

Board Review of CQAAP Reports

Updated: September 12, 2020

Audit Reports

Purpose of the Management Board Review

It is the Board's role to undertake a meaningful final review and approval of audit reports.

The Board reviews final audit reports for the following:

- *The college has demonstrated its commitment to provide students with quality programs.*
- *There is high-level consistency in the expectations and assessment for meeting CQAAP Standards across all the other reports in the system*
- *Recommendations are appropriately stated and consistent with the approach to recommendations normally made by audit panels.*
- *There is alignment between the findings and assessment provided in the Audit Report and recommendations specified.*
- *The audit process was conducted appropriately.*

Specific Expectations for Sections of the Audit Report

Conclusions

1. *The report provides general comments and summary of findings, including the rationale for the Audit Decision, in the context of the CQAAP Standards and Requirements.*
2. *The conclusion notes exemplary processes or practices from the "Commendations" section that would be examples of best practices for other colleges, if such have been found.*

Results

1. *The Audit Decision of mature, organized, or formal effort is consistent with the Board's understanding of CQAAP Standards and Requirements.*
2. *The Audit Decision is based on overall quality assurance achievement and the relative impact on that overall achievement by the college's various processes and practices or significant shortcomings. The Audit Decision is not simply based on how many requirements have been met nor on a requirement weighting schema since all CQAAP requirements are important and there is no relative weighting among them.*
3. *The Audit Decision is consistent with how other colleges have been rated. A reference for this purpose is a review of the last five years of audits as per the 'Audit Results' document'.*
4. *The report provides adequate rationale for the Audit Decision (in the Conclusion section of the report).*

Audit Process

1. *The information provided shows that the audit process was followed appropriately. Were there audit process anomalies and how were they handled? Did the anomalies potentially risk the integrity of the final report or the college's confidence in the final report?*

Compliance with Standards and Requirements

1. *The audit focused appropriately on processes and mechanisms and their effectiveness (and not on the quality of programs and services per se).*

2. *For each requirement, the report provides a statement about the college's key mechanism(s) and/or process(es) that supports the meeting of that requirement.*
3. *For a requirement or standard that is not assessed as "met", there is a clear description of the information gathered that contributed to that assessment. When a requirement or standard is not deemed as "met", that assessment is appropriate to the shortcoming as described in the information provided.*

Stipulations

5. Commendations

1. *Rationale and brief information are provided for each commendation.*
2. *The commendations are adequately supported by the information provided with the commendation.*

6. Affirmations

1. *All of the affirmations from the college's Self-Study are commented on in the audit report.*
2. *The affirmations are specific and measurable.*
3. *The affirmations are mapped to a specific requirement.*
4. *If a college's affirmations are deemed to need to be restated or dropped, that is commented on in the audit report.*

7. Recommendations

1. *The recommendations are mapped to a specific requirement and reflect the comments made in the assessment of that requirement.*
2. *Recommendations speak to the essence of associated requirements and are important to the college's meeting of the CQAAP requirement. Affirmations from the Self Study that speak to the essence of a requirement should also appear as a recommendation.*
3. *The recommendations are specific and are stated in a way that implementation of a recommendation by the college can be verified.*
4. *The recommendations state the expected outcomes desired, not the means to accomplish those outcomes.*
5. *The recommendations realistic and aligned with that college's context.*
6. *The recommendations are consistent in number and language with system audit reports of the last 5 years (as summarized in the 'Analysis of Recommendations for the Last Five Years')*

Reports Not Meeting Board Approval

1. *If an Audit Report does not meet board approval, the matter is referred to the Executive Director with specific direction about what needs to be addressed or changed. The Executive Director engages the audit panel and the college in addressing the issue. The revised Audit Report is brought back to the Board for approval.*
2. *If there is an impasse that cannot be resolved, the audit report is brought back to the Management Board which determines the final content of the report and approves it.*
3. *If the college is not satisfied with this outcome, it has recourse to the appeals process as provided for in the OCQAS CQAAP Appeals Policy.*

18-Month Follow Up Reports

The Board reviews 18-Month Follow-Up reports for the following:

1. **Completeness:** Adequate information about implementation progress for each of the recommendations and affirmations from the Audit Report is provided in the follow up report. This includes statements of the specific deliverables/tasks that the college is undertaking to implement each recommendation and affirmation. The current status should be stated in terms of percent of implementation completion for the specific deliverables/tasks. Where a specific deliverable/task is not complete, the expected completion date should be stated. If there has been slow progress in implementing specific deliverables/tasks, an explanation for why that is the case should be provided
2. **Appropriateness** of the college's chosen deliverables/tasks for achieving the intent of the Audit Report recommendation.
3. **Sufficient Progress:** The college should have made overall substantial progress on all Audit Report recommendations with implementation of some of specific deliverables/tasks already completed.

Note that point 2 and 3 refer to the recommendations only and not the affirmations from the Audit Report. This is because Audit Report recommendations include all items that speak to the essence of the CQAAP requirements and will contain any items from the affirmations that are deemed essential. Although a college is expected to make progress on all of its affirmations, affirmations that were not reflected in the Audit Report recommendations were not considered essential to meeting CQAAP standards and requirements by the audit panel.

Approval of the Report

If the Board finds that the above criteria have been met, the Board approves the report.

If the Board does not find that the report is sufficiently complete, it does not approve the report and asks for a revised report to be submitted by a specified deadline.

If criteria 2 or 3 above have not been met, the Board may approve the report and request further action from the college and the submission of a subsequent progress report by a specified deadline. The further action requested by the board may include:

1. Asking the college to identify and undertake further deliverables and tasks that more closely align to the intent of an Audit Report recommendation. The Board does not dictate what those specific deliverables/tasks are to be but rather indicates what it finds lacking in the stated specific deliverables/tasks
2. Asking the college to take steps to speed up implementation of its specific deliverables/tasks.