largest group of active researchers and scholars on campus and play a significant role in undergraduate teaching as teaching assistants. The position of the Working Group is that the strength and

[3] In 2015 and 2016, York increased Canada Graduate Scholarship results from 13 to 27 and 26 awards.

[4] Up to 15 Trudeau Doctoral Fellowships are awarded annually, value $40,000, http://www.trudeaufoundation.ca/en/programs/doctoral-scholarships

[5] Martin Hicks and Linda Jonker, "The Differentiation of the Ontario University System: Where are we now and where should we go?" Higher Education Quality Council of Ontario, July 12, 2016.

[6] Graduate funding has been a shared resource. Individual Faculties covered the costs of tutorial assistantship salaries and vacation benefits, graduate teaching, course releases for graduate program directors, and graduate program administrators. The Faculty of Graduate Studies administered external scholarships and the CUPE 3903 collective agreement funds associated with tutorial and graduate assistantships (grant-in-aid, graduate financial assistance, international tuition offset).

diversity of graduate education is critical for enhancing York's excellence in research and teaching.

The Working Group strongly supports the role of FGS to foster excellence in graduate education and postdoctoral research at York. FGS is committed to supporting and advocating for graduate student and postdoctoral scholar success, intensifying research, delivering innovative and accountable services, and providing oversight to ensure high quality graduate programming, teaching, and learning. Currently, there are 105 graduate degrees and 34 graduate diplomas (masters, n=62 and doctoral, n=42) with 1,616 part-time and 2,530 full-time master's students and 254 part-time and 1,644 full-time doctoral students, for a total number of graduate students of 6,044.

The changing graduate landscape at the national and provincial levels, the cyclical program reviews, the national graduate student survey data,[7] recommendations from the Academic and Administrative Program Review (AAPR) and the shift to the Shared Accountability and Resource Planning (SHARP) budget in 2017-2018 have all informed the Working Group's recommendations on how to strengthen and re-vision graduate education at York.

The scope of the Working Group was wide, and concentrated on ways to successfully transfer and support greater alignment of graduate education across the lead Faculties. It is critical that we respect the work that FGS has done over the last fifty years, while providing ways to support more active engagement and more fulsome responsibilities of the Faculties for graduate education. Specifically, the Working Group has focused on a small number of concrete and action-ready recommendations to support, clarify, and enhance the transition of some of the governance, administrative, and funding functions from FGS to the Faculties.

The Working Group consulted a range of documents and met with a number of constituent groups to address ways to facilitate the outcomes set out by the IIRP Working Group: Revisioning Graduate Studies which were:

1. Enhance graduate programs including increased research success through stronger alignment with anchor faculties;
2. Enhance services for graduate students;
3. Clarify roles of FGS and anchor Faculties, supporting enhanced coordination of undergraduate and graduate planning around enrolments, curriculum, and complement;
4. Support stronger graduate education; and
5. Streamline organization for better utilization of resources.

[7] Canadian Graduate Professional Student Survey, http://www.cags.ca/cgpss/

Process:

The Working Group on Revisioning Graduate Studies followed the mandate set out in Group's Terms of Reference as set out by the executive sponsors:

> Within the context of York's Institutional Integrated Resources Plan (IIRP), the Working Group on Envisioning the Role of FGS is established in an advisory capacity with the expectation that the group will produce a report of recommendations based on the information gathered from the faculties and relevant committees. This discussion will build upon and complement the work already under way led by the AVP Graduate.
>
> The significant attention to graduate programs in the Academic Task Force Report indicates the relevance of understanding the relationship between graduate and undergraduate programs, ensuring quality programs, adequate resources, and as a consequence, clearer accountability of the anchor Faculties for graduate education working in partnership with FGS to provide oversight and to facilitate quality. (See Appendix A)

The Group met nine times (see Appendix B) and consulted with the graduate program directors, the FGS Academic Planning & Policy Committee, the FGS Council graduate student representatives, as well as Deans, and Associate Deans (see Appendix C).

Recommendations:

The Working Group proposes the following 29 recommendations to support the transition and enhancement of a variety of administrative and governance matters from the Faculty of Graduate Studies to the lead Faculties. The Working Group maintains that it is crucial that these transitions need to be shaped by a graduate student centred perspective and have clear timelines; that we avoid reproducing and duplicating graduate administration and governance in the lead Faculties; and that we continue to support interdisciplinary, pan-university graduate initiatives.

Through our review of relevant literature and consultations with the various constituent groups, there was agreement on the significance and value of graduate education and the ways in which York University can better articulate and support graduate students and graduate education. Moreover, throughout our consultations, participants placed significant emphasis on the importance of clearly communicating changes with timelines and expressed a strong desire to maintain a number of key functions centrally rather than duplicating tasks within each Faculty.

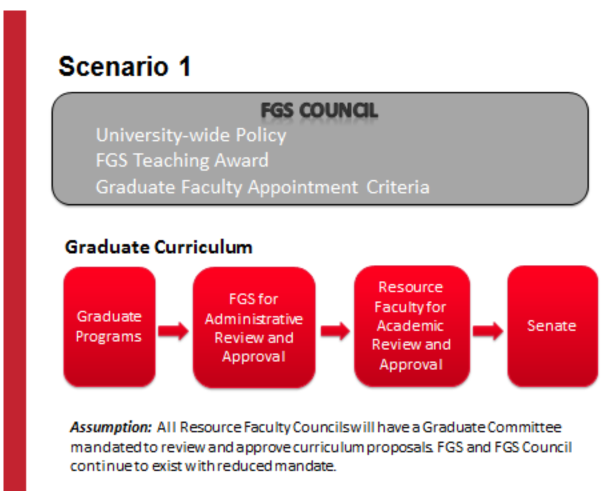
We have organized 29 recommendations around three themes pertaining to graduate studies: 1) clarifying governance roles; 2) clarifying administrative roles; and 3) imagining graduate education from a student centred perspective.

1.) Clarifying governance roles

In order to better align graduate education with the Faculties, the Working Group recommends ways to **bring graduate governance into the Faculties without duplicating the efficient practices and tasks of the Faculty of Graduate Studies.** It was widely conveyed that graduate programs and graduate students want to have a pan-university body to provide oversight and advocacy for graduate education.

The working group reviewed the governance structures of a number of graduate Faculties in Canada. Throughout the country, there are combined structures of centralized and Faculty based governance. From Queen's University, with a Graduate Studies Executive Council ensuring that FGS committees follow appropriate procedures to Simon Fraser University Senate Graduate Studies Committee addressing the approval of items regarding graduate programs submitted by Faculty Graduate Studies Committees.

The working group was presented with a number of scenarios based on practices across the country to shape discussions about possible governance structures in the new SHARP context (see Appendix D). In discussion with various constituent groups, the working group's recommendations reflect a way to transition graduate governance to ensure pan-university standards, to facilitate quality across and between graduate programs, and fair administration of processes and guidelines for students and faculty.



Graduate programs would come forward with academic and administrative changes to the Academic Planning and Policy Committee of the FGS Faculty Council to ensure adherence to FGS guidelines and return to Faculties for approval and then move such items to Senate.

FGS would continue to have responsibility for oversight of ethics reviews, student appeals and petitions, academic honesty, the university wide teaching award, administration of external scholarships and internal matched funds awards, and dissertation submission and thesis defenses, FGS will be responsible for all items pertaining to students' academic and funding records.

Recommendations:

In Faculties:

1. create and integrate graduate matters into curriculum committees and have graduate representation on Council executives (e.g. Academic Policy Committees)
2. assume responsibility for approving appointments of graduate and adjunct faculty and program director appointments
3. simplify graduate appointment processes with the expectation that professorial stream faculty are to be appointed to graduate faculty with supervisory provisions (i.e. all professorial stream faculty members are eligible to teach in graduate programs)
4. provide clear guidelines for the review of new graduate programs, minor and major modifications in the York University Quality Assurance Process

In the Faculty of Graduate Studies:

5. continue to provide centralized oversight and advocacy for graduate student appeals, petitions, and academic honesty committees
6. maintain responsibility for graduate student academic and funding record
7. provide oversight for the administration of the Unit 1 and Unit 3 CUPE 3903 Collective Agreements

2.) Clarifying administrative roles

The Working Group recommends that each Faculty integrate graduate program assistants (GPAs) and graduate program directors (GPDs) into its administration. Faculties will need to make explicit to whom these individuals report and how graduate programming and planning will be addressed.

As there is a range of graduate programs within the Faculties, there may be different ways to configure the integration of graduate planning and programming. However, the recommended model is for graduate program directors to report to Chairs and that each Faculty have an Associate Dean with responsibility for graduate education.

Recommendations:

In Faculties:

8. appoint an Associate Dean or senior academic administrator with graduate education in their portfolio
9. develop clear reporting lines and integration of GPAs and GPDs in Faculties

10. provide appropriate training for GPAs, GPDs, and Faculty enrolment managers regarding graduate student academic record and graduate student funding
11. provide graduate programs with revenue and costs
12. develop career services support for graduate students and post-doctoral fellows
13. develop and integrate strategic graduate enrolment and retention in administration

In the Faculty of Graduate Studies:

14. administer and provide oversight of graduate student academic and funding record
15. provide central adjudication and administration of external scholarships such as the Ontario Graduate Scholarship (OGS), Tri-Council Scholarships (SSHRC, NSERC, CIHR) and University matched funds' awards
16. central administration of academic honesty and appeals
17. manage ethics approval process, review of doctoral proposals, and thesis and dissertation submission
18. change name to the School of Graduate and Post-Doctoral Studies
19. provide clear communication to parties about changes in FGS
20. fulfill responsibility for centralized records of graduate student and post-doctoral visitors and fellows

3.) Imagining graduate education from student centred perspective:

Shifting to a graduate student centred position requires that we listen to graduate students and the various data that have been collected about their academic experiences over the last decade.[8] While we discussed many items during the consultations, the Working Group has decided to focus on activities to facilitate timely completion of doctoral degree studies. Specifically, we noted strong support from students for structures to help ensure that doctoral degrees can be completed in fifteen terms.

Currently, 65 per cent of doctoral degree programs are represented to be completed within four years, 25 per cent in five years, and ten per cent in six years (see Appendix E). A number of faculty and graduate students recommended strategies for facilitating timely completion of degree with more explicit attention to learning outcomes. Questions for consideration include: How do graduate courses relate to one another in a program? How are assignments allocated across curriculum?; Should students be required to have all major course materials due at the same

[8] Canadian Graduate Professional Student Survey 2013 and Cyclical Program Reviews.

time?; How could we provide more teaching opportunities for doctoral students?; How can we ensure greater interaction and communication between graduate students and their supervisors (i.e. student meets with supervisor on a regular basis to ensure progress of the thesis program)?; How could we better articulate degree competencies? Moreover, how can we provide more structure and support for students' timely completion?

By recommending that specific governance and administrative responsibilities move from the Faculty of Graduate Studies to the lead Faculties, the Working Group aims to provide Faculties with opportunities to review individual graduate program curricula from courses and comprehensives to the form of dissertation, graduate supervision and supervisory committees with specific expectations related to a given discipline/field which would allow for a model of graduate education that would best reflect these often diverse expectations.

Finally, while not directly related to time to completion, there was significant support for providing critical pathways for increasing and ensuring access to Indigenous graduate students.

Recommendations:

In Faculties:

21. support timely degree completion through a review of courses, comprehensive examinations, and supervision and supervisory committee guidelines in individual graduate programs
22. require new hires to earn graduate supervision certificate available through the Teaching Commons
23. develop and implement graduate programming to attract and support Indigenous graduate students
24. consider integrating career development activities into learning outcomes to facilitate smoother transition for post-PhD

In the Faculty of Graduate Studies:

25. share graduate program best practices regarding time to completion
26. support and facilitate each graduate program in the development, implementation, and monitoring of graduate program milestones and consequences for not achieving such graduate program milestones
27. connect university initiatives to support Indigenous graduate students
28. move from an eighteen to fifteen term full-time doctoral degree
29. implement centralized services specific to graduate students with mental health concerns and/or disabilities in conjunction with Counselling and Disability Services (CDS)

Implementation Chart of Working Group Recommendations:

Complete By:	Ongoing	Fall 2016	Fall 2017	Winter 2017
Administrative: Faculties	10. Provide appropriate training for GPAs, GPDs, and Faculty enrolment managers regarding graduate student academic record and graduate student funding	13. Develop and integrate strategic graduate enrolment and retention in administration 8. Appoint an Associate Dean or senior academic administrator with graduate education in their portfolio	9. Develop clear reporting lines and integration of GPAs and GPDs in Faculties 11. Provide graduate programs with revenue and costs	12. Develop career services support for graduate students and post-doctoral fellows
Administrative: FGS	16. Central administration of academic honesty and appeals 15. Central adjudication and administration of external scholarships e.g. Ontario Graduate Scholarship (OGS), Tri-Council Scholarships (SSHRC, NSERC, CIHR), and University matched funds' awards 17. Manage ethics approval process, review of doctoral		14. Administer and provide oversight of graduate student academic and funding record 18. Change name to the School of Graduate and Post-Doctoral Studies	

	proposals, and thesis and dissertation submission 19. Provide clear communication to parties about changes in FGS 21. Fulfill responsibility for centralized records of graduate student and post-doctoral visitors and fellows			
Governance: Faculties			1. Create and integrate graduate matters into committees and have graduate representation on Council executives (e.g. Academic Policy Committees) 2. Assume responsibility for approving appointments of graduate and adjunct faculty and program director appointments 3. Simplify graduate appointment processes with the expectation	4. Provide clear guidelines for the review of new graduate programs, minor and major modifications in the York University Quality Assurance Process

			that professorial stream faculty are to be appointed to graduate faculty with supervisory provisions	
Governance: FGS	5. Continue to provide centralized oversight and advocacy for graduate student appeals, petitions, and academic honesty committees 6. Responsible for graduate student academic and funding record 7. Provide oversight and administration of the Unit 1 and 3 CUPE 3903 Collective Agreements			
Student Centred: Faculties			21. Support timely degree completion through a review of courses, comprehensive examinations, and supervision and supervisory committee guidelines in individual graduate	

			programs 22. Require new hires to earn graduate supervision certificate available through the Teaching Commons 23. Develop and implement graduate programming to attract and support Indigenous graduate students 24. Consider integrating career development activities into learning outcomes to facilitate smoother transition for post-PhD	
Student Centred: FGS	25. Share graduate program best practices regarding time to completion 26. Support and facilitate each graduate program in the development, monitoring, and implementation of		28. Move from an eighteen to fifteen term full-time doctoral degree	

	graduate program milestones and consequences for not achieving milestones 27. Connect university initiatives to support Indigenous graduate students 29. Implement centralized services specific to graduate students with mental health concerns and/or disabilities in conjunction with Counselling and Disability Services (CDS)			

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Resources provided from FGS:

- Canadian Graduate and Professional Student Survey 2013
- FGS Report of APPRC
- FGS 2014 Year End Review
- FGS First Response to UAP
- FGS IRP 2015-2020
- FGS AAPR PIF
- Graduate Studies Structures at Institutions Activity-Based Budget and Non-Activity Based Budget Combined

Appendix A: Terms of Reference (please see attached document I was unable to insert "TOR_Working_Group_FGS.doc")

1.0 Context

York is committed to supporting excellence in graduate programs and education. While it is important that undergraduate and graduate planning be integrated, we must also recognize that graduate students are distinct from undergraduate students in terms of their experiences and learning and support needs, including attention to professional development.

Work is already under way led by the AVP Graduate/Dean of the Faculty of Graduate Studies in collaboration with Deans of anchor Faculties, GPDs and other colleagues, to integrate graduate studies and planning into those anchor Faculties; it is of key importance that this process continue to completion including consultation with graduate students in order to provide a clear proposal on the future structure of graduate studies including clear lines of responsibility and accountability. These discussions present a timely opportunity to review the structure and role of FGS with the proposed fuller integration of academic programming (including governance) into anchor Faculties.

There is general agreement around the value of positioning FGS to have an advocacy, policy and regulation oversight role over graduate education, but at the same time, clarity around responsibilities, the governance of academic processes, and so on need to be confirmed.

2.0 Mandate

Within the context of York's Institutional Integrated Resources Plan (IIRP), the Working Group on Envisioning the Role of FGS is established in an advisory capacity with the expectation that the group will produce a report of recommendations based on the information gathered from the faculties and relevant committees. This discussion will build upon and complement the work already under way led by the AVP Graduate.

The significant attention to graduate programs in the Academic Task Force Report indicates the relevance of understanding the relationship between graduate and undergraduate programs, ensuring quality programs, adequate resources, and as a consequence, clearer accountability of the anchor Faculties for graduate education working in partnership with FGS to provide oversight and to facilitate quality.

The Working Group will refine its terms of reference to set out in greater detail the anticipated outcomes; its recommendations are expected to focus on actions and resources to achieve the general IIRP outcomes below.

3.0 Outcomes

1. Enhanced graduate programs including increased research success through stronger alignment with anchor faculties
2. Enhanced services for graduate students
3. Roles of FGS and anchor Faculties will be clarified, supporting enhanced coordination of undergraduate and graduate planning around enrolments, curriculum, complement, etc.
4. Stronger support for graduate education
5. Better utilization of resources, potential savings as a result of organizational streamlining

4.0 Roles

Working Group Chairs: In collaboration with each other and with their respective working group members, the Chairs will ensure that meetings are scheduled and ensure timely completion of the process (report). The Chairs carry primary responsibility for drafting the working group recommendation report, with the input of working group members and support resources. Working group chairs will participate on the IIRP steering committee.

Working Group Members: Members of each Task Force are responsible to regularly attend meetings, actively participate and carry out the work to provide recommendations on the process implementation, details, and priorities in order to draft the final report.

Administrative Support: Staff members assigned to support the working group will be responsible for scheduling of meetings, arranging space, assisting Chairs with draft agendas, tracking progress toward timely completion of work, and ensuring effective communication with and among various working groups and the steering committee. Staff members are also responsible to support the Chairs in preparing for meetings, attend and take notes as required, collect any requested data and provide analysis if requested and follow up on action items from meetings.

5.0 Timelines

The working group will begin work in December 2015 and are expected to deliver a draft report of recommendations by ________.

If any specific recommendations are made to continue or action the recommendations presented in the working group report, the executive sponsors will agree on the process to extend the mandate beyond ___________.

6.0 Communication

If the working group wishes to communicate relevant information to, or consult with, the broader University community, such communication will be drafted by the relevant working group chair and administrative support staff. The communication will then be sent to the IIRP Co-Sponsors (Vice-President Finance & Administration and Vice-President Academic & Provost) who will coordinate the dissemination.

Appendix: Excerpts from Relevant Documents

University Academic Plan

- *Generating more opportunities for graduate students to fully participate in research (p. 8P*
- *Providing expanded post-doctoral opportunities at York (p. 8)*
- *Enhancing opportunities for students' involvement in research projects, particularly at the graduate level (p. 10)*
- *Increasing the time spent by students in small group settings with full-time faculty members, including retaining the format of small graduate seminar classes (p. 10)*
- *Coordination of graduate/undergraduate planning around curriculum, enrolments, and deployment of resources (p. 12)*

White Paper

- *We commit to identifying benchmarks and developing policies and mechanisms to increase the number of students who successfully complete their PhDs by the end of Year VI. (p. 12, benchmark #8)*
- *We will improve the overall research profile as well as the quality of graduate and postdoctoral programs by increasing both the number of successful applications from York students and postdoctoral fellows for externally-funded domestic and international scholarships and fellowships, as well as increasing the numbers of students and postdoctoral fellows coming to York with external awards to 25% by 2015. (p. 13, benchmark # 9)*

Academic Task Force

2. Provide all graduate programs with clear information about their revenue and cost structures and encourage them to explore less resource-intensive operating models that do not significantly impair quality. (p. 18)

3. Articulate an explicit sustainability strategy for every graduate program based on linkages to undergraduate programs or other sources of support. (p. 18)

4. Provide graduate programs with the flexibility and autonomy to respond more nimbly to changes in the graduate education landscape. (p. 18)

5. Define a clear identity and target audience for all Masters degree programs in light of changing graduate student pathways and increased external competition. (p. 18)

6. Require Masters programs to be well established and sustainable, with demonstrated quality outcomes, before launching a PhD in the area. (p. 18)

7. Implement proactive steps to promote timely completion in every PhD program. (p. 18)

Appendix B: Working Group Meetings

WEEK 1: Tuesday, January 12, 2016 from 3:00 PM – 4:30 PM

WEEK 2: Tuesday, January 26, 2016 from 3:00 PM – 4:30 PM

WEEK 3: Thursday, February 11, 2016 from 10:00 AM – 11:30 AM

WEEK 4: Thursday, February 25, 2016 from 10:00 AM – 11:30 AM

WEEK 5: Wednesday, March 9, 2016 from 10:00 AM – 11:30 AM

WEEK 6: Tuesday, March 22, 2016 from 3:00 PM – 4:30 PM

WEEK 7: Thursday, April 7, 2016 from 11:00 AM – 12:30 PM

WEEK 8: Thursday, April 21, 2016 from 11:00 AM – 12:30 PM

WEEK 9: May 24, 2016 from 2:00 PM – 5:00 PM

Appendix C: Consultations

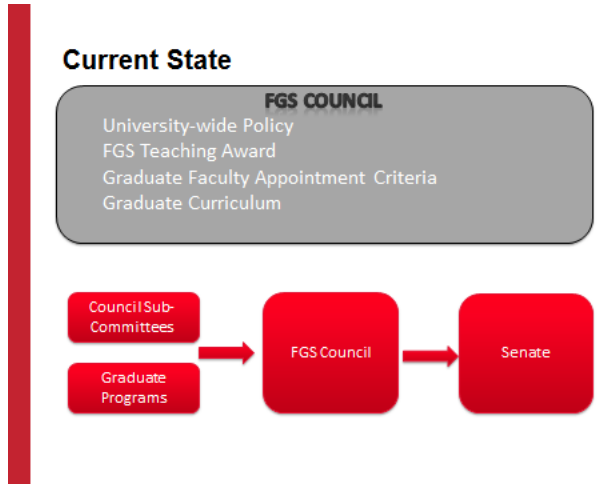
GPDs: Tuesday, April 12, 2016 from 1:00 PM – 3:00 PM

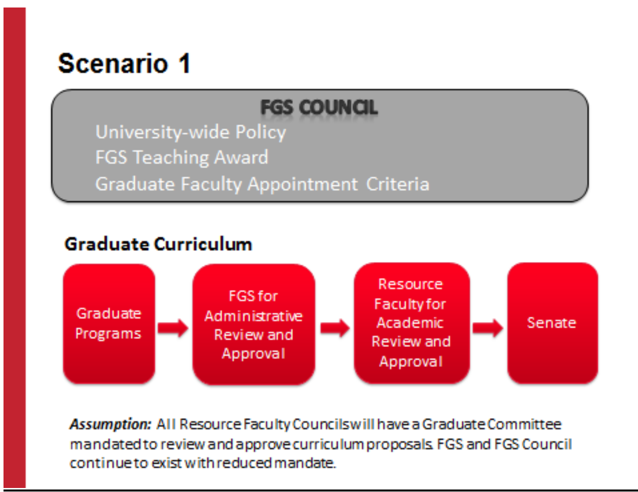
FGS APPC: Wednesday, April 20, 2016 from 9:30 AM – 11:30 AM

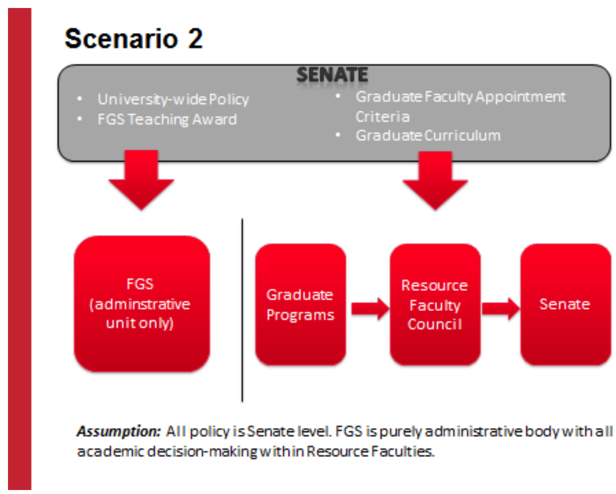
AD Research: Thursday, May 5, 2016 from 1:00 PM – 3:00 PM

FGS Council: Thursday, May 5, 2016 from 4:30 PM – 6:00 PM

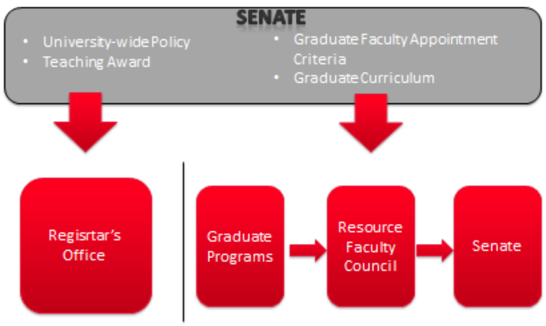
Appendix D: Graduate Governing Structures







Scenario 3



Assumptions: Registrar's Office and Resource Faculties have the resources required to operationalize all policy and activities related to graduate education. Assumes grad and undergrad are administered and governed identically. No separate unit devoted to graduate education.

Appendix E: Doctoral Program length advertised on program website

6 Years (4 Programs)

4 Years (26 programs)

Art History and Visual Culture Biology
(3-5 years)
Business Administration
Chemistry (3-5 years) Cinema &
Media Studies Civil Engineering
Communication & Culture
Computer Science
Critical Disability Studies (4-5 years)
Dance Studies
Earth & Space Science
Economics
Education: Language, Culture & Teaching
Environmental Studies
Geography Health
History
Human Resource Management
Humanities
Law
Linguistics & Applied Linguistics
Mathematics & Statistics Mechanical
Engineering
Physics & Astronomy
Socio-Legal Studies Visual
Arts

5 Years (10 programs)

Anthropology
Kinesiology & Health Science Music
Philosophy
Psychology
Science & Technology Studies Social
& Political Thought Social Work
Sociology
Theatre & Performance Studies

6 Years (4 programs)

English
Etudes Francophones
Gender, Feminist & Women's Studies Political Science
Political Science

IIRP Experiential Education Working Group

Report for Community Consultation on Implementation

September 6, 2016

Prepared for:

Vice-President Academic & Provost, Rhonda Lenton
Vice-President Finance & Administration, Gary Brewer

Prepared by:

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Executive summary

Experiential Education (EE) provides students the opportunity to apply what they learn in a context that occurs within a course, community or work/professional setting. Such experiences enable students to develop a broad set of attributes and transferable skills. With a backdrop of declining institutional enrolment, the IIRP Experiential Education (EE) working group examined and affirmed the direction of the ongoing EE initiatives based on: (i) an analyses of progress of the current EE operational plan (in terms of barriers that are impeding progress), (ii) a consideration of changes in the UAP planning context (in terms of opportunities, risks and threats) and (iii) an updating of the EE vision. To address barriers impeding progress and to mitigate emerging risks affecting the implementation of the EE operational plan and vision, the working group suggested the following preliminary recommendations:

- Ensure there is **student support** so that students are able to transition (from the classroom) to a community focused or work focused EE context and are able to persist in EE courses/degree programs and experience success. This includes the development of a policy for accommodating students with disabilities in EE settings in a manner that aligns with the institutional policy.
- Provide **support for faculty** in terms of EE professional development and administrative requirements, as well as to continue incentivising the strategic development EE courses.
- Support **institution and partner organizations** by:
  - promoting faculty level strategic planning for embedding EE within courses and degree programs;
  - the encouragement of Faculties to develop new-faculty hiring criteria that allows for the consideration of experience of, and willingness to engage in, a variety of innovative teaching practices including EE
  - developing a culture of "continuous improvement" for EE;
  - promoting the development of mutually beneficial and robust, sustainable partnerships;
  - raising the profile of the YU Experience Hub in terms of its role of partnership development with external organizations;
  - ensuring sufficient financial resources to support EE for: (i) continued funding for the YU Experience Hub and (ii) Faculty-based EE coordinators as per EE Faculty strategic plans;
  - identifying and formalizing the roles and responsibilities between the administrative/resource partners involved in the implementation of EE;
  - developing a comprehensive communication plan addressing students, faculty, partner organizations and projecting the institution's diverse approach to Teaching and Learning, its values and distinctiveness through the leveraging of EE to external audiences.

Introduction

Experiential Education (EE) is a pedagogical approach that affords students the opportunity to apply theory to a concrete experience, in a context that occurs within a course, community or work/professional setting and in a manner that advances the learning objectives of a course or program. Such experiences, combined with structured reflection, can lead to greater insight for students, leading to deeper learning and a re-consideration of previously held assumptions and beliefs (EE Case for Change, 2013). Research has shown that students benefit from EE that may include: enhanced academic performance (e.g. higher GPA, improved oral/written, expression, application of knowledge), future aspirations (e.g. clearly defined plans; increased likelihood of attending graduate school), development of "soft skills" (e.g. teamwork, interpersonal skills, professional networking) and a greater sense of citizenship (e.g., social responsibility to others, civic engagement, multicultural competence)[1].

Given the recent Institutional Integrated Resources Plan (York University, 2015) and the recent 2015-2020 University Academic Plan (UAP, 2015), the IIRP Experiential Education (EE) Working Group examined the institutional progress of EE integration and to ensure that the on-going work[2] is responsive and relevant to the evolving institutional planning context. Building upon York's existing experiential approaches to education, particularly in the social sciences and professional programs (e.g., business, engineering, nursing, social work, public policy and law), the expansion of EE opportunities across a broader range of programs can potentially attract new students.[3] This may go some way to stabilize declining enrolment (as raised in the institutional IIRP) as well as be an opportunity to demonstrate excellence in teaching and learning innovation in a manner that differentiates our institution and its mission, vision and values as outlined in York University's White Paper (Monahan, 2010) and the 2010-2015 UAP. Together, the AVP T&L with the Pan-University EE working group, aim to reflect institutional values by:

- Promoting **excellence** in EE in terms of teaching and learning. This includes setting forth processes and developing an infrastructure that provides support for both students and faculty.
- Embracing **innovative and progressive** approaches to EE that will enhance student learning.

[1] See "EE A Case for change" (2013) for a complete list of references.
[2] A summary of EE accomplishments can be found in Figure 1
[3] Some prospective students desire the opportunities that are afforded by EE. As indicated in the Case for Change (2013) document: "Research by the Strategic council in 2012, indicated that high school students in the GTA made choices about their future education based on their perceptions of the quality of university teaching, the quality of jobs obtained by graduates and the availability of career oriented, and professionally relevant degree programs".

- Recognizing there is a **diversity** of approaches for teachers and for learners: Not assume that "one size fits all" – certain types of EE may work for some students and disciplines but not necessarily for all.[4]
- Supporting initiatives that advance **social justice and equity** through EE.
- Ensuring that the institution's approach is optimal and **sustainable.**

A 2015 baseline estimate of the number of EE courses revealed that EE activity exists across all Faculties (See Table 1). While this represents a start, the continued expansion of EE opportunities requires a Faculty-based strategic approach that will strengthen degree programs. Based on: (i) an analyses of progress of the current EE operational plan (in terms of barriers that are impeding progress), (ii) consideration of changes in the UAP planning context (in terms of opportunities, risks and threats) and (iii) an updating of the EE vision so that it remains relevant until at least 2020, the IIRP EE working group was able to affirm the direction of the ongoing EE initiatives and deemed them to be robust and supportive of the changing institutional planning environment. The EE operational plan aims to:

- Encourage Faculties to develop a strategic approach to embedding EE within degree programs
- Create a unified approach to engaging with all EE stakeholders
- Elevate the culture of teaching and learning (including EE).

Preliminary Recommendations

To address the barriers impeding progress and to mitigate risks to the EE operational plan and vision, items that were already present but necessary to successfully execute the plan were deemed either: "ongoing" or "to-be-initiated"(TBI). New items, which were added, not only addressed barriers but also supported the new planning context and were considered to be an update to the plan. The preliminary recommendations arising from the current EE IIRP working group deliberations were categorized in terms of whether they serve students, faculty or the institution and partner organizations at large.

Students

i. Ensure there is student support[5] so that students are able to transition (from the classroom) to a community-focused or work-focused EE context and are able to persist in EE courses/degree programs (with EE opportunities) and experience success. (Ongoing). This preliminary recommendation includes the development of a policy for accommodating students with disabilities in EE settings in a manner that aligns with the institutional policy (New).

[4] Indeed, the "common language" document which envisions a range of EE teaching strategies as a continuum. In short, the three broad categories are: Course Focused, Community Focused and Work Focused. The definitions of each type of strategy and its variation can be found in Figure 2.

[5] Note as outlined in preliminary recommendation viii, communications directed at students will describe the types of EE at York University as well as how one might find support transitioning from classroom to community or workplace environments.

Faculty

ii. Support in terms of EE professional development and administrative requirements (for both contract and full-time faculty). (Ongoing)
iii. Incentives for the strategic transformation of EE courses. (Ongoing & TBI)

Institution and Partner Organizations

iv. Promote Faculty-level strategic embedding of EE within degree programs. (Ongoing)
v. Develop a culture of "continuous improvement" for EE courses and programs. (New)
vi. Ensure the development of mutually beneficial and robust, sustainable partnerships (ongoing). This includes the establishment of clear set of expectations and shared understanding between the various partners involved in EE (i.e., Students, Faculty, EE staff, and partner organizations). As well, the establishment of an independent feedback mechanism for redress (New).
vii. Ensure sufficient financial resources to support EE for: (i) continued funding for the YU Experience Hub (New) and (ii) Faculty-based EE coordinators as per EE Faculty strategic plans (Ongoing)
viii. Identification of roles and responsibilities between the administrative/resource partners involved in the implementation of EE (New).
ix. Develop a communications plan to advance EE, directed to students and faculty, to raise the profile of the YU Experience Hub for its role in building EE partnerships, and to show case the institution in terms of the innovative approaches for Teaching and Learning (including EE) (New).

Operational Initiatives, Outcomes, Metrics for Success, Suggested Leads and Timelines

Table 2 outlines the operational initiatives – actions that will be taken to carry out the aforementioned recommendations and the achievement of outcomes as they advance institutional objectives as set out in the UAP and other planning documents (i.e., IIRP & White paper). In addition, the table includes metrics that will indicate progress and success of the initiatives, suggestions for possible parties who will lead the initiatives, and timelines for these initiatives.

Students. Student success is an overarching theme of the UAP (2015) and of the White paper (2010). Given the diversity of EE settings (course focused, community focused or work focused) and given the broad array of resource partners on campus who have experience working with students engaged in different types of EE, clearly a co-ordinated team based approach is required. To that end, the AVP T&L will work collaboratively with the Teaching Commons, Learning Commons, YU Experience Hub and other relevant partners to develop a plan for the assessment of student learning needs[6]. Based on such a plan it will be clear what

[6] One approach could include an examination of the competencies required for success in the various types of EE settings, and assess which resources support those competencies. This can enable the identification of gaps.

new learning resources are required that will enable student success in EE courses/environments[7].

An important aspect of success in EE is that students are able to transition from the classroom to community-focused and/or work-focused EE. In providing support to students, instructors may embed instructional practices that model or incentivise what is required for successful student learning in an EE course[8]. To supplement and support this practice, online resources will continue to be created, and existing resources for students will be evaluated using student feedback (including suggestions for improvement) and the number and characteristics of students using the resources. For example, the Teaching Commons will evaluate the student guide for EE and make changes as required (See Table 2 for details). However, not all forms of EE are connected to a course. Some forms of work-focused EE (such as Internships and Co-op) are optional to programs. Internship and Co-op students may need to access support in alternative ways. [9] The aforementioned initiatives will increase the likelihood of advancing UAP (2015) priority 4-6 of improved student retention and time-to-completion and priority 4-7 – increased student satisfaction. The associated metrics and timelines can be found in Table 2.

Finally, steps will be taken to develop a policy of accommodation for students with disabilities. Under the leadership the AVP T&L and the YU Experience Hub appropriate parties will be engaged to develop policy and procedures that align with the institutional policy on accommodation for students with disabilities. A plan will be created for the generation, review, implementation and evaluation of the policy.

Faculty. Providing faculty members with access to professional development for EE course design and access to appropriate administrative materials (e.g. appropriate forms) as well as with incentives for the transformation of their courses will advance the UAP priority 3-4 – training and support for faculty engaging in EE. Indeed, the commitment to academic quality is consistent with overarching themes within the UAP (2015) as well as the White paper (2010).

The expansion of EE courses is a UAP priority (3-1). This priority can be advanced in two ways: First, by incentivising faculty in the form of grants/funding for community focused or work focused EE. Second, by developing a report that considers two items: (i) strengthening of Tenure and Promotion Standards in reference to Teaching, including EE, and (ii) how best to acknowledge the time of faculty members who are developing/delivering EE courses – particularly if partner organizations are involved. The development of such a report would be

[7] The AVP T&L will in principle, continue to support the proposal for a dedicated position in the Learning Commons to address student learning needs in terms of EE.
[8] The Teaching Commons will provide strategies to instructors on how best to do this.
[9] Recently the Career Center, Learning Skills & Learning Commons discussed the development of a package of supports that were both online and in-person. Such a package includes skills in the area of reflection, and articulation of skills and experiences and are delivered independently of a course.

contingent upon the support of Faculty Relations, Provost and Deans and would be led by the AVP T&L and Pan University EE working group. Timelines can be found in Table 2.

Institution. The promotion of Faculty-level strategic planning for advancing EE (lead by the AVP T&L, engaging Deans and EE Faculty leads) is crucial for expanding EE at York University in an optimal and sustainable fashion (which in turn, supports UAP priority 1-1 – Faculty plans to enhance the quality of academic programs). This initiative involves the development of Faculty (and by extension, local or unit level) "road maps" defining where the various types of EE fit best to strengthen degree programs. This initiative should result in the growth of the number of EE courses. As Faculties develop hiring criteria for new faculty the AVP T&L along with Deans, and EE Faculty leads, will encourage the inclusion of language that allows for the consideration of experience and willingness to engage in a variety of innovative teaching practices including EE. Both of the aforementioned actions support priority 3-1 of the UAP – the expansion of EE.

Creating a culture of "continuous improvement" for EE courses/programs and by developing appropriate feedback mechanisms or instruments for course/program reviews (during the middle and end of a course/program) so that appropriate changes can be made, is a concrete way of advancing academic quality. This initiative supports UAP priority 4-2 – "monitor student learning needs", should result in improved scores on student satisfaction surveys, depending upon the number of Faculties that ultimately adopt the mechanism/instrument.

Ensuring the ongoing funding of the YU Experience Hub and Faculty-based EE co-ordinators (as per their Faculty plans for EE)[10] is essential for the expansion of EE opportunities and advances UAP priority 3-2 – the expansion of EE. The YU Experience Hub provides a variety of support to the EE primary audiences: students, faculty and partner organizations. The Hub collaborates with existing EE resources within Faculties (such as Faculty-based co-ordinators) and provides a pan-University approach for activities such as establishing policies, creating technological solutions and communication activities that promote and enhance the value of York University's EE. In addition, the YU Experience Hub has expertise in developing internship and Co-op opportunities for students. Faculty based co-ordinators provide valuable support in the development of external partnerships and logistical support (i.e. risk management) for community focused EE and in some cases placements.

The expansion of community-focused and work-focused EE requires the development of mutually beneficial and robust partnerships with external organizations that can be sustained. An essential component of ensuring sustainability is that individual actors (i.e., students, faculty, partner organizations, EE staff) have a clear set of expectations of their roles and responsibilities. Once a partnership is established, the likelihood of its sustainability can be enhanced, if it is indeed mutually beneficial, and there is a means of obtaining independent

[10] Faculties are expected to determine the type of EE that works best to strengthen their degree programs.

feedback and if necessary redress. In this manner, problems can be mitigated or eliminated, whether they are attributed to the student, course director or the institution. Thus the YU Experience Hub and the AVP T&L will develop a clear set of expectations for the various partners involved in EE (i.e., Students, Faculty, EE staff, and partner organizations). In addition, an independent feedback mechanism (for any party involved in the partnership) will be developed along with procedures for redress. This will advance UAP priority 6 – 3.1 – solidifying partnerships for enhanced student learning.

The delivery of experiential education is a complex endeavour that requires the co-operation of many administrative entities (e.g., Faculty-based co-ordinators, YU Experience Hub) and resource partners (e.g., Learning Commons and Teaching Commons, to name just two). To ensure that these entities are able to work in an efficient and collaborative manner, it is necessary to clarify the roles and responsibilities of the various entities. As such the AVP T&L will work with the Experiential Education Working Group to produce a document with a clear articulation of roles and responsibilities. The intent of this document is for entities to come to a shared understanding of areas of commonality and uniqueness and to find a way of working together as a team, when required.

Finally, a comprehensive communications plan is required for:

- **Students** so that they know about EE courses and programs that contain EE opportunities and where to obtain resources that enable them to be successful when engaging in EE.
- **Faculty** so that they understand the benefits of EE, access resources and professional development pertaining to the development of EE courses, and are aware of incentives for creating or transforming EE courses into an EE format.
- **Partner organizations,** so that they will be encouraged to engage with York University students. Partner organizations need to understand the value that York University students bring to their organizations. In addition partner organizations need to understand how the university will support them (e.g., risk management, postings for internships and Co-op)
- **The Institution.** This includes raising the profile of the YU Experience Hub in terms of its role in developing external partnerships. Additionally, there should be a mechanism for recognizing partner organizations for their contributions to EE (particularly for community-focused EE).

For external audiences (and for the purposes of student recruitment) the communications plan would showcase signature pedagogies, innovative EE courses, and programs that contain EE opportunities. The message would reflect York University's institutional values and identity and would aim to differentiate itself from other institutions. Table 2 lists the UAP priorities.

Process for moving forward

Leads have been suggested for each initiative that operationalizes the preliminary recommendations as listed in Table 2 in parenthesis. Because a collaborative approach is required for many cases of the initiatives, more than one party is listed. In the ensuing weeks the broader operational plan will be updated by the AVP T&L to include the aforementioned preliminary recommendations. Execution of the plan will begin in September 2016.

Appendix A

Tables

Table 1. *An estimate of the number of EE courses at York University in May 2015*

	AMPD	Education	Environ. St.	Glendon	Health	Lassonde	Law	Schulich*	Science	LAPS	Total
Course Focused											
RLA	27	4	36	47	318	64	9	10*	69	90	664
Community Focused											
CBL	14	4	18	4	31	0	10	2*	4	20	105
CBR	3	1	10	1	23	0	2	0*	0	10	50
CSL	2	1	13	3	3	0	5	3*	0	9	36
Work Focused											
Placements	8	4	6	16	19	0	10	3*	0	14	77
Internships	4	0	0	0	1	9	0	4*	3	12	29
Co-op	0	0	0	0	0	7	0	--	6	0	13
Total	58	14	83	71	395	80	36	22*	82	155	974

Note. *Schulich provided the number of programs rather than courses, and were therefore excluded from the overall totals. RLA = reflective learning activities, CBL = Community Based Learning, CBR = Community Based Research, CSL = Community Service Learning. Environ. St. = Environmental Studies.

Table 2. Preliminary Recommendations (New, Ongoing or TBI "to-be initiated"), Suggested Leads (in parenthesis), Operational initiatives, Outcomes as they support UAP priorities, Metrics and Timelines

Students	**Operational Initiative/Action**	**Outcomes**	**Metric**	**Assumptions**	**2016-17**	**2017-18**	**2018-19**	**2019-20**
• Ensure that there is student support (Ongoing) • So that students are able to transition from the classroom to community focused or work focused EE context and will persist in the EE course and experience success. (Suggested Lead: AVP T&L, Teaching Commons, , YU Experience Hub, Learning Commons)	Evaluate existing EE resources for students and update as required. (eg., Teaching Commons EE guide for students). The Teaching Commons will provide strategies for course directors to embed the resources in a manner that will model/incentivise what is required of students to be successful learners in EE courses. AVP T&L will work collaboratively with the Teaching Commons, Learning Commons, YU Experience Hub and other relevant partners to develop a plan for the assessment of student need/required for work-focused EE competencies (i.e., internship, Co-op). Based on such a plan it will be clear what new learning resources are required Through EE course websites (i.e. Moodle) , connect students with campus resources (both online and in person) that provide academic and other campus supports	Clarity on who is using the EE student learning guide, and how many. Updates to the student EE guide. An assessment of student need for work focused EE resources. A plan for developing work focused EE based on required student competencies. Improved student retention and time-to-completion (UAP Priority 4 .6) Increased student satisfaction (UAP Priority 4.7)	*Student satisfaction surveys *Retention rates *GPA in EE courses. * EE Course evaluations		✖	✖	✖	✖

Table 2. Continued…

Students	**Operational Initiative/Action**	**Outcomes**	**Metric**	**Assumptions**	**2016-17**	**2017-18**	**2018-19**	**2019-20**
• Develop a policy for accommodating students with disabilities in EE settings in a manner that aligns with the institutional policy (New). Suggested Lead: AVP T&L, YU Experience Hub, in consultation with Learning Commons, Teaching Commons)	Engage appropriate parties to develop plan for the generation of a report Engage appropriate parties to review the report and develop an implementation and follow-up evaluation plan.	Generation of a report	*Creation of the report.			✖	✖	

Table 2. *Continued…*

Faculty members	**Operational Initiative/Action**	**Outcomes**	**Metric**	**Assumptions**	**2016-17**	**2017-18**	**2018-19**	**2019 20**
• Ensure that there is ongoing EE professional development support for both contract and full-time faculty (ongoing): • For professional development for course design and teaching for EE courses (Suggested Lead: Teaching Commons, AVP T&L) • For administrative aspects of EE (Community & Work Focused) (Suggested Lead: YU Experience Hub, AVP T&L)	AVP T&L will engage both Teaching Commons and YU Experience Hub to work collaboratively in terms of professional development and access to appropriate administrative materials.	(UAP priority 3.4 – Training & Support for faculty incorporating EE))	*Growth in number of community focused and work focused EE courses. *Faculties achieving targets as per Faculty "road maps".		✖ ✖	✖ ✖	✖ ✖	✖ ✖
• Ensure there are faculty incentives for the transformation of EE courses strategically – for contract and fulltime faculty (ongoing): • In terms of grants/funding for the initial transformation of EE courses (ongoing) (Suggested Lead: AVP T&L)	Provide moderate stipend (e.g., $5K research grant) to contract or full-time faculty member at ANY time to engage in the strategic (re)development of community focused or work focused EE courses within a degree program. Rationalize stipend as compensating for time spent developing course, time not spent writing research grants	Establishment of a revised funding regime. (UAP priority 3.1 – Expansion of EE).	*Growth in community focused and work focused EE courses. *Faculties achieving targets as per Faculty "road maps".	Assumes that new courses are strategically funded. Assumes that there will be faculty uptake. Assumes course conversions are strategic.	✖	✖	✖	✖
• With the support of Faculty Relations, Deans and the Provost, developing a report that considers two items: (i) strengthening Tenure and Promotion Standards in reference to Teaching, including EE. (ii) How to best to acknowledge the time of faculty members who are developing/delivering EE courses – particularly if partner organizations are involved. (TBI). (Suggested Lead: AVP T&L, Pan University EE working group,, with support of Faculty Relations, Provost, Deans)	Create a plan to develop report: Obtain support, identify working group, identify appropriate governance channels/sequence, consultation identify elements of report, (i.e. types of info), obtain continuous feedback on report, and move to planned next steps.	Consultative plan that informs the leadership regarding what needs to be done to strengthen T&P in reference to teaching including acknowledgement of time spent developing EE courses that include partner organizations. (UAP priority 3.1 – Expansion of EE)	*Evidence of application of T&P standards with revised criteria *Growth in number of EE Courses.	Assumes that support from the appropriate parties will be will be attained		✖	✖	✖

Table 2. *Continued...*

Institution and Partner Organizations	**Operational Initiative/Action**	**Outcomes**	**Metric**	**Assumptions**	**2016-17**	**2017-18**	**2018-19**	**2019-20**
• Promote Faculty level strategic planning for strategically embedding EE within degree programs (Ongoing). (Suggested Lead: AVP T&L, Deans, EE Faculty leads) • Important considerations are the type of EE that works best for the faculty/degree program along with the discipline specific signature pedagogy.	Establish Faculty (and by extension local unit level) 'road maps' defining where the relevant types of EE courses fit best to strengthen degree programs – Engage EE Faculty Leads, Deans	Strategic targets for EE 2016 – 2020 (UAP priority 1.1 – Faculty plans to enhance quality of academic programs, UAP priority 3.2 – Expansion of EE)	*Growth in the number of EE courses.	Assumes that Faculties and units, will have faculty members ready to take this on.	✖	✖	✖	✖
• Develop a culture of "continuous improvement" (Suggested Lead: AVP T&L, Teaching Commons, EE Faculty Leads) (New) • Ensure that there is a means for effective and meaningful feedback regarding EE courses or programs with EE (in the middle and at the end) so that faculty members may make appropriate changes.	Develop appropriate feedback mechanism/tool for course and/or program. Engage appropriate groups for feedback on what is developed. Consult with EE Leads.	*Higher quality EE courses (UAP priority 4.2 – monitor student learning needs).	Number of Faculties that adopt the instrument. Number of courses that adopt instrument Improved scores on student satisfaction surveys.	Assumes that there will be individual faculty interest in obtaining feedback.		✖	✖	✖

Table 2. *Continued…*

Institution and Partner Organizations	**Operational Initiative/Action**	**Outcomes**	**Metric**	**Assumptions**	**2016-17**	**2017-18**	**2018-19**	**2019-20**
• Ensure sufficient financial resources for (New) • Continued funding for the YU Experience Hub) (Suggested Lead: AVP T&L). • Faculty Based EE Co-ordinators (Suggested Lead: AVP T&L, Pan University EE working group)).	For YU experience Hub, the AVP T&L will engage appropriate leadership to secure ongoing funding. For Faculty Based EE, the AVP T&L will consult with Pan University EE Working Group, Deans, regarding their Faculty Plans for EE.	(UAP priority 3.2 – Expansion of EE) UAP priority 6 – 3.1 Solidifying Partnerships for enhanced student learning	Continued funding for YU Experience Hub. Faculty plans demonstrating need and demand for EE for Faculty Based EE coordinators		✖	✖	✖	✖
• Ensure the development of mutually beneficial and robust partnerships that are sustainable (ongoing) • Develop effective ways of monitoring and maintaining, and preserving the partnership with external organizations that engage with students and course directors. This includes a mechanism to mitigate problems that partner organizations are having with students and/or CDs (Suggested Lead: AVP T&L, YU Experience Hub / EE coordinators)	Engage the YU Experience Hub/EE coordinators to develop feedback and follow-up procedures that are easy to implement and sustainable. Implement shared service agreements. .	Partner organization satisfaction. Student satisfaction. UAP priority 6 – 3.1 Solidifying Partnerships for enhanced student learning.	. *Number of partner organizations that persist, year over year. *Student feedback with their EE experience. * Partner Organization feedback	Assumes that partner organizations will be willing to provide feedback in terms of the quality of the partnership.	✖	✖	✖	✖

Table 2. *Continued…*

Institution and Partner Organizations	**Operational Initiative/Action**	**Outcomes**	**Metric**	**Assumptions**	**2016-17**	**2017-18**	**2018-19**	**2019-20**
•								
• Identification of roles and responsibilities between the administrative/resource partners (Lead: AVP T&L, YU Experience Hub) (New).	Experiential Education Working Group will identify and collate the roles and responsibilities of the administrative/resource partners and identify areas of commonality and uniqueness. Then come to a shared understanding of who will do what in order to work as a team. .	Clear identification of responsibilities.	Production of a document that outlines the roles and responsibilities (Fall 2016) Implementation phase (Winter 2017)		✖			

Table 2. *Continued…*

• Implement a promotion and communications plan to support exploration and innovation in teaching and learning (including EE) (TBI, New)	**Operational Initiative/Action**	**Outcomes**	**Metric**	**Assumptions**	**2016-17**	**2017-18**	**2018-19**	**2019-20**
▪ **For students** so that they (New): ▪ Know about EE courses and programs with EE (Suggested Lead: AVP T&L, Pan University EE group, EE Faculty Leads, YU Experience Hub/EE coordinators) ▪ Know about resources for students to be a successful when engaging in EE (particularly community focused and work focused EE). Suggested Lead: AVP T&L, Pan University EE working group, EE Faculty Leads)	Engage pan university EE group, EE leads & YU Experience Hub /EE Coordinators to develop a plan for letting students know about EE courses/programs as well as student success resources through various modes.	Increased student satisfaction (UAP Priority 4.7) Improved student retention and time-to-completion (UAP Priority 4 .6)	*Student satisfaction surveys *Persistence /degree progression for programs with EE or students take EE courses. *Retention rates *GPA in EE courses.	Assumes there is a budget for communications.	✖	✖	✖	✖
• **For faculty** (contract and full-time) so that they (New): ▪ Know the benefits of EE (Suggested Lead: AVP T&L, Pan University EE group, EE Faculty Leads) ▪ Know where they can access EE resources and professional development (Suggested Lead: AVP T&L, Teaching Commons, Deans, EE Faculty Leads) ▪ Are aware of incentives for transforming courses into an EE format (Suggested Lead: AVP T&L, Teaching Commons, Deans, EE Faculty Leads)	Engage EE leads to develop a plan for letting Faculty know about the benefits of EE, where to access EE resources and professional development and are aware of incentives for transforming courses.	*Increased uptake in course conversions to EE courses. (UAP priority 3.2 – Expansion of EE) Priority 3.4 – Training & Support for faculty in EE	*Growth in number of community focused and work focused EE courses. *Faculties achieving targets as per Faculty "road maps".	There is s a system in place to capture the data for the metric. Assumes faculty members will engage in EE because they know about the benefits of EE, can access professional development and aware of incentives.	✖	✖	✖	✖

Table 2. *Continued...*

Implement a promotion and communications strategy to support exploration and innovation in teaching and learning (including EE) (TBI, New)	**Operational Initiative/Action**	**Outcomes**	**Metric**	**Assumptions**	**2016-17**	**2017-18**	**2018-19**	**2019-20**
• For **Partner Organizations**:(New) ▪ Out reach to partner organizations so that they will be encouraged to engage with York University students. ▪ Ensure partner organizations need to understand the value that York University students bring to their organizations. ▪ Ensure partner organizations understand how the university will support them (e.g., risk management, postings for internships and Co-op). ▪ (Lead: YU Experience Hub, AVP T&L)).	Engage YU Experience Hub to develop a plan to reach partner organizations. .	*Sustains, renews partnerships UAP priority 6 – 3.1 Solidifying Partnerships for enhanced student learning.	Number of partnerships developed. Number of students affected/impacted.	There is a system in place to capture the data required for the metric.	✖	✖	✖	✖

Table 2. *Continued...*

Implement a promotion and communications strategy to support exploration and innovation in teaching and learning (including EE) (TBI, New)	**Operational Initiative/Action**	**Outcomes**	**Metric**	**Assumptions**	**2016-17**	**2017-18**	**2018-19**	**2019-20**
• For **the institution**:(New) • Profile "YU Experience Hub" and build partnerships internally and externally to advance EE	Engage YU Experience Hub to develop a plan to advertise their role/services to internal and external audiences	*Awareness of YU Experience Hub (UAP priority 3.2 – Expansion of EE) *Increased uptake in course conversions to EE courses. (UAP priority 3.2 – Expansion of EE)	Number of partnerships developed. Number of EE courses/programs or students affected/impacted.	There is a system in place to capture the data required for the metric.				
▪ Showcase innovative EE courses and programs with EE that reflect York's institutional values & identity as one approach of demonstrating York's differentiation from other institutions(new). (Suggested Lead: AVP T&L, Pan Univ EE working group,; Deans, Teaching Commons, EE Leads, YU Experience Hub/EE Coordinators)	Engage appropriate parties to develop a plan for showcasing innovative EE courses/programs through various modes, as well as demonstrating York's differentiation from other institutions.	*Elevates the culture of Teaching and Learning.				✖	✖	✖
▪ Recognize Partner organizations for their contributions to EE (AVP T&L, Pan University EE Working Group, YU Experience Hub/EE Coordinators)).	Engage YU Experience Hub/EE Coordinators & Pan Univ EE working group to develop a plan to recognize partner organizations that contribute to EE at York.	*Sustains, renews partnerships UAP priority 6 – 3.1 Solidifying Partnerships for enhanced student learning.	*Partnership retention rate					

Figures

Summary of Experiential Education Accomplishments (2013-16)

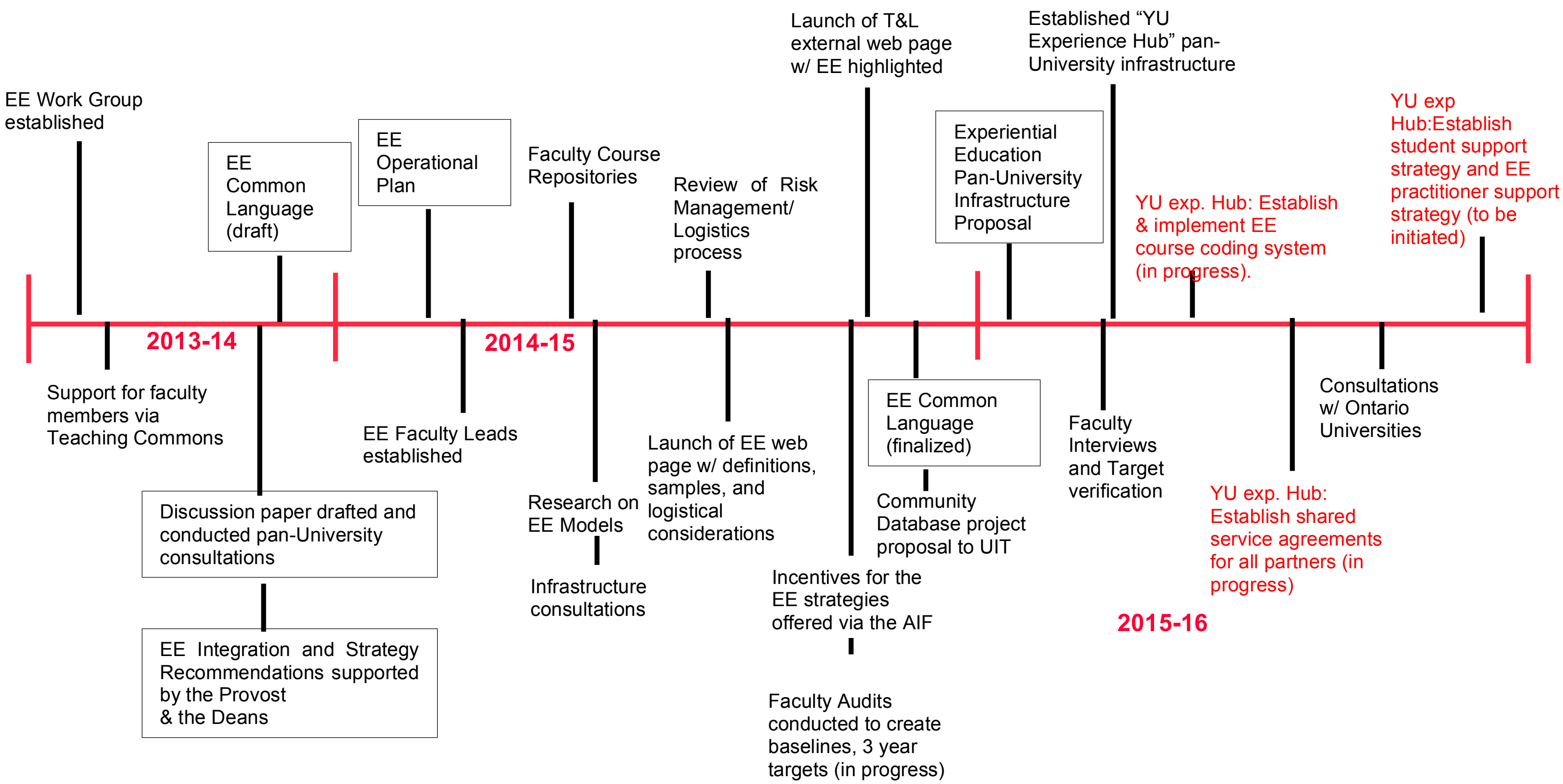

Figure 1. Summary of Experiential Education accomplishments (2012-16). Items in boxes represent documents produced by the pan-University EE working group.

Source: Office of the AVP T&L, March 2016

Common Language for Experiential Education

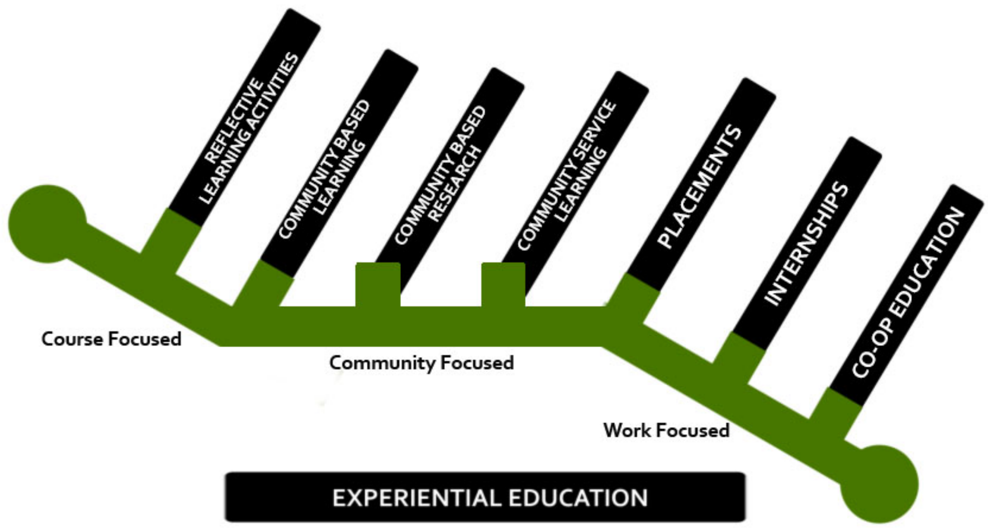

Figure 2.

Definition of Experiential Education (EE)

"EE is an approach to learning that bridges theory and practice by providing students with concrete applied practical experiences and then helping them to reflect on their experiences using the theoretical knowledge they have learned (York's White Paper Companion, 2010:38)."

Definition of Structured Reflection

Structured reflection is any planned activity or exercise that requires students to refer back and critically examine the concrete experience in light of existing theory and/or what is being covered in the course. For example, following a concrete experience, students may have to: explain why certain events occurred, or justify the necessity of certain procedures, or consider the experience from multiple perspectives or challenge their assumptions or beliefs. The specific reflection activity or exercise will depend upon the intended learning outcome(s) for the students.

Note: *It is important that steps are taken to ensure that degree programs incorporate EE across a range of courses at different levels. Early experience in developing reflective thinking through course focused activities may act as building blocks for community and work focused opportunities later in the student's degree program. All EE activities should be fully integrated into the course with explicit links to student learning outcomes (and course assessment strategies).*

EE STRATEGIES

Course Focused EE: *Students are exposed to concrete learning activities in the course or classroom that require them to reflect on what they have experienced in relation to concepts/theories being covered in the course. All course focused EE strategies contribute to addressing student learning outcomes.*

Reflective Learning Activities This experiential education strategy allows students to apply theory and course content to concrete experiences that encourage reflection and conceptualization. These experiences not only encourage active learning but also include structured reflection, encouraging the student to refer back to the experience in an effort to make sense of it by considering relevant course material. These concrete experiences could take place within the classroom or outside the classroom through observation, reflection and practical applications.

Key features:

How do students engage in EE?
Within the classroom through the use of guest speakers, rehearsals and performances, role playing, skits, case studies, simulations, workshops and laboratory courses; or outside of the classroom through interviews with professionals in a particular field, participation in community events, observations of lived experiences that correlate with topics under study, and visits/field trips to sites that are of particular relevance to certain disciplines.

To what extent are community partners engaged/involved?
As guest speakers/participants, transferring knowledge and/or subject matter expertise within the classroom or as bystanders being observed within the community.

Is priority given to student learning outcomes or community partner needs?
Student learning outcomes for the course are the priority with this type of EE.

How long and how frequently do these experiences occur?
Reflective Learning Activities take place throughout the length of the course. Reflective learning activities make up approximately 30% of the course.

How are students remunerated?
Students receive academic credit for Reflective Learning Activities. Reflective Learning Activities are unpaid.

Community Focused EE: *Students have the opportunity to connect course material with experiences that occur through interactions with partners in the community. Reflection remains a key element which requires students to link the concrete experience with the students' understanding of theory. All community focused EE strategies contribute to addressing both student learning outcomes and identified community needs. Categories of community focused EE include the following.*

Community Based Learning (CBL) Community Based Learning (CBL) is a form of experiential education that is interactive with the community but takes place within the course or classroom. Community partners[11] are invited into the classroom to present pre-defined problems, questions or issues to be explored and analyzed. Students are exposed to scenarios, situations, problems and issues described by the community partners, to which students apply their developing knowledge and reflect on how the actual experience informs their learning.

Key features:

How do students engage in EE?
Students are exposed to scenarios, situations, problems and issues presented by community partners within the classroom, to which they apply their developing knowledge.

To what extent are community partners engaged/involved? The experience requires consultation between the Course Director and the community partner and clarification of expectations in terms of what students can deliver. Community partners may participate in the assessment of the students' work if it involves, for example, reports or presentations.

Is priority given to student learning outcomes or community partner needs?
A product is generated so that it benefits both student learning and the community partner.

[11] Community partners can refer to small scale local entities from the public or private sector to large scale local, national, trans-national, entities such as corporations, government and non-governmental organizations.

How long and how frequently do these experiences occur?
CBL projects can vary in length, from a project that takes place over a few weeks to a project that spans the duration of the course. During CBL students have the ability to work remotely from the organization.

How are students remunerated?
Students receive academic credit for Community Based Learning. Community Based Learning activities are unpaid.

Community Based Research (CBR) Students are given the opportunity to work on a research project that is part of a course and has been co-created and developed through the collaboration between a community partner and a researcher (e.g., course director). Not only must the CBR activity satisfy the student learning outcomes of the course but it must also satisfy the needs of the community partner. It is: practically relevant to the community; collaborative and action oriented[12]. The CBR project may take the form of an applied independent research study or thesis.

CBR activities are normally completed within the duration of a *full-year 6.0 credit course* (i.e., 24 weeks). Community partners often participate in the assessment of the students' work and benefit from this work which may take the form of project reports, presentations, or recommendations.

Key features:

How do students engage in EE?
Students may engage by working on a research project developed through the collaboration of a community partner and a researcher.

To what extent are community partners engaged/involved?
The experience requires a formal agreement between the researcher and the community partner outlining items such as: research ethics, how data will be shared, stored, etc.

Is priority given to student learning outcomes or community partner needs?
Research is generated so that it benefits both student learning and the partner organization.

How long and how frequently do these experiences occur?
CBR can vary in length, from a research project that takes place over a few weeks to a research project that spans the duration of the course.

How are students remunerated?
Students receive academic credit for Community Based Research. Community Based Research activities are unpaid.

Community Service Learning (CSL) This is a form of experiential education where "students engage in activities that address community needs together with structured opportunities intentionally designed to promote intentional learning goals" (www.nsee.org). CSL takes students into the community as part of the learning experience. The real-life situation provides the concrete experience for students to apply their developing knowledge and skills and to deepen their understanding by reflecting on their learning. CSL is often used as a strategy to address not only course-based material but also to help students develop an awareness of the value of civic engagement.
Note: There are forms of Community Service Learning that are co-curricular in nature. They often include volunteering opportunities for students. In these forms, CSL is not-for-credit. For our purposes, we are addressing only academically embedded CSL.

[12] As indicated by the Center for Community based research (http://www.communitybasedresearch.ca)

Key features:

How do students engage in EE?
Students may engage by providing direct service to the community or by taking on a project defined by a community organization.

To what extent are community partners engaged/involved?
Community partners often participate in the assessment of the students and may benefit from this work which may take the form of service and/or project reports, presentations, or recommendations. The experience requires a formal partnership by way of an affiliation agreement between York University and the partner organization outlining items such as obligations of York University, obligations of the partner organization, insurance considerations and other specifics pertaining to the activity.

Is priority given to student learning outcomes or community partner needs?
A product is generated so that it benefits both student learning and the partner organization.

How long and how frequently do these experiences occur?
CSL can vary in length, from a project that takes place over a few weeks to a project that spans the duration of the course. During CSL students work at the community partner's site and keep regular hours.

How are students remunerated?
Students receive academic credit for Community Service Learning. Community Service Learning activities are unpaid.

Work Focused EE: *Students have the opportunity to develop competencies and skills and augment the theories/concepts learned in their course/degree programs by getting hands-on work experience within organizational environments. Reflection remains a key element which requires students to link the concrete experience with the students' understanding of theory. All work focused EE strategies contribute to addressing degree level expectations, in particular, the student's ability to demonstrate autonomy and professional capacity. Categories of course focused EE include the following.*

Placements Students are given the opportunity to develop competencies and skills in organizational work environments that augment the theories/concepts learned in academic course settings. Students apply theories and concepts from their course work in a practice-based work environment and reflect upon their actions. Students engage in activities where they practice the discipline or course specific competencies; they receive course credit for doing so but (generally) are not paid. Placements are also known as fieldwork or field placements (e.g. Social Work, Communication & Culture, Anthropology, Disaster and Emergency Management) or practica (e.g. Nursing or Education).

Key features:

How do students engage in EE?
Students engage in work activities where they practice the discipline or course specific competencies and skills in an authentic work context.

To what extent are community partners engaged/involved?
The experience requires some form of agreement between the Course Director and the partner organization outlining expectations in terms of what students can deliver

Is priority given to student learning outcomes or community partner needs?
Work is done so that it benefits both student learning and the partner organization.

How long and how frequently do these experiences occur?
The placement experience may be full-time or part-time and requires that students periodically return to class to share their experiences and make meaning of their time 'in the field'. The length of placements typically last the duration of a course.

How are students remunerated?
Placements are normally required as part of the degree program. Students are evaluated (e.g. report, sponsor evaluation, self-evaluation, etc.) on their placement performance as part of their final grade in the course. Placements are typically unpaid work experiences.

Internships provide students with the opportunity to augment the theories/concepts learned throughout their degree and develop competencies and skills through hands-on work experience related to their field of study. Internships are paid, full-time, one-time, supervised work experiences in which learning is assessed via the student reflecting on their internship experience in the workplace and writing a work term report[13], which is then reviewed and graded by the faculty supervisor. Internships are generally associated with academic programs that include a practice, service or professionally oriented applications.

Key features:

How do students engage in EE?
Students engage in work activities where they practice the discipline or course specific competencies and skills in an authentic work context.

To what extent are community partners engaged/involved?
The work experience requires some form of learning agreement that is shared by the employer, the faculty supervisor and the student. The student's work progress is monitored by York University and work performance is supervised and evaluated by the partner organization.

Is priority given to student learning outcomes or community partner needs?
Supervised work is done so that it benefits both student learning and the partner organization.

How long and how frequently do these experiences occur?
Internship work terms typically take place after a student's third year of study for 4,8,12 or 16 months of consecutive work. Students must return to class for their final year of study.

How are students remunerated?
Internships are (generally) zero credit, optional, one-time work assignments. Students receive a transcript notation - typically a pass/fail is assigned by a faculty supervisor. Internships are paid work experiences.

Co-operative Education Programs Co-op programs provide students with the opportunity to integrate their classroom learning with hands-on work experience related to their field of study in which they alternate periods of paid, full-time, supervised work experiences with their academic terms. According to the Canadian Association for Cooperative Education (CAFCE; http://www.cafce.ca/en/coop-defined), a co-op program is one which alternates periods of academic study with periods of work experience in accordance with the following criteria:

- "each work situation is developed and/or approved by the co-operative educational institution as a suitable learning situation;
- the co-operative student is engaged in productive work rather than merely observing;
- the co-operative student receives remuneration for the work performed;
- the co-operative student's progress on the job is monitored by the co-operative educational institution;
- the co-operative student's performance on the job is supervised and evaluated by the student's co-operative employer; and
- time spent in periods of work experience must be at least thirty per cent of the time spent in academic study."

[13] Best practices dictate that critical reflection about the concrete activity informs the report.

Co-operative education programs can be either for credit or zero credit endeavours, and are generally noted on the transcript and degree. Co-operative student positions are most often 4 to 8 months in duration, with a commitment of 12-16 months in total over the course of the degree. Given the alternating nature, co-operative education programs tend, in most cases, to necessitate alignment with a trimester system.

Key features:

How do students engage in EE?
Students engage in work activities where they practice the discipline or course specific competencies and skills in an authentic work context.

To what extent are community partners engaged/involved?
The work experience requires some form of learning agreement that is shared by the partner organization, the faculty supervisor and the student. The student's work progress is monitored by York University and work performance is supervised and evaluated by the partner organization.

Is priority given to student learning outcomes or community partner needs?
Supervised work is done so that it benefits both student learning and the partner organization.

How long and how frequently do these experiences occur?
Co-op work terms typically take place after a student's second year of study for 4-8 months of consecutive work with a commitment of 12-16 months in total over the course of the degree (or 30% of time spent in academic study). Students alternate periods of academic study with periods of work experience.

How are students remunerated?
Co-operative education programs can be either for credit or zero credit endeavours, and are generally noted on the transcript and degree. Co-ops are typically paid work experiences.

Appendix B

Process for developing recommendations

As indicated earlier, the IIRP EE working group based their preliminary recommendations on: (i) an analyses of progress of the current EE operational plan (in terms of barriers that are impeding progress), (ii) consideration of changes in the UAP planning context (in terms of opportunities, risks and threats) and (iii) an updating of the EE vision. Tables 3, 4 and 5, which appear in the pages that follow, represent the results of the deliberations in tabular format. Many of the perceived barriers listed in these tables were envisioned as action statements, which, in turn, were used to develop the preliminary recommendations.

The tables that follow in appendix B (Tables 3, 4, 5) should be interpreted as a static historical record (or "snap shot") of the resulting deliberations. Because an iterative approach was taken in generating the final report (which includes pages 1 to 5 and appendix A), there may be some apparent gaps. Members of the IIRP TEL working group may have suggested alterations, deletions and additions to previous draft reports which at the time, included Tables 3, 4 & 5. In more recent versions, Tables 3, 4 & 5 were not part of the main document. As such the tables that follow should be viewed as a historical record of the process.

Table 3. *Perceived barriers that were seen to impede progress on attaining the recommendations outlined in the 2015-16 EE operational plan*

		Perceived Barriers			
	Recommendations	Central Coordination YU Experience Hub not fully operational	Inconsistent strategic EE planning across Faculties	Insufficient Funding	Shared approach re: Goals & Coordination: Understanding scope of what is required matched with appropriate skill/resourcing
1	Encourage Faculties to develop a strategic approach to embedding EE within degree programs		*Some Faculties do not have EE plans, so no strategic EE courses within programs identified. *Difficulty counting EE courses for audits – Level of complexity is great. Common language not easily adopted		
2	Create a unified approach to engaging with all EE stakeholders.	*Director of YU Hub not in place (So no engagement with stakeholders)++ *Policies, procedures, risk management & Quality Assurance required for different Faculty needs.	* Different Faculties are in different stages of development-adopting different EE strategies, *The three EE foci have different needs/requirements & different teaching skill sets – needs will depend on strategies adopted	*Not all faculties have coordinators to provide oversight in Faculty specific initiatives or liaise with the YU Hub, community partners and support faculty members *A process that results in ongoing funding for the YU Experience Hub needs to occur.	* Cohesion amongst multiple York resources is required to ensure execution/ timely delivery of infrastructure --Deliverables involve multiple steps/paths/dependencies (Note: Shared service agreements with redress might be a solution). *Willingness to share info for course repositories/partnership database
3	Elevate the culture of teaching learning (including EE).	*EE communications plan not drafted because EE director not hired.++			*Evaluation structure for supporting students is not in place –"Home" for student support is still being developed.

Note: ++ The Director of the YU Experience Hub was hired in April 2016

Table 4. *Background factors that affect York's Planning Environment as cited in the UAP (2015-2020) to be considered for EE*

	Background Factor	Experiential Education		
		Opportunities	Risks	Threats
1	Society's reliance on universities to drive creativity, innovation, knowledge and community engagement through teaching and research continues to intensify (New)	Growth in Work focused EE provides opportunities to showcase York University students as well as "knowledge mobilization" in action. Students are the knowledge mobilizers. Growth in Community-focused EE, which includes community based learning, community service learning and community-based research, can position York University to be a leader – particularly in York Region. The new Markham campus allows York to establish a base in the region.	If students are not adequately prepared for Community focused or Work focused EE they will reflect poorly on the institution. This in turn can damage the partnership that may take time to develop. Partnerships that are not mutually beneficial may not be sustainable and can result in reputational damage.	Competitor institutions may try to occupy the same geographic region as York University or compete for partnerships with the same organizations.
2	The impact of the information and communications technology revolution on knowledge acquisition and dissemination as well as the emerging opportunities to enhance learning through technology. (Ongoing)	Allows York University to showcase best practices and signature pedagogies. Technology can potentially offer a solution for work focused or community focused EE that is at a distance. Students may be able to interact with external organizations online or combination of face-to-face and online (e.g., skype). Students may also work on projects as part of their EE assignment remotely. The cross between TEL and EE demonstrates how technology is merely a tool.	Students need to be adept and "technologically literate" to successfully navigate work focused and/or community focused environments. The cross between EE (i.e. community focused or work focused EE) and TEL means that students are able to engage remotely with partner organizations. As such they need to be adept at utilizing technology for the execution of their EE assignment.. Faculty members need to have the capacity to effectively utilize TEL as well as maintain relationships with partner organizations and ensure students feel supported while engaged in EE.	New and emergent forms of educational technology will continue shape, disrupt and displace older forms, with pace of change increasing.

Table 4. *Continued…*

	Background Factor	Experiential Education		
		Opportunities	Risks	Threats
3	The need to provide high quality programming in a fiscally constrained provincial environment with a concomitant emphasis on financial sustainability and accountability. (New)	Opportunity for York to optimize its EE expansion approach and to focus on programs that will yield the maximum success (as defined by pre-determined indicators, pertaining to quality, enrolment and persistence), while at the same time develop its capacity (i.e., faculty and staff) and know-how (i.e. faculty, staff & students).	Need to ensure that we have meaningful ways of measuring success that are built into on-going processes to ensure sustainably and accountability.	Competitor institutions may have utilized their resources more optimally and thus have competitive advantage with respect to EE.
4	The internationalization of higher education and York's global engagement strategy including our enrolment plan. (Ongoing)	EE that involves an international component can showcase York University on a global level, which in turn can attract new students. Current examples include the Global Health degree, where students have the option to be placed abroad in later years.	Although there are many examples of internationalization at York, the university does not have an Internationalization strategy, which is in itself a risk. (i.e.,No coordinated approach is available). Nonetheless, expansion of EE on a global scale can be a risk if we do not have high quality EE courses/programs in place. Poor quality courses, programs or inadequately prepared students could damage our reputation not only for York but to the relationships with the partners. This could hinder the formation a greater number of partnerships.	Competitor institutions are also engaging in a global engagement strategy and are in direct competition for partnerships with external/global organizations.

Table 4. *Continued…*

	Background Factor	Experiential Education		
		Opportunities	Risks	Threats
5	The imperative of addressing the significant reliance on contract labour in the postsecondary education sector, including maintaining as a top priority increasing the full-time faculty complement and seeking opportunities to support contract faculty colleagues. (New)	This is an opportunity to demonstrate support for new tenure-track and contract faculty. Professional development (PD) in EE is a vehicle for orienting faculty for the value of PD in general. It can elevate Teaching and Learning and orient faculty to other aspects such as SoTL and signature pedagogies.	In our aims for expanding EE there are a number of assumptions that represent risk : New faculty will readily utilize EE and know how to do it effectively. In terms of the availability of professional development courses to assist faculty in transforming their courses --"if we build it, they will come", we are assuming that new and contract faculty will engage in transforming their courses to an EE format. An incentive strategy can mitigate these risks.	We have to compete with other institutions to hire faculty (contract and otherwise) who have experience teaching in an EE context or are willing to learn.

Table 4. *Continued…*

	Background Factor	Experiential Education		
		Opportunities	Risks	Threats
6	Postsecondary policy frameworks regarding higher education including:			
	-- differentiation and the impact on program directions, research priorities, and enrolments (New)	Opportunity to re-invigorate and animate our institutional identity by focusing on what is unique about York and its strengths. EE can be utilized to showcase this message of how the institution is differentiated through our EE programming. Such a message makes it easier for prospective students to distinguish York from competitor institutions and may influence their choice into coming to York. In addition to work focused EE (or work integrated learning), a focus on our institutional strengths in the area of social justice has a natural affinity with community focused EE.	If we do not differentiate York University in terms of EE, we can get lost amongst competitors in terms of attracting students. Successful strategies that differentiate York may be copied by competitors, making York less differentiated. Choosing differentiation strategies that cannot be easily copied can mitigated the latter.	Local (GTA), provincial and global competition of other Universities/providers engaged in EE. Increasing opportunities for student mobility and transfer pathways will enable students to easily leave if they do not like what they see in terms of EE courses and will take the courses elsewhere. Local Universities will compete for partner organizations that engage in community focused EE and work focused EE.

Table 4. *Continued…*

	Background Factor	Experiential Education		
		Opportunities	Risks	Threats
6	Postsecondary policy frameworks regarding higher education including:			
	-- the provincial performance-based funding review and the potential implications for the development of metrics and key performance indicators for transfer grants (New)	Provides the opportunity for York University to develop metrics and key performance indicators that advance our Teaching & Learning goals as well as those of the government.	Enrolment will become less heavily weighted and other factors related to student learning such as student persistence, progression, and graduation rates may be more heavily weighted. Some of these factors such as student persistence are known to be more challenging in EE environments (e.g. student workload).	Changes will favour some institutions over others, due to underlying local social and demographic factors of their student populations, that interact (or moderate) practices that are known to enhance the quality of teaching and learning in terms of deeper learning and student persistence (so that they are less effective). For example, students may not have time to engage in community focused EE courses because they must work.

Table 5. *Perceived barriers that are turned into action statements crossed with the guiding principles and proposed 2020 vision.*

		Perceived barriers as "action" statements			
		Motivate and incentivize faculty	Clarify required responsibilities/ Find ways to mitigate time involved	Ensure Quality/Develop Excellence	Support Students/Ensure Access
Guiding Principles -- EE must enhance and support:					
1	A strong teaching culture that supports excellence in teaching and creates an engaging learning experience for students;	✖		✖	✖
2	A quality student experience that incorporates a reflective approach linking theory and practice;	✖		✖	✖
3	The reputation of the university and distinguishes York in attracting and retaining students..	✖	✖	✖	✖
Vision -- 2020 (Revised)					
1	By 2020 York University <u>has emerged</u> as a leader in Experiential Education (EE) in Canada. Faculties have mapped a range of progressive EE strategies <u>that reflect the signature pedagogies of the discipline</u>. . Students recognize the relevance of their education and appreciate that the institution is responsive to their desire for applied learning environments <u>within the classroom, community or in work focused settings.</u> .	✖		✖	✖
2	The affiliations that York has developed with its community partners are based on mutual respect and shared interests. Community partners have a clear path to connect with interested parties on campus to collaborate. To facilitate this, an advisory committee comprised of both community and York leaders provides guidance on partnership building. As a result, global and local organizations are now actively recruiting York students for a variety of EE opportunities. York's vast alumni network has been incredibly helpful in establishing many longstanding partnerships.		✖	✖	✖

Table 5. *Continued…*

		Perceived barriers as "action" statements			
	Vision -- 2020 (Revised)	Motivate and incentivize faculty	Clarify required responsibilities/ Mitigate time involved	Ensure Quality/Develop Excellence	Support Students/Ensure Access
3	York provides support to its Faculties, students and community partners through a shared service approach. Common administrative, technical and professional development support services for students and faculty are provided centrally, while Faculty-specific customized services are provided locally. Both Faculties and community partners appreciate the sophisticated pan-University relationship management system that has been established to link students with community EE opportunities.	✖	✖	✖	✖
4	York recognizes and celebrates the innovative work of its students, faculty, and partner organizations. Students are choosing York because of its engaging learning environments that link theory to practice. Parents and students recognize that York University provides an excellent well-rounded education replete with opportunities to apply learning in a variety of workplace settings, better preparing graduates to become thoughtful, productive and involved citizens.	✖		✖	✖

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Documentation

Pan University Experiential Education Working Group, (2013). *A case for change: EE integration at York University.*

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York University (2015). *Draft Institutional integrated resource plan (IIRP): Strategic directions for advancing priorities.* Retrieved March 3, 2016 -- http://secretariat.info.yorku.ca/files/DRAFT-IIRP-September-14-2015-for-APPRC-Forum.pdf

Community Consultation

Feedback on this document will be obtained though consultation with groups with broad Faculty representation (e.g. Pan University EE Working Group, Deans), resource partners (e.g., Teaching Commons, Libraries) and student groups. The session will include an overview of the report followed by a question and answer session.

IIRP Technology Enhanced Learning (TEL) Working Group

Report for Community Consultation on Implementation

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YORK U UNIVERSITÉ UNIVERSITY

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Executive summary

Technology-enhanced learning (TEL) offers the promise of an accessible and engaging education that complements existing formats of course delivery. The Ontario government has signalled TEL as a priority in the province. To support the growth and development of TEL, the government has created eCampus Ontario to provide access for students to online courses and programs, and funding for institutions to create new online learning opportunities. In light of York University's recent Institutional Integrated Resources Plan (York University, 2015) and considering the recent 2015-2020 University Academic Plan (UAP, 2015), the IIRP Technology Enhanced Learning (TEL) working group examined and affirmed the direction of the ongoing eLearning initiatives and deemed them to be robust and supportive of the changing institutional planning context. This judgement was based on: (i) an analysis of progress of the current eLearning operational plan (in terms of barriers that are impeding progress), (ii) a consideration of changes in the UAP planning context (in terms of opportunities, risks and threats) and (iii) an updating of the eLearning vision. To address the barriers impeding progress and to mitigate emerging risks affecting the implementation of the eLearning operational plan and vision, preliminary working group recommendations were:

- **support for students** so that they: (i) can distinguish the types of eLearning courses prior to enrolment, (ii) are able to adapt to the eLearning environment so that they will persist and experience success
- **support for faculty** in the provision of eLearning professional development and technical assistance, as well as to continue direct faculty support in the development of online and blended courses
- for the **institution** the group suggested:
    - faculty level strategic planning of fully online, blended courses and online programs;
    - the encouragement of Faculties to develop hiring criteria for new faculty that allow for the consideration of experience with, and willingness to engage in a variety of innovative teaching practices including eLearning
    - the provision of the Blended Online Course Development (BOLD) team approach and services. Staff from the Teaching Commons and UIT will work co-operatively to offer "one-stop" support for faculty interested in developing or transforming their courses from face-to-face to an online or blended format.
    - the development of a culture of "continuous improvement" for eLearning courses and programs
    - a communication plan addressing students, faculty and projecting the institution's diverse approach to Teaching and Learning and, its values and distinctiveness to external audiences
    - that the Academic Technology Advisory Group (ATAG) develop an eLearning data collection plan for the purpose of: (i) evaluation of TEL progress; (ii) research into TEL (including the use of learning analytics for the advancement of such institutional goals as student achievement, persistence and retention)

- Ensure sufficient financial resources to support eLearning for: (i) classroom technology upgrades (ii) ongoing faculty incentives (iii) provision of the blended online development team (BOLD) team approach and services.

Introduction

Technology-enhanced learning (TEL) offers the promise of an accessible and engaging education that complements existing formats of course delivery. Research indicates that some students appreciate the flexibility and convenience of online line learning and also appreciate the opportunities offered by face-to-face interaction with teachers and peers and building learning networks afforded by blended learning (Gonzalez, 2014; Waha & Davis, 2014). There is growing evidence that blended and online formats of technology-enhanced instruction leads to higher levels of student satisfaction (Wiechowski & Washburn, 2014) and student achievement (Chen & Chiou, 2012; Gonzalez, 2014). The Ontario government has taken decided steps to increase access to university education through online learning, having created the eCampus Ontario online portal to provide access to fully online courses and programs at universities and colleges across the province, as well as a funding mechanism to institutions to support creation of online teaching and learning resources. The Province actively encourages inter-institutional partnerships and collaborations to create and offer new resources, and to embed teaching and learning best practices in the development of new blended and fully online courses and programs. Considering York University's recent Institutional Integrated Resources Plan (York University, 2015) and considering the recent 2015-2020 University Academic Plan (UAP, 2015), the IIRP Working Group on Technology Enhanced Learning (TEL) examined the institutional progress of eLearning integration and identified risks and barriers to achieving our aspirations for expanding eLearning capacity. This exercise made certain that the on-going work[1] is responsive and relevant to the evolving institutional planning context. Indeed, eLearning can potentially stabilize declining enrolment (as raised in the IIRP, also see Table 1), by creating new opportunities for attracting additional international students, and offering enrolment options for York students who might otherwise take courses elsewhere on a letter of permission (LOP). Furthermore, eLearning can represent an opportunity to demonstrate excellence in teaching and learning innovation in a manner that differentiates our institution and its mission, vision and values as outlined in York University's White Paper (Monahan, 2010) and the 2010-2015 UAP. Indeed, the university plans for eLearning, overseen by the AVP Teaching and Learning and the Chief Information Officer (CIO), must reflect key institutional values by:

- Promoting **excellence** in TEL in terms of teaching and learning. This includes setting forth processes and developing an infrastructure that provides support for both students and faculty;
- Embracing **innovative and progressive** approaches using technology that will enhance student learning;

[1] A summary of eLearning accomplishments can be found in Figure 1

- Recognizing there is a **diversity** of approaches for teachers and for learners: Not assume that "one size fits all" --TEL may work for many but not necessarily for all;[2]
- Supporting initiatives that advance **social justice and equity** (e.g., York University's involvement in projects such as the Borderless Higher Education for Refugees (BHER) and more locally increased flexibility in format and scheduling of course offerings and access to post secondary education);
- Ensuring that the institution's approach is optimal and **sustainable.**

At York University, premised on all available evidence, we believe that technology-enhanced learning can be beneficial in terms of:

- Teachers and students having new opportunities and mechanisms to communicate and deepen the learning experience.
- Flexibility in scheduling and access to courses for students, within a context of predominantly face-to-face, traditional course delivery
- Access to learning resources anywhere in the world
- Reaching students who otherwise would not have access
- Broadening the reach of programs, enhancing sustainability for niche programs

As seen in Table 1, institutional enrolment has recently declined between 2011-12 and 2014-15, However, enrolments in eLearning courses have grown from 9,750 to 13,007. During the same period, the number of asynchrous fully online courses has grown from 127 to 170. This represents growth of 33% for both enrolments and courses. Similar growth in number and enrolments has been found for online graduate courses. However, the number of fully online undergraduate and graduate programs has remained the same. Based on: (i) an analysis of progress of the current eLearning operational plan (in terms of barriers that are impeding progress), (ii) consideration of changes in the UAP planning context (in terms of opportunities, risks and threats) and (iii) an updating of the eLearning vision so that it remains relevant until at least 2020, the IIRP TEL working group was able to affirm the direction of the ongoing eLearning initiatives and deemed them to be robust and supportive of the changing institutional planning environment. The eLearning operational plan aims to:

- Promote the broad adoption of eLearning tools and resources in face to face courses

[2] Indeed, the "common language" document which envisions a range of eLearning teaching strategies as a continuum, with each strategy building upon the other (at least in terms of content/teaching materials), -with face-to-face instruction at one end, classroom aids, computer labs/lap top instruction, web-enhanced and blended learning in the middle and fully online at the other end. eLearning is seen as a continuum in-part because content/teaching materials developed for web enhanced may be re-purposed for a blended course. Similarly, content/teaching materials developed for a blended course may be re-purposed for a fully online course. That being said, web enhanced, blended, and fully online are qualitatively different in terms of their presentation mode, and will require separate course redesigns. The definitions of each type of strategy can be found in Figure 2.

- Increase the adoption of Blended Learning
- Pursue the strategic development and introduction of fully online courses and programs
- Elevate the culture of teaching and learning (including eLearning)

We have developed a number of institutional resources to support growth and development of technology-enhanced learning at York University, including: the Academic Innovation Fund (AIF), the Teaching Commons (TC), and the Learning Commons (LC). The AIF provides competitively adjudicated funding to support high-quality, evidence-based proposals designed to embed new innovations in teaching and learning that can be shared across York University. The TC provides professional development support and encouragement for all teachers at York University, engaging them through workshops, certificate programs and other means to grow the capacity and quality of technology-enhanced teaching and learning. The LC deepens our capacity to understand students' needs and desires when it comes to how they want to engage with their university in their learning, and to integrate that knowledge in the design of teaching and learning at York University, as a partnership between student and teacher. Engagement with the TC and LC through the development and growth of TEL at York University helps us to ensure that our graduates leave the university having developed key attributes to help them flourish, including proficiency with different technologies enhancing communications and productivity, for example, in the workplace.

Preliminary Recommendations

To address the barriers impeding progress and to mitigate risks to the eLearning operational plan and vision, items that were already present and necessary to successfully execute the plan were deemed either: "Ongoing" or "to-be-initiated"(TBI). New items, which were added, not only addressed barriers but also supported the new planning context and were considered to be an update to the plan (and are marked as "New"). The preliminary recommendations arising from the current TEL IIRP working group deliberations were categorized in terms of whether they serve students, faculty or the institution at large.

Students

i. Ensure that students are: (i) informed of the various types of eLearning courses, as identified through course codes[3], (ii) able to adapt to the eLearning environment (i.e., demonstrate that they are technologically literate[4]) so they will persist and experience success (TBI, Ongoing).

[3] This will be achieved through a communications strategy directed at students – see preliminary recommendation vii

[4] Being technologically literate implies that one is able to effectively access, manage, integrate, evaluate, create and communicate knowledge through technological means. While this list is not exhaustive, the opportunity to

Faculty

ii. Provide ongoing professional development for eLearning course design for both contract and full-time faculty. (Ongoing)

iii. Ensure there are faculty incentives for the transformation of courses into the eLearning format. (Ongoing)

Institution

iv. Promote Faculty level strategic planning of online, and blended courses as well as online programs. (Ongoing)

v. Encourage Faculties to develop new-faculty hiring criteria that allows for the consideration of experience and willingness to engage in a variety of innovative teaching practices including eLearning. (New)

vi. Develop a culture of "continuous improvement" for eLearning courses and programs. (New)

vii. Ensure sufficient financial resources to support eLearning for: (i) classroom technology upgrades (ii) ongoing faculty incentives (iii) provision of the blended online development (BOLD) team approach and services. Staff from the Teaching Commons and UIT will work co-operatively, so that they are able to offer "one-stop" support for faculty interested in developing or transforming their courses from face-to-face to online or blended format. (Ongoing)

viii. Develop a communications plan to advance eLearning directed at students and faculty to showcase the institution in terms of Teaching and Learning (including eLearning) (New).

ix. Task the Academic Technology Advisory Group (ATAG) to develop an eLearning data collection plan for the purpose of: (i) evaluation of TEL progress; (ii) research into TEL (including the use of learning analytics for the advancement of institutional goals such as student achievement, persistence and retention)

Operational Initiatives, Outcomes, Metrics for Success, Suggested Leads and Timelines

Table 2 outlines the operational initiatives – actions that will be taken to carry out the aforementioned recommendations and satisfy outcomes as they advance institutional objectives as set out in the UAP and other planning documents (i.e., IIRP & White paper). In addition, the table includes metrics that will indicate progress and success of the initiatives, suggestions for possible parties who will lead the initiatives, and timelines for these initiatives.

Students. It has been noted that during the enrolment process, some students have difficulty distinguishing between the various types of eLearning courses. This difficulty will be mitigated through a communications strategy directed at students, informing them of course codes denoting fully online and blended courses (and clearly stating the manner in which a

develop such skills and/or competencies encapsulates what is necessary for students to navigate and adapt to an evolving technological world.

blended course is indeed blended). This initiative advances UAP priority 4.7 – increased student satisfaction.

Student success is an overarching theme of the UAP (2015) and of the White paper (2010). An important aspect of student success is their persistence in their eLearning courses and their consequent timely progress through their degree program. In providing support to students, instructors may embed instructional practices that model or incentivize what is required for successful student learning in an online environment.[5] To supplement and support this practice, existing teaching resources will be evaluated using student feedback (including suggestions for improvement) and the number and characteristics of students using the resources. For example the Teaching Commons will evaluate their student guide to eLearning, and the Learning Commons will evaluate SPARK (Student Papers and Academic Research Kit) (See Table 2 for details). If gaps in terms of student needs are revealed (even after making adjustments to the existing resources), then, new resources will be developed as required. To that end, the Learning Commons, in conjunction with the Teaching Commons and UIT will then develop additional online resources that will enable student success in blended and online environments.

Additionally, the online course environment will have links to campus resources and the library to ensure student success in eLearning and technological literacy. This initiative will increase the likelihood of advancing UAP (2015) priority 4-6 of improved student retention and time-to-completion. The latter may also increase student satisfaction -- UAP priority 4-7. The associated metrics and timelines can be found in Table 2.

Faculty. A commitment to upholding academic quality is consistent with an overarching theme of the UAP (2015). Providing faculty members with access to professional development for eLearning course design as well as with incentives for the transformation of their courses will advance the UAP priority 3-4 – training and support for faculty engaging in TEL. Under the auspices of the AVP T&L & CIO, staff from the Teaching Commons and UIT will work together so that they are able to offer “one-stop” support for faculty interested in developing or transforming their courses from face-to-face to online or blended format. This initiative will be known as the Blended Online Development (BOLD) team. It is expected that such an initiative will increase the likelihood of growth in the number of blended and online courses. In addition, this initiative will aid Faculties in achieving their eLearning targets (as indicated in their Faculty plans). In this context the Teaching Commons is expected to support faculty members in course design for online and blended courses; UIT is expected to lead the provision of technical support for faculty members.

The expansion of TEL including blended and online courses and programs is a UAP priority (3-2). Incentivising faculty in the form of grants/funding for transforming courses to blended

[5] The Teaching Commons will provide strategies on how best to do this.

and online formats is one way this priority can be supported. A second way is by developing a report (led by AVT T&L, ATAG, with the support of Faculty Relations, Provost and Deans) on the best way to strengthen Tenure and Promotion Standards in reference to Teaching (including eLearning). Timelines can be found in Table 2.

Institution. The promotion of Faculty-level strategic planning for advancing eLearning (led by the AVP T&L, engaging Deans and eLearning Faculty leads) is crucial for expanding TEL at York University in an optimal and sustainable fashion (which supports UAP priority 1-1 – Faculty plans to enhance the quality of academic programs). This initiative involves the development of Faculty (and by extension, local or unit level) "road maps" defining where fully online and blended courses fit best to strengthen degree programs (which in turn, supports priority 3-2 of the UAP – expansion of TEL). As Faculties develop hiring criteria for new faculty the AVP T&L along with Deans, and EE Faculty leads, will encourage the inclusion of language that allows for the consideration of experience and willingness to engage in a variety of innovative teaching practices including eLearning. Both of the aforementioned actions support priority 3-2 of the UAP – the expansion of TEL.

Fostering a culture of "continuous improvement" for eLearning courses and programs by developing appropriate feedback mechanisms or instruments for course/program reviews (during the middle and end of a course/program) so that appropriate changes can be made, is a concrete way of advancing academic quality. This initiative also supports UAP priority 4-2 – monitor student learning need and should result in improved scores on student satisfaction surveys, depending upon the number of Faculties that ultimately adopt the mechanism/instrument.

The achievement of a number of these preliminary recommendations requires the commitment by the University of sufficient financial resources to support sustainable improvement. The recommendations requiring resources include: (i) support for TEL infrastructure including a minimum standard of classroom infrastructure upgrades and a robust set of online instructional and learning tools and services (which advances UAP priority 3-2 -- expansion of TEL); (ii) faculty supports for the strategic transformation of eLearning courses (which advances UAP priority 3-4 – Training and Support for faculty in TEL); (iii) the provision of the blended online development (BOLD) team approach and services. BOLD will provide much needed "one-stop" support for faculty interested in developing or transforming their courses from face-to-face to online or blended format. The latter advances UAP priority 3-2 – the expansion of TEL and 3-4 – Training and Support for faculty); and (iv) the creation and promulgation of a communication strategy so that various constituencies know about the eLearning resources being developed for students and faculty. These communications will also make external audiences aware of the institution's diverse innovations in Teaching and Learning (including recognizing excellence in eLearning teaching), of its values, and of its distinctiveness in the employment of learning technologies.

While the development of detailed budgets was beyond the scope of the working group it is important to note that the level of University investment that will be required is significant. The work done in relation to the implementation of the original eLearning strategy point to the need for new, annual strategic investment in the order of two to three million dollars in order to ensure that capacity and infrastructure is in place to support our key eLearning objectives.

Finally, under the leadership of the AVP T&L and the CIO, the Academic Technology Advisory Group (ATAG) will develop an eLearning data collection plan for the purpose of: (i) evaluation of TEL progress; (ii) research into TEL (including the use of learning analytics for the advancement of such institutional goals as student achievement, persistence and retention). This initiative will enable the institution to fulsomely understand itself in terms eLearning and allows for evidence-based decision-making in terms eLearning. Both the evaluation of TEL and research into TEL can advance UAP priority 4.2 (Actively monitor student learning needs and develop appropriate academic supports). The learning analytics aspect of this initiative supports UAP priority 7.4 (Enhanced data analytics to increase access to information and evidence based decision making).

Process for moving forward

Functional leads have been assigned for each initiative to operationalize the preliminary recommendations as listed in Table 2 in parentheses. Because a collaborative approach is required, in many cases, more than one party is listed. In the ensuing weeks the broader operational plan will be updated by the AVP T&L and the CIO to include the aforementioned preliminary recommendations. Execution of the plan will begin in September 2016.

Appendix A

Tables

Table 1. *Number of fully online (asynchronous) courses and programs and number registered at York University between 2011-2015*

	2011-12		2012-13		2013-14		2014-15	
	Undergrad	Grad	Undergrad	Grad	Undergrad	Grad	Undergrad	Grad
# of asynchronous fully online courses	127	45	143	74	152	108	170	110
# of fully online programs	1	1	1	1	1	1	1	1
Course registrations	9,750	552	11,557	581	12,891	695	13,007	747
Overall enrolment	40,763		40,572		39,903		38,218	

Note. Source: Multi-Year Accountability Reports as posted on the Office of Institutional Planning, York website -- http://oipa.info.yorku.ca/accountability/

Table 2. Preliminary Recommendations (Ongoing, TBI "to-be initiated" or new), Suggested Leads (in parentheses), Operational initiatives, Outcomes as they support UAP priorities, Metrics and Timelines

Students.	**Operational Initiative/Action**	**Outcomes**	**Metric**	**Assumptions**	**2016-17**	**2017-18**	**2018-19**	**2019-20**
• Ensure that students are: (i) informed of the various types of eLearning courses, as identified through course codes[6] (Suggested Lead: AVP T&L, ATAG) (ii) able to adapt to the eLearning environment (i.e., demonstrate that they are technologically literate) so they will persist and experience success (TBI) (Suggested Lead:, Learning Commons, Teaching Commons UIT, AVP T&L)	(i) Engage ATAG, eLearning leads to develop a communications strategy regarding course codes (see pg 16) (ii) Evaluate existing eLearning resources for students and update as required. (eg., Learning Commons evaluates SPARK., Teaching Commons evaluates the eLearning guide for students) If gaps are revealed (even after making changes) new resources will need to be developed with the goal of facilitating or enabling student success in online/blended environments. Ensure that library collections resources are embedded in online course websites to provide information literacy and help students succeed in online and blended courses Connect students with campus resources (both online and in person) that provide academic and other campus supports. The Teaching Commons will provide strategies for course directors to embed the aforementioned resources in a manner that will model/incentivise what is required of students to be successful learners in an online or blended environment.	Improved student retention and time-to-completion(UAP Priority 4 6) Increased student satisfaction (UAP Priority 4-7)	*Student satisfaction surveys *Retention rates *GPA in online courses. *Persistence /degree progression for online degrees	Assumes that Learning Commons has the staff to provide support for student learning in for fully online/blended environment	✖	✖	✖	✖

[6] This will be achieved through a communications strategy directed at students – see preliminary recommendation vii

Table 2. *Continued…*

Faculty members.	**Operational Initiative/Action**	**Outcomes**	**Metric**	**Assumptions**	**2016-17**	**2017-18**	**2018-19**	**2019-20**
• Ensure that there is ongoing eLearning professional development and technical support for both contract and full-time faculty (ongoing):	Advertise BOLD team to faculty. Ensure faculty members have an opportunity to provide feedback with the BOLD team to suggest improvements.	Marketing of the BOLD team. (UAP priority 3-4 – Training & Support for faculty in TEL) *Growth in the number of web enhanced, blended and fully online courses. (UAP priority 3-2 – Expansion of TEL)	*Growth in the number of web enhanced, blended and fully online courses. *Faculties achieving targets.	Assumes we have: * a good estimation of costs for transformation per course. * An assessment of gaps in skills and capacity across units supporting eLearning				
• Staff from the Teaching Commons and UIT will work co-operatively as the blended online course development (BOLD) team so that they are able to offer "one-stop" support for faculty interested in developing or transforming their courses from face-to-face to online or blended format. (ongoing).					✖	✖	✖	✖
• For professional development for course design and teaching for eLearning environments (Suggested Lead: Teaching Commons)								
• For technical aspects of eLearning (Suggested Lead: UIT)					✖	✖	✖	✖

Table 2. *Continued…*

Faculty members.	**Operational Initiative/Action**	**Outcomes**	**Metric**	**Assumptions**	**2016-17**	**2017-18**	**2018-19**	**2019-20**
Ensure there are faculty incentives for the transformation of eLearning courses strategically –for contract and fulltime faculty (ongoing): • In terms of grants/funding for the initial transformation of eLearning courses (Suggested Lead: AVP T&L, CIO)	Provide moderate stipend (e.g., $5K research grant) to ANY faculty member (contract or full-time) at ANY time to engage in course (re)development to blended or fully online – provided these are strategic courses as deemed by Faculty plans (See recommendations for the institution). Phase out AIF Category 2 once this program is established. Rationalize stipend as compensating for time spent developing course, time not spent writing research grants	Establishment of a revised funding regime. (UAP priority 3-2 – Expansion of TEL).	*Growth in the number of web enhanced, blended and fully online courses. *Faculties achieving TEL targets as per Faculty "road maps".	Assumes that new courses are strategically funded. Assumes that there will be faculty uptake. Assumes course conversions are strategic.	✖	✖	✖	✖
• With the support of Faculty Relations, Deans and the Provost, develop a report on the best way forward to strengthen Tenure and Promotion Standards in reference to teaching (including eLearning). (TBI). (Suggested Lead: AVP T&L, ATAG, with support of Faculty Relations, Provost, Deans)	Create a plan to develop report: Obtain support, identify working group, identify appropriate governance channels/sequence, consultation identify elements of report, (i.e. types of info), obtain continuous feedback on report, and move to planned next steps.	Consultative plan that informs the leadership regarding what needs to be done to strengthen T&P in reference to teaching (UAP priority 3-2 – Expansion of TEL)	*Evidence of application of T&P standards with revised criteria *Growth in number of eLearning Courses.	Assumes that support from the appropriate parties will be will be attained		✖	✖	✖

Table 2. *Continued...*

Institution.	**Operational Initiative/Action**	**Outcomes**	**Metric**	**Assumptions**	**2016-17**	**2017-18**	**2018-19**	**2019-20**
• Promote Faculty level strategic planning for advancing eLearning, both in terms of online courses and blended courses – which in turn, can lead up to fully online programs (Ongoing). (Suggested Lead: AVP T&L, Deans, eLearning Faculty leads)	Establish Faculty (and by extension local unit level) 'road maps' defining where fully online and blended courses fit best to strengthen degree programs – Engage eLearning Leads, Deans	Strategic targets for TEL 2016 – 2020 (UAP priority 1-1 – Faculty plans to enhance quality of academic programs, UAP priority 3-2 – Expansion of TEL)	*Growth in the/ number of web enhanced, blended and fully online courses.	Assumes that Faculties and units, will have faculty members ready to take this on.	✖	✖	✖	✖
• Regarding new-faculty hiring criteria: Encourage Faculties to include language that allows for the consideration of experience and willingness to engage in a variety of innovative teaching practices including eLearning. (new) (Suggested Lead: AVP T&L, Deans, eLearning Faculty leads)	Engage Deans, eLearning Faculty leads.	New hires willing to take it on (UAP priority 3-2 – Expansion of TEL)	*Growth in the number of web enhanced, blended and fully online courses	Assumes that new faculty members will consider the option of utilizing eLearning	✖	✖	✖	✖
• Develop a culture of "continuous improvement" (Suggested Lead: AVP T&L, Teaching Commons, UIT, LTS, eLearning Leads) (new) • Ensure that there is a means for effective and meaningful feedback regarding eLearning courses or programs (in the middle and at the end) so that faculty members may make appropriate changes. Ensure that there is an analogous process for monitoring/reviewing eLearning programs every year so adjustments can be made.	Develop appropriate feedback mechanism/tool for course and/or program. Engage appropriate groups for feedback on what is developed. Consult with eLearning Leads, Deans	*Higher quality eLearning courses (UAP priority 4-2 – monitor student learning needs).	Number of Faculties that adopt the instrument. Number of courses that adopt instrument Improved scores on student satisfaction surveys.	Assumes that there will be individual faculty interest to use the tool. At present there is only one online program, which may or may not already have a feedback mechanism in place.		✖	✖	✖

Table 2. *Continued…*

• Ensure sufficient financial resources to support eLearning for:	**Operational Initiative/Action**	**Outcomes**	**Metric**	**Assumptions**	**2016-17**	**2017-18**	**2018-19**	**2019-20**
• A minimum standard of classroom infrastructure upgrades (Suggested Lead: AVP T&L, CIO) (Ongoing)	Ensure that all classrooms are equipped with at least the minimum standard and that measures are in place to ensure ease of use and reliable performance of classroom equipment	Classrooms are equipped (UAP priority 3-2 – Expansion of TEL)	Proportion of classrooms equipped.		✖			
• faculty incentives for the transformation of eLearning courses strategically –for contract and fulltime faculty (ongoing)	Provide moderate stipend (e.g., $5K research grant) to ANY faculty member at ANY time to engage in course (re)development to blended or fully online). Phase out AIF Category 2 once this program is established.	(UAP priority 3-4 – Training & Support for faculty in TEL)	*Growth in the/ number of web enhanced, blended and fully online courses. *Faculties achieving TEL targets as per Faculty "road maps"	Assumes that there will be faculty uptake. Assumes course conversions are strategic.	✖	✖	✖	✖
• the provision of the blended online development team (BOLD) team. (New)	Teaching Commons and UIT will develop a way of marketing the BOLD team.	Faculty will be aware of BOLD team. UAP priority 3-4 – Training & Support for faculty in TEL)	Number of faculty members using the services of the BOLD team					

Table 2. *Continued…*

• Implement a promotion and communications strategy to support exploration and innovation in teaching and learning (including (TBI, new)	**Operational Initiative/Action**	**Outcomes**	**Metric**	**Assumptions**	**2016-17**	**2017-18**	**2018-19**	**2019-20**
• For students so that they (new): ▪ Know about course codes, eLearning course types, courses and new eLearning programs (Suggested Lead: AVP T&L, ATAG, eLearning Leads)	Engage ATAG, eLearning leads to develop a plan for letting students know about eLearning course codes, course types new eLearning courses/programs through various modes.	Increased enrolment in TEL courses. Improved student retention and time-to-completion (UAP Priority 4-6) Increased student satisfaction (UAP Priority 4-7)	*Student satisfaction surveys *Retention rates *GPA in online courses. *Persistence /degree progression for online degrees	Assumes there is a budget for this.	✖	✖	✖	✖
▪ Understand how to be a successful student when engaging in eLearning. Suggested Lead: AVP T&L, ATAG, eLearning Leads)					✖	✖	✖	✖

Table 2. *Continued...*

Implement a promotion and communications strategy to support exploration and innovation in teaching and learning (including (TBI, new)	**Operational Initiative/Action**	**Outcomes**	**Metric**	**Assumptions**	**2016-17**	**2017-18**	**2018-19**	**2019-20**
• For faculty (contract and full-time) so that they (new): ▪ Understand the benefits of eLearning (Suggested Lead: AVP T&L, ATAG, eLearning Leads, Teaching Commons) ▪ Know where they can access eLearning resources and professional development (Suggested Lead: AVP T&L, CIO Teaching Commons, Deans, eLearning Leads) ▪ Are aware of incentives for transforming courses into an eLearning format (Suggested Lead: AVP T&L, Teaching Commons, Deans, eLearning Leads)	Engage ATAG, eLearning leads to develop a plan for letting Faculty know about the benefits of eLearning, where to access eLearning resources and professional development and are aware of incentives for transforming courses.	*Increased uptake in course conversions to eLearning. UAP priority 3-4 – Training & Support for faculty in TEL	*Growth in the/ number of web enhanced, blended and fully online courses. *Faculties achieving TEL targets as per Faculty "road maps"		✖ ✖ ✖	✖ ✖ ✖	✖ ✖ ✖	✖ ✖ ✖
• On behalf of the institution we (new) ▪ Showcase innovative eLearning courses and new online programs that reflect York's institutional values & identity as one approach of demonstrating York's differentiation from other institutions(new). (Suggested Lead: AVP T&L, ATAG;CIO, Deans, Teaching Commons, TEL Leads).	Engage appropriate parties to develop a plan for showcasing innovative eLearning courses/programs through various modes, as well as demonstrating York's differentiation from other institutions.					✖	✖	✖

Table 2. *Continued...*

Institution.	**Operational Initiative/Action**	**Outcomes**	**Metric**	**Assumptions**	**2016-17**	**2017-18**	**2018-19**	**2019-20**
Task the Academic Technology Advisory Group (ATAG) to develop an eLearning data collection plan for the purpose of: (i) evaluation of TEL progress; (ii) research into TEL (including the use of learning analytics for the advancement of institutional goals such as student achievement, persistence and retention) (Lead: AVP T&L, CIO, ATAG).	Engage ATAG to create a data collection plan Determine what needs to be evaluated and how. Determine TEL research priorities/Questions	Two separate plans. One for evaluation and one for TEL research priorities. This potentially advances UAP priority 4-2 Actively monitor student learning needs and develop appropriate academic supports. It also supports UAP priority 7-4 – Enhanced data analytics to increase access to information and evidence based decision making.				✖	✖	✖

Figures

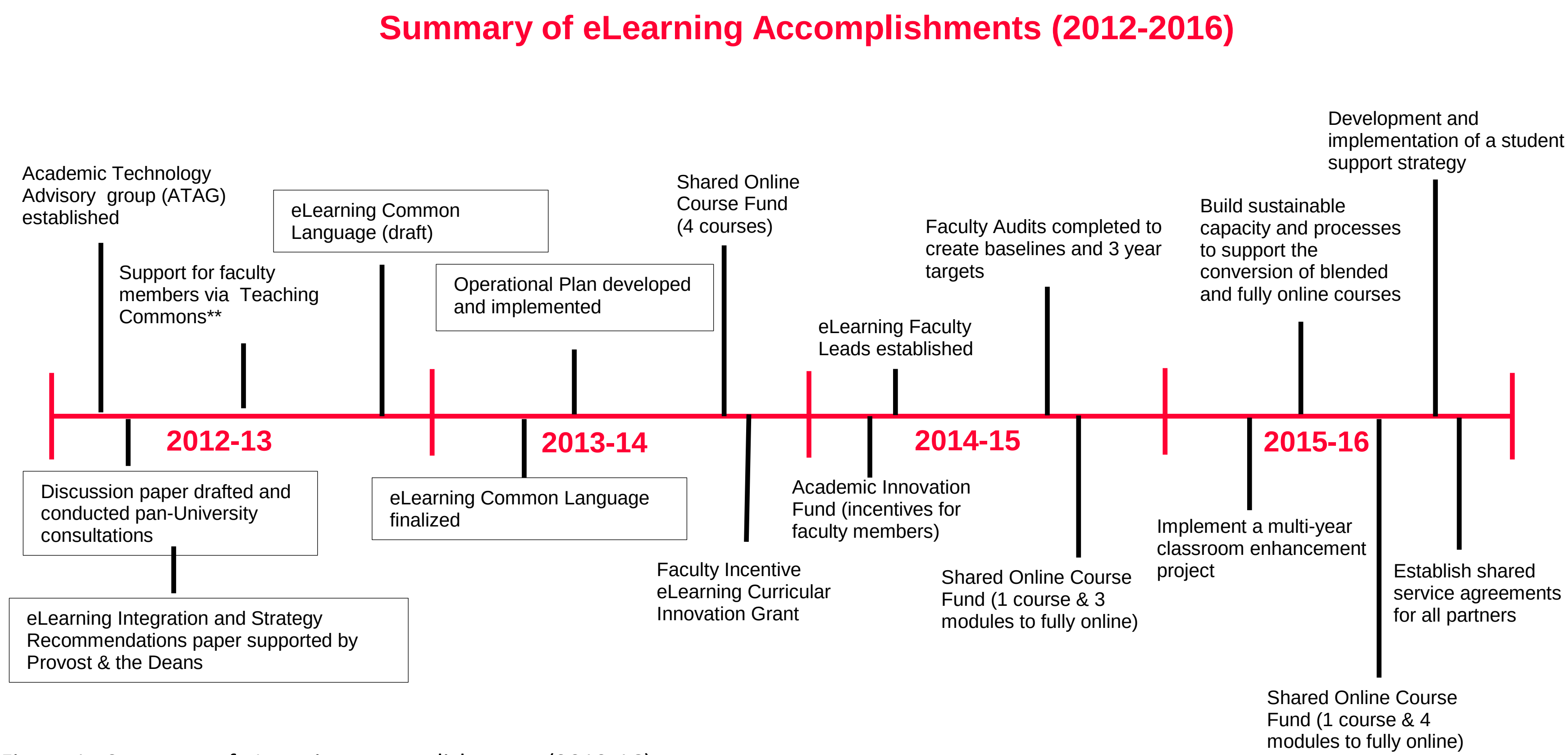

Figure 1. Summary of eLearning accomplishments (2012-16).

Note. Boxed items represent core foundational documents produced by ATAG. **Teaching Commons support includes: The eLearning@York Course, eLearning Bootcamp and individual consultation.

Source: Office of AVP Teaching and Learning, http://avptl.info.yorku.ca

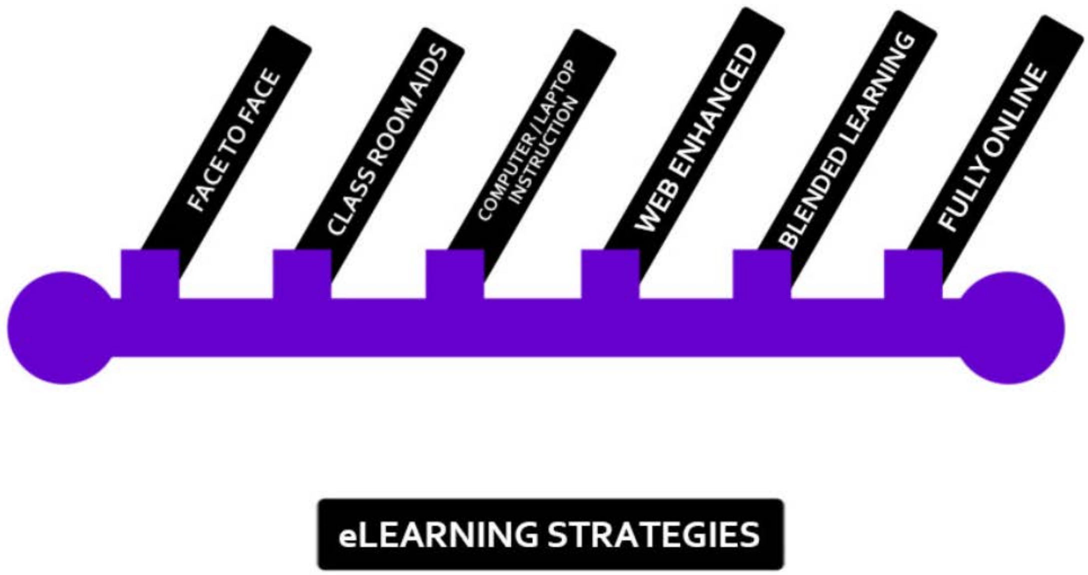

Figure 2. eLearning Strategies at York University.

Common Language Document

eLearning

eLearning is the development of knowledge and skills through the use of information and communication technologies to support interactions for learning including interactions with content, learning activities and with other people.

Face-to-face

A "traditional" lecture or seminar format is used without technology.

Classroom aids

A traditional face-to-face lecture format is supplemented by the use of presentation or online tools such as PowerPoint slides, videos, "clickers", etc.

Computer labs/laptop instruction

Face-to-face instruction occurs in a setting where every student has access to a computer (lab or personal laptop) and the computer applications or online materials are integral to the instruction.

Web-enhanced learning

A face-to-face lecture delivery format is utilized where learning is supplemented by web materials, resources or activities. Web-enhanced courses will use a learning management system (LMS) such as Moodle to make lecture notes and recordings available, provide links to resources, online quizzes, discussion forums, etc. Usual face-to-face instruction time remains the same in these courses despite the addition of a web component.

The flipped classroom is a form of web-enhanced learning which involves the practice of giving students access to lectures electronically and using the face-to-face class time for interactive activities.

Blended learning

In the blended mode, also known as ‘hybrid’, class time is a combination of face-to-face and online delivery.

Face-to-face instruction is replaced by online instruction for one third of the course, while one third of the course is delivered face-to-face. The remaining third may be any combination of online or face-to-face.

Total course contact hours will remain the same as a traditional face-to-face course.

Fully online

Students do not physically attend classes. All lectures and course activities are delivered online. The student may be required to come to campus (or another location) to write tests or exams.

Course directors may create opportunities for students to come to campus but attendance is not mandatory.

Appendix B

Process for developing recommendations

As indicated earlier, the IIRP TEL working group based their preliminary recommendations on: (i) an analyses of progress of the current eLearning operational plan (in terms of barriers that are impeding progress), (ii) consideration of changes in the UAP planning context (in terms of opportunities, risks and threats) and (iii) an updating of the eLearning vision. Tables 3, 4 and 5 which appear in the pages that follow, represent the results of the deliberations in tabular format. Many of the perceived barriers listed in these tables were turned into action statements, which in-turn were used to develop the preliminary recommendations.

The tables that follow in appendix B (Tables 3, 4, 5) should be interpreted as a static historical record (or "snap shot") of the resulting deliberations. Because an iterative approach was taken in generating the main report (which includes pages 1 to 5 and appendix A), there may be some apparent gaps. Members of the IIRP TEL working group may have suggested alterations, deletions and additions to previous draft reports which at the time, included Tables 3, 4 & 5. In more recent versions, Tables 3, 4 & 5 were not part of the main document.

Table 3. *Perceived barriers that are seen to impede progress on attaining the recommendations outlined in the 2015-16 operational plan*

		"Perceived Barriers" as action statements			
	Operational Plan Recommendations	Ensure sufficient Financial Resources	Counter negative perceptions by faculty members	Promote strategic planning across Faculties Re: eLearning and/or setting strategic targets	Revision of Tenure & Promotion Standards to allow for the development of Teaching Innovation (including eLearning).
1	Promote the broad adoption of eLearning tools and resources in face-to-face courses.	Funding for minimum standard of classroom technology equipment.	Lack of knowledge about the benefits of eLearning, both for student learning and for classroom management (yielding benefits to faculty).		
2	Increase the Adoption of Blended Learning.	Funding for continued funding for faculty incentives.	Seen to be extra time and work by faculty members. If faculty members understand the eLearning continuum, then work used to develop a web enhanced course may save time in developing a blended course.	Not all Faculties have a systematic approach. Establish revisions to Senate approved course templates, new course templates, quality assurance documents, and other policy & program materials.	Develop a report on the best way forward to strengthen Tenure and Promotion Standards in reference to teaching (including eLearning: Blended Learning). Support of Faculty Relations required along with Provost and Deans.
3	Pursue the strategic development and introduction of fully online courses and programs.	Funding for obtaining external expertise (as per previous operational plan).		Same as above (#2) but in reference to online courses.	Same as above (#2) but in reference to online courses/programs.
4	Elevate the culture of teaching and learning including eLearning.	Recognition of achievements, including the valuing research into teaching. This may promote the adoption of the use of technology in the classroom and online	A communications strategy about reducing or eliminating real or perceived barriers needs to be implemented.	The strategic planning approach should be addressed in the context of elevating the culture of teaching and learning.	Same as above (#2) but in reference to teaching and learning including eLearning.

Table 4. *Background factors that affect York's Planning Environment as cited in the UAP (2015-2020) to be considered for eLearning*

	Background Factor	eLearning		
		Opportunities	Risks	Threats
1	The internationalization of higher education and York's global engagement strategy including our enrolment plan. (Ongoing)	It is possible that eLearning may balance out the expected loss of enrolment. eLearning can also showcase York University on a global level, which in turn can attract new students. Current examples include Schulich in India and Faculty of Environmental Studies in Costa Rica Las Nubes.	Using eLearning to showcase York University on a global scale can be problematic if we do not have high quality eLearning courses/programs in place. This could damage our reputation. Global education markets can become saturated with competition for students who can afford to pay. Student retention is a documented problem for poorly executed eLearning. The costs of developing high quality eLearning program may not outweigh the benefits due the lack of student persistence.	Global competition from other Universities/providers (e.g., EdX, Coursera) in terms of quality and cost. Competitor institutions are also engaging in a global engagement strategy to shore-up sagging local enrolment.
2	The impact of the information and communications technology revolution on knowledge acquisition and dissemination as well as the emerging opportunities to enhance learning through technology. (Ongoing)	Allows York University to showcase best practices and signature pedagogies in eLearning and demonstrate that pedagogy and not technology drives teaching and learning. The purposeful use of technology allows students have the opportunity to become "technologically literate": Students have the opportunity to access, manage, integrate, evaluate, create and communicate knowledge through technological means. While this list is not exhaustive, the opportunity to develop such skills and/or competencies encapsulate what is necessary for students to navigate and adapt to an evolving technological world.	Some students may not adapt to eLearning technology as expected. Faculty members need to have the capacity to use technology to deliver education effectively. Faculty members themselves may not have experienced being "learners" through technology and consequently may be blind to the issues facing their students when they are learning through technology.	New and emergent forms of educational technology will continue to disrupt and displace older forms, with pace of change increasing.

Table 4. *Continued…*

	Background Factor	eLearning		
		Opportunities	Risks	Threats
3	The need to provide high quality programming in a fiscally constrained provincial environment with a concomitant emphasis on financial sustainability and accountability. (New)	Opportunity for York to optimize its eLearning expansion approach and to focus on programs that will yield the maximum success (as defined by pre-determined indicators, pertaining to quality, enrolment and persistence), while at the same time develop its capacity (i.e., faculty and staff) and know-how (i.e. faculty, staff & students).	The cost of staying current with educational technology may outweigh the benefits because technology can quickly go out of date. It is challenging to choose the technological "winners" from the "losers". This risk can be mitigated by ensuring that pedagogy drives the approach rather than technology. Need to ensure that we have meaningful ways of measuring success that are built into on-going processes to ensure sustainably and accountability.	Competitor institutions may have utilized their resources more optimally and thus have competitive advantage with respect to eLearning.

4	The imperative of addressing the significant reliance on contract labour in the postsecondary education sector, including maintaining as a top priority increasing the full-time faculty complement and seeking opportunities to support contract faculty colleagues. (New)	This is an opportunity to demonstrate support for new tenure-track and contract faculty. Professional development (PD) in eLearning may be a vehicle for orienting faculty for the value of PD in general. It can elevate Teaching and Learning and orient faculty to other aspects such as SoTL and signature pedagogies.	In our aims for expanding eLearning there are a number of assumptions that represent risk: New faculty will readily utilize eLearning and know how to do it effectively. In terms of the availability of professional development courses to assist faculty in transforming their courses --"if we build it, they will come", we are assuming that new and contract faculty will engage in transforming their courses to an eLearning format. An incentive strategy can mitigate these risks.	We have to compete with other institutions to hire faculty (contract and otherwise) who have eLearning skills or are willing to learn.

Table 4. *Continued…*

	Background Factor	eLearning		
		Opportunities	Risks	Threats
5	Postsecondary policy frameworks regarding higher education including:			
	-- differentiation and the impact on program directions, research priorities, and enrolments (New)	Opportunity to re-invigorate and animate our institutional identity by focusing on what is unique about York and its strengths. eLearning can be utilized to showcase this message of how the institution is differentiated through our eLearning programming. Such a message makes it easier for prospective students to distinguish York from competitor institutions and may influence their choice to come to York. York can be distinguished by the content of its courses, their applicability to the wider society and the quality of the learning.	If we do not differentiate York University in terms of eLearning, we can get lost amongst competitors in terms of attracting students. All online courses are a projection of the institution elsewhere (i.e., reputation). Successful strategies that differentiate York may be copied by competitors, making York less differentiated. The latter can be mitigated by choosing differentiation strategies that cannot be easily copied.	Local (GTA), provincial and global competition of other universities/providers engaged in eLearning. Increasing opportunities for student mobility and transfer pathways will enable students to leave easily if they do not like what they see in terms of eLearning courses and take the courses elsewhere.

Table 4. *Continued…*

	Background Factor	eLearning		
		Opportunities	Risks	Threats
5	Postsecondary policy frameworks regarding higher education including:			
	-- the provincial performance-based funding review and the potential implications for the development of metrics and key performance indicators for transfer grants (New)	Provides the opportunity for York University to develop metrics and key performance indicators that advance our Teaching & Learning goals as well as those of the government.	Enrolment will become less heavily weighted and other factors related to student learning such as student persistence, progression, and graduation rates may be more heavily weighted. Some of these factors such as student persistence are known to be more challenging in eLearning environments.	Changes will favour some institutions over others, due to underlying local social and demographic factors of their student populations, that interact with practices that are known to enhance the quality of teaching and learning in terms of deeper learning and student persistence (so that they are less effective). For example, students may not have time to engage in blended courses because they must work.

Table 5. *Perceived barriers that are turned into action statements crossed with the guiding principles and proposed 2020 vision.*

		Perceived barriers as "action" statements			
		Ensure that Communications about the benefits of eLearning reach faculty	Be responsive to student need: Ensure readiness, student support and scheduling	Ensure Quality/Strategically develop courses or programs /Meet enrolment targets through flexibility	Increase faculty uptake of eLearning
Guiding Principles -- eLearning must enhance and support:					
1	A strong teaching culture that supports excellence in teaching and creates an engaging learning experience for students;	✖		✖	
2	A quality student experience that makes learning more accessible and adaptable to the "multidimensional lives" of our students;	✖	✖	✖	
3	The reputation of the university and distinguish York as an institution that innovates, embraces the use of technology in different forms, and promotes student-centred learning.	✖	✖		
Vision -- By 2020 York University will have:					
1	Enhanced the student in-class learning experience and made learning resources more accessible and engaging for students.	✖	✖		✖
2	Reorganized its learning resources so that they meet the needs of commuter students by ensuring that they are largely accessible through multiple formats/platforms and devices.	✖	✖		✖
3	Enhanced student learning and flexibility through the adoption of blended learning as a common and accepted approach to course delivery – increasing the number of strategically selected blended courses year over year by (number)%***.**	✖	✖	✖	✖
4	Increased learning options for existing students and new students by identifying and developing key, strategic fully online courses. Specifically, increasing the number of fully online courses year over year by (number)*%.	✖	✖	✖	✖

Note. Changes between the 2017 vision and the 2020 vision are underlined.

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Community Consultation

Feedback on this document will be obtained through consultation with groups with broad Faculty representation (e.g. ATAG, Deans), resource partners (e.g. Teaching Commons, Libraries) and student groups. The session will include an overview of the report followed by a question and answer session.